



Technical Assistance Report

Project Number: 47228-001
Regional—Capacity Development Technical Assistance (R-CDTA)
December 2013

Support to Community-Based Disaster Risk Management in Southeast Asia (Financed by the Integrated Disaster Risk Management Fund)

Asian Development Bank

ABBREVIATIONS

ADB	–	Asian Development Bank
ASEAN	–	Association of Southeast Asian Nations
CSO	–	civil society organization
DMC	–	developing member country
DRM	–	disaster risk management
IDRM	–	integrated disaster risk management
TA	–	technical assistance

TECHNICAL ASSISTANCE CLASSIFICATION

Type	–	Regional—Capacity development technical assistance (R-CDTA)
Targeting classification	–	General intervention
Sector (subsectors)	–	Multisector (social protection, irrigation, drainage and flood control, urban sector development)
Themes(subthemes)	–	Social development (disaster risk management), gender equity (gender equity in empowerment and rights), governance (civil society participation), capacity development (client relations, network, partnership development)
Climate change	–	Climate change adaptation
Location (impact)	–	Rural (medium), urban (medium), national (low), regional (high)
Partnership	–	Integrated Disaster Risk Management Fund

GLOSSARY

Disaster	–	Several alterations in the normal functioning of a community or a society resulting from hazardous physical events that interact with vulnerable social conditions, leading to widespread adverse human, material, economic, or environmental effects requiring immediate emergency response to satisfy critical human needs, and which may require external support for recovery.
Disaster risk management	–	The process of designing, implementing, and evaluating strategies, policies, and measures to improve the understanding of disaster risk, foster disaster risk reduction and transfer, and promote continuous improvement in disaster preparedness, response, and recovery practices in order to increase human security, well-being, quality of life, and development sustainability.
Disaster risk reduction	–	A policy goal or objective and the strategic and instrumental measures employed to anticipate future disaster risk; reducing existing exposure, hazard, or vulnerability; and improving resilience.
Hazard	–	The potential occurrence of a natural or human-induced physical event that may cause death, injury, or other health impacts, as well as damage and loss to property, infrastructure, livelihoods, service provision, and environmental resources.

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| Integrated disaster risk management | – Systematic activities that aim to avoid, lessen, or transfer the potential adverse effects of hazards by integrating climate change adaptation, disaster risk finance, and disaster risk reduction measures. |
| Resilience | – The ability of a system and its components to anticipate, absorb, accommodate, or recover from the effects of a hazardous event in a timely and efficient manner, including by ensuring the preservation, restoration, or improvement of essential basic structures and functions. |

NOTE

In this report, "\$" refers to US dollars.

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CONTENTS

	Page
I. INTRODUCTION	1
II. ISSUES	1
III. THE TECHNICAL ASSISTANCE	2
A. Impact and Outcome	2
B. Methodology and Key Activities	3
C. Cost and Financing	5
D. Implementation Arrangements	5
IV. THE PRESIDENT'S DECISION	5
APPENDIXES	
1. Design and Monitoring Framework	6
2. Cost Estimates and Financing Plan	8
3. Outline Terms of Reference for Consultants	9
SUPPLEMENTARY APPENDIX (available on request)	
A. Application Form	

I. INTRODUCTION

1. Strengthening disaster resilience at the community level is recognized as a priority in the national disaster risk management (DRM) policy framework of Asian Development Bank (ADB) developing member countries (DMCs) in Southeast Asia. The Association of Southeast Asian Nations (ASEAN) Agreement on Disaster Management and Emergency Response also prioritizes implementation of community-based DRM.¹ The Yogyakarta Declaration on Disaster Risk Reduction, adopted at the 5th Asian Ministerial Conference on Disaster Risk Reduction in October 2012,² calls on DRM stakeholders to build community resilience by scaling up successful community-based DRM initiatives, developing resilient community targets and indicators, and strengthening the capacity of communities and local institutions to respond to emerging and future risks. Accordingly, the Integrated Disaster Risk Management (IDRM) Fund gives priority to supporting innovative solutions for community-based, gender-focused DRM that is participatory, has a high demonstration value and the potential to be replicated and increased in scale, and engages strongly with civil society organizations (CSOs).³

2. Through this technical assistance (TA) project, ADB will support community-based, gender-focused DRM interventions in Cambodia, Indonesia, the Lao People's Democratic Republic, Myanmar, the Philippines, Thailand, and Viet Nam.⁴ The design and monitoring framework is in Appendix 1.

