



**COUNCIL OF
THE EUROPEAN UNION**

Brussels, 16 February 2011

6666/11

**DEVGEN 42
COHAF 12
RELEX 164
PROCIV 19
ACP 45
FIN 93
PTOM 8
ENV 106**

COVER NOTE

from: Secretary-General of the European Commission,
signed by Mr Jordi AYET PUIGARNAU, Director

date of receipt: 16 February 2011

to: Mr Pierre de BOISSIEU, Secretary-General of the Council of the European
Union

Subject: COMMISSION STAFF WORKING DOCUMENT
Implementation Plan of the EU Strategy for supporting disaster risk reduction
in developing countries 2011-2014

Delegations will find attached Commission document SEC(2011) 215 final.

Encl.: SEC(2011) 215 final



EUROPEAN COMMISSION

Brussels, 16.02.2011
SEC(2011) 215 final

COMMISSION STAFF WORKING DOCUMENT

**Implementation Plan of the EU Strategy for supporting disaster risk reduction in
developing countries
2011-2014**

1. Introduction

In recent years, the frequency and severity of disasters have increased, and this trend is likely to worsen in the years to come. Disasters undermine development and the achievements of the Millennium Development Goals (MDGs). Effective disaster risk reduction (DRR) can save lives, protect livelihoods, and reduce the loss of property.

The Commission has developed a comprehensive and integrated approach on disaster risk reduction, both within the EU and in third countries. On 23 February 2009 the Commission adopted the Communication "EU Strategy for Supporting Disaster Risk Reduction in Developing Countries"¹, in a package with the Communication on a "