II. ISSUES

3. Natural hazards continue to cause significant loss of life and property in Asia and the Pacific. Recent analysis from an ADB study indicates that the direct physical losses from disasters are rising more rapidly than the gross domestic product of Asia and the Pacific.⁵ The intensity and, in some areas, the frequency of extreme climatic events is expected to increase with global warming, potentially exacerbating this trend. The ADB analysis also shows that, among DMCs, those in Southeast Asia fared the worst on average in terms of loss of life and damage from disasters during 1970–2010, both when measured per capita and relative to land mass. The situation is even bleaker when taking into account impacts on local communities and businesses from localized, recurrent disaster events that are largely unrecorded, and not typically captured in official disaster statistics. Cumulatively, these “everyday disasters” trap large numbers of people, and especially vulnerable populations (e.g., women and children), into a cycle of poverty and disaster through repeated livelihood setbacks.⁶

¹ The ASEAN Agreement on Disaster Management and Emergency Response is the legally binding regional policy framework for all ASEAN member states and serves as a common platform in responding to disasters in ASEAN. In 2010, the work program for the framework for 2010–2015 was approved that prioritizes regional initiatives.

² The Asian Ministerial Conference on Disaster Risk Reduction is a biennial mechanism that brings together the ministers in charge of disaster risk management from Asia and the Pacific to discuss policy issues.

³ The IDRM Fund was approved by the Board on 25 February 2013, and serves as a resource for development of innovative regional solutions for IDRM in Southeast Asian DMCs. As used here, CSOs are non-profit, non-state actors that do not seek governing power. CSOs unite people to advance shared goals and interests, and include nongovernment organizations, professional associations, foundations, independent research institutes, community-based organizations, faith-based organizations, people's organizations, youth groups, social movements, and labor unions.

⁴ The TA first appeared in the business opportunities section of the ADB website on 12 September 2013.

⁵ ADB. 2013. *Investing in Resilience: Ensuring a Disaster-Resistant Future*. Manila.

⁶ Global Network for Civil Society Organisations for Disaster Reduction. 2011. *If We Do Not Join Hands: Views from the Frontline Local Reports of Progress on Implementing the Hyogo Framework for Action, with Strategic Recommendations for More Effective Implementation*. London.

4. The Hyogo Framework for Action, 2005–2015 was adopted in 2005, and significant progress has been made since then to reduce disaster risk in Asia and the Pacific. However, the midterm review of the Hyogo Framework for Action demonstrates progress has been insufficient at the local level, has not targeted vulnerable populations, and has not adequately tapped local knowledge and solutions to inform policy and decision making.⁷ Local people and grassroots organizations—such as women’s groups—are essential for strengthening disaster resilience. Managing disaster risk at the local level requires community participation in planning, implementation, and monitoring of interventions. It also requires an enabling environment through policy and legislative frameworks, incentives, information management systems, and capacity strengthening of both communities and local technical line agencies.

5. Community-based DRM has been used previously in Southeast Asia. However, in practice, it has often been limited to stand-alone pilot projects focused on improving community preparedness and response capacities, and has not necessarily sought to incorporate disaster resilience within broader community-based development. It has often failed to recognize (i) the capacity of organized youth and women’s groups to take the lead in strengthening disaster resilience, and (ii) that solutions they provide can benefit entire communities. It is essential to engage risk-prone communities in a dialogue with government and CSOs engaged in local development, and to jointly identify root causes of disaster risk, prioritize actions, mobilize resources, undertake implementation, and monitor progress. Such participatory processes can help identify innovative solutions to complex issues such as disasters, the impacts of which often cross administrative boundaries and sectors. These processes can also establish partnerships to scale up implementation, empower vulnerable populations, and improve accountability.

6. Much experience and expertise on DRM is already available at the local level—especially in local governments and grassroots organizations, and particularly women’s groups—which have a good understanding of local hazards and vulnerabilities within the overall context of development that they have gained from working with vulnerable groups. Local governments and CSOs can thus play a vital role in mobilizing and facilitating community engagement in DRM. Regional CSOs can likewise foster peer-to-peer learning among their local counterparts. However, these organizations need support to enable them to scale up successful interventions and facilitate peer-to-peer learning. There is an equal need to create incentives for local authorities and CSOs to strengthen disaster resilience partnerships, support investments in community-based DRM, and share knowledge on innovative practices.

III. THE TECHNICAL ASSISTANCE

A. Impact and Outcome

7. The impact of the TA will be increased demand for investments on strengthening disaster resilience at the community level in specific Southeast Asian DMCs—Cambodia, Indonesia, the Lao People’s Democratic Republic, Myanmar, the Philippines, Thailand, and Viet Nam. Such investments will focus at the local level, target the most vulnerable populations, make use of local knowledge and solutions to inform policy and decision making, facilitate sharing of knowledge, and be considered as investments for sustainable development. The outcome of the TA will be access to and use of community-based and gender-focused DRM knowledge by local governments and CSOs in selected Southeast Asian DMCs.

⁷ United Nations International Strategy for Disaster Reduction. 2011. *Hyogo Framework for Action 2005–2015 Building the Resilience of Nations and Communities to Disasters: Mid-Term Review 2010–2011*. Geneva.

B. Methodology and Key Activities

8. The TA will support local governments and CSOs in selected Southeast Asian DMCs to work closely in implementing community-based DRM-related interventions and facilitating regional peer-to-peer learning. The TA will have the following outputs.

9. **Output 1: Community-based disaster risk management interventions in selected Southeast Asian developing member countries.** This output will provide grants to support a maximum of four pilot subprojects on community-based DRM. The subprojects may be proposed by local governments, a CSO, or group of CSOs working on DRM-related issues in Southeast Asia, in response to a call for proposals issued by ADB, and using the application form described in Supplementary Appendix A. Subproject selection will use the process developed for projects under the IDRM Fund.⁸ Subprojects should:

- (i) involve local governments, civil society (including target communities, youth groups, and grassroots women's organizations), and relevant national government agencies in design, implementation, and monitoring;⁹
- (ii) address the needs of the target community, and recognize women as agents of change for strengthening disaster resilience;
- (iii) focusing on innovative disaster risk reduction measures to strengthen resilience at the community level,¹⁰ especially of women, and/or focus on elements to strengthen the enabling environment for scaling up of community-based DRM interventions through the regular development process;
- (iv) benefit ongoing or planned projects undertaken by the government and/or ADB that focus on DRM or wider community-driven development;
- (v) focus on community-level DRM issues common to DMCs in Southeast Asia, with lessons that can be shared regionally, with solutions replicated in other DMCs;
- (vi) partner with regional DRM centers of excellence to allow lessons from other countries to be incorporated in subproject design, with sharing of results within the region; and
- (vii) be small-scale (not to exceed \$100,000), focus on the disaster risk reduction measures described above, and have an implementation period of 12–24 months.

⁸ Local governments and CSOs will be encouraged to submit subproject applications. Applications will be reviewed in two batches. Due dates for applications will be 31 January 2014 and 31 March 2014. The IDRM fund manager will review the applications within 10 days of each application deadline, and ensure applications comply with the relevant eligibility criteria. If the application does not meet the criteria, the fund manager will discuss the issues with the applicant for revision or withdrawal. For each subproject, the fund manager will make recommendation to the IDRM working group comprising of representatives from Poverty Reduction, Gender, and Social Development Division (RSGS); Environment and Safeguard Division (RSES); Sustainable Infrastructure Division (RSID); Public Management, Governance, and Participation Division (RSGP) of RSDD, and representatives from Southeast Asia Department (SERD) and Pacific Department (PARD). The working group will have 7 working days to review, comment, and endorse the subproject applications. Applicants will then have 5 working days to take the comments into consideration and revise the application if needed. Once completed, the fund manager will forward the applications endorsed by the IDRM working group to the IDRM steering committee to approve the allocation of resources from this TA under the IDRM Fund. The IDRM steering committee comprises of Directors General RSDD, SERD, and PARD.

⁹ Subprojects will follow the core principles of participation in ADB. 2012. *Strengthening Participation for Development Results: An Asian Development Bank Guide to Participation*. Manila.

¹⁰ Measures would include assessing disaster risk; participatory disaster risk reduction planning to identify priority non-structural and structural interventions to reduce risk; implementation of non-structural interventions, such as skill development for livelihood diversification, natural resources management, disaster resilient construction, maintenance of community infrastructure, and dissemination of early warning signals; and advocating for implementation of structural interventions through local investment projects.

10. Implementation of the subprojects will enable ADB and other development partners to access and use knowledge relating to (i) innovative solutions to strengthen disaster community resilience; (ii) approaches for strengthening participation by local stakeholders in the design, implementation, and monitoring of community-based DRM interventions; and (iii) approaches for scaling up community-based DRM interventions.

11. **Output 2: Knowledge sharing regarding innovative community-based disaster risk management solutions.** Based on the submissions received from CSOs, United Nations agencies or regional organizations in response to a call for proposals by ADB, and following the selection criteria described below, this output will provide a grant to implement a knowledge sharing subproject on regional peer-to-peer learning among local governments, civil society, and grassroots organizations, including women and youth groups active in DRM in six Southeast Asian DMCs. The selection criteria will include (i) the approach and method proposed to facilitate peer-to-peer learning and the outreach to grassroots organizations, (ii) links to existing knowledge-sharing mechanisms in the country, and (iii) cost effectiveness and sustainability. The peer-to-peer learning will focus on:

- (i) the use of tools to facilitate participation by local stakeholders in community-based DRM;
- (ii) participation by women in strengthening community disaster resilience;
- (iii) innovative approaches for strengthening community disaster resilience through local development and investments; and
- (iv) approaches to scaling up community-based DRM through partnerships between local governments and CSOs.

12. Implementation of the subproject on peer-to-peer learning will result in benchmarking of good practices on community-based DRM; increased regional dialogue regarding challenges and solutions in strengthening community disaster resilience; and exchange of innovative ideas and experiences, including experiences gained from the subprojects under output 1. The subproject will strengthen partnership with the Asian Disaster Preparedness Center, which is a regional center of excellence and has been implementing programs related to community-based disaster risk management. This will help improve the design and implementation of community disaster resilience projects being implemented in the participating countries.

13. **Assumptions, risks, and criteria.** The TA assumes that successful community-based DRM interventions that can be applied in Southeast Asia are available, and that participating local governments and CSOs are committed to implementing the project. The key risks will be that the local governments and CSOs (i) are unaware of the opportunity to apply for grants to implement the subprojects, and (ii) lack the capacity to develop subproject proposals and/or to implement community-based DRM projects and partner with ADB. To mitigate the risks, the call for proposals for subprojects will be disseminated through ADB's website and through its network of civil society partners in Southeast Asia. Stakeholders expressing interest will be supported by the TA project team in partnership with nongovernment organization and civil society focal point in ADB's Southeast Asia Department (SERD) in developing proposals for subproject. Criteria for selecting the implementing agencies for different subprojects will include their experience in (i) implementing community-based DRM interventions in Southeast Asia, (ii) working with local stakeholders, and (iii) facilitating regional peer-to-peer learning among grassroots organizations through a network or consortium of CSOs. Past experience working with ADB or other bilateral and multilateral development partners will be considered advantageous.

C. Cost and Financing

14. The TA is estimated to cost \$1,000,000, and will be financed on a grant basis by the Integrated Disaster Risk Management Fund,¹¹ and administered by ADB. The detailed cost estimates and financing plan are in Appendix 2.

D. Implementation Arrangements

15. The proposed TA will be implemented over 26 months, from January 2014 to February 2016. ADB will be the executing agency through the Public Management, Governance and Participation Division (RSGP) in the Regional and Sustainable Development Department, which will be responsible for managing TA activities in collaboration with SERD. Once subprojects under outputs 1 and 2 are selected, letters of no objection will be secured from the relevant government prior to subproject implementation. ADB will engage the proponents of the selected subprojects through a letter of agreement.

16. For output 1, using a letter of agreement, ADB will finance subprojects that will implement community-based DRM. Because of the small-scale and grassroots nature of the subprojects, proponents will need to have a history of DRM-related work with communities, CSOs, and the local government of the target area. RSGP will work closely with SERD in selecting the subprojects.

17. For output 2, using a letter of agreement, ADB will engage a CSO with a network of grassroots organizations working on DRM in the participating DMCs, or a United Nations agency or regional organization with expertise in working with communities and women's groups.

18. In order to facilitate knowledge sharing among the subprojects, the TA will utilize 28 person-months of consultancy inputs to be provided by one international consultant (4 person-months) and one national consultant (24 person-months). All consultants will be engaged by ADB in accordance with the *Guidelines on the Use of Consultants* (2013, as amended from time to time). The outline terms of reference for consultants is in Appendix 3. All disbursements under the TA will be made in accordance with ADB's *Technical Assistance Disbursement Handbook* (2010, as amended from time to time).

IV. THE PRESIDENT'S DECISION

19. The President, acting under the authority delegated by the Board, has approved ADB administering technical assistance not exceeding the equivalent of \$1,000,000 to be financed on a grant basis by the Integrated Disaster Risk Management Fund for Support to Community-Based Disaster Risk Management in Southeast Asia, and hereby reports this action to the Board.

¹¹ Contributor: the Government of Canada. Administered by the Asian Development Bank.

DESIGN AND MONITORING FRAMEWORK

Design Summary	Performance Targets and Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
Impact Increased demand for investments on strengthening disaster resilience at the community level in selected Southeast Asian DMCs	All DRM projects supported by ADB in Southeast Asian DMCs includes component related to community involvement in strengthening resilience	Country operations business plan of selected Southeast Asian DMCs	Assumption Increasing attention to disaster risk and its importance in regional development will lead to greater demand from Southeast Asian DMCs to strengthen community-level disaster resilience Risk DRM is traded off against other short-term development priorities at the local level
Outcome Access to and use of community-based and gender-focused DRM knowledge by local governments and CSOs in selected Southeast Asian DMCs	At least one ADB DRM project with components on community-based interventions use experience gained from the subprojects At least four projects implemented by participating organizations benefit from the knowledge shared through regional peer-to-peer learning	Project reports Websites of implementing agencies	Assumption Successful interventions on community-based DRM applicable in Southeast Asia are available Risk Local governments and CSOs do not have the capacity to implement projects and partner with ADB
Outputs 1. Community-based DRM interventions in selected Southeast Asian DMCs 2. Knowledge sharing regarding innovative community-based DRM solutions	Maximum of four subprojects on community-based DRM with special focus on gender equality are successfully completed Regional peer-to-peer exchange of innovative ideas and experience among grassroots organizations, including women's groups, in six DMCs facilitated	Annual Report of IDRM Fund Final project reports submitted by the implementing agencies Websites of participating organizations Annual reports of participating organizations	Assumption Participating local government and civil society organizations are committed to implementing the projects Risk Local governments and CSOs are unaware of the opportunity to apply for grants to implement the subprojects, and lack the capacity to develop project proposals for subprojects

Activities with Milestones	Inputs
<ul style="list-style-type: none"> 1.1 Call for proposals to invite local governments and civil society organizations for subprojects under output 1 (January 2014–April 2014) 1.2 Evaluate the proposals in two batches and select the subprojects (first batch in February 2014 and second batch in May 2014) 1.3 Implement approved subprojects by implementing agencies (March 2014–December 2015) 1.4 Monitor implementation of subprojects and regularly share experiences gained from implementation with organizations involved in output 2 (March 2014–December 2015) 1.5 Final documentation of subprojects (November 2015–December 2015) 2.1 Call for proposal to invite CSOs and United Nations agencies to facilitate regional peer-to-peer learning on community-based DRM interventions (January–April 2014) 2.2 Evaluate the proposals and select the subproject (May 2014) 2.3 Implement the subproject on peer-to-peer learning in six DMCs and at the regional level by organizing a regional workshop (June 2014–December 2015) 2.4 Monitor implementation of peer-to-peer learning among grassroots organizations (June 2014–December 2015) 2.5 Document examples of the lessons shared through the peer-to-peer learning that have benefited local governments and civil society within one or more participating DMCs (January 2015–December 2015) 	<p>Integrated Disaster Risk Management Fund:^a \$1,000,000</p>

ADB = Asian Development Bank, CSO = civil society organization, DMC = developing member country, DRM = disaster risk management, IDRM = integrated disaster risk management.

^a Contributor: the Government of Canada. Administered by ADB.

Source: Asian Development Bank.

COST ESTIMATES AND FINANCING PLAN
(\$'000)

Item	Amount
Integrated Disaster Risk Management Fund^a	
1. Consultants	
a. Remuneration and per diem	
i. International consultants	60.0
ii. National consultants	120.0
b. International and local travel	15.0
c. Reports and communications	10.0
2. Output 1	300.0
3. Output 2	260.0
4. Workshops, training, seminars, and conferences	
a. Workshop	165.0
b. ADB staff travel as invited resource persons	10.0
5. Contingencies	60.0
Total	1,000.0

ADB = Asian Development Bank.

^a Contributor: Government of Canada. Administered by the Asian Development Bank.

Source: Asian Development Bank estimates.

OUTLINE TERMS OF REFERENCE FOR CONSULTANTS

A. Summary

1. The technical assistance (TA) will be implemented over 26 months. The Asian Development Bank (ADB) Public Management, Governance, and Participation Division in the Regional and Sustainable Development Department will be the executing agency. The TA will have two outputs: (i) community-based disaster risk management (DRM) interventions in selected Southeast Asian developing member countries (DMCs) (the project will support implementation of a maximum of four pilot subprojects on community-based DRM); and (ii) knowledge sharing regarding innovative community-based disaster risk management solutions (the project will support a subproject on peer-to-peer learning on community-based DRM among local governments and civil society organizations [CSOs] in six ADB DMCs in Southeast Asia).
2. International and national consultants will be recruited to work under the TA. All consultants will be engaged by ADB in accordance with the Guidelines on the Use of Consultants (2013, as amended from time to time).

B. Consultants

3. **Community-based disaster risk management specialist** (one international consultant, 4 person-months, intermittent). The consultant will be responsible for providing technical support to implement the TA and will need (i) academic knowledge regarding development planning, community development, or disaster risk management; (ii) experience in implementing community resilience programs in partnership with local governments and CSOs; (iii) working knowledge of local development planning processes in Southeast Asian DMCs; and (iv) working knowledge of DRM legislation, institutions, and stakeholders in Southeast Asian DMCs. The consultant's tasks include:

- (i) provide technical guidance to grant holders in facilitating participation of local stakeholders in the subprojects under output 1, especially participation of vulnerable groups such as women and children; and in scaling up approaches for community-based DRM;
- (ii) analyze and compile results and lessons from outputs 1 and 2;
- (iii) support ADB staff in making use of the experience gained from the TA in designing future ADB DRM investments in Southeast Asia; and
- (iv) based on experience gained from outputs 1 and 2, support the Regional and Sustainable Development Department in compiling a two-page note on how to approach participation in ADB's DRM operations.

4. **Technical assistance coordinator** (1 national, 24 person-months, intermittent). The consultant will be responsible for providing direct support to the TA task manager and will require academic knowledge in development planning, project management, or disaster risk management; and experience in coordinating regional projects in Southeast Asia, preferably with ADB. The consultant will be based in ADB headquarters. Tasks will include the following:

- (i) assist the task manager in the evaluation of the subprojects;
- (ii) review all TA subproject reports, ensuring in particular that women account for 40% of participants in workshops and training activities organized under the subprojects;
- (iii) prepare required documents such as the letters of agreement;

- (iv) review claims for payment to facilitate the payment process; and
- (v) coordinate financial matters with subproject implementing agencies and prepare accounting and financial reports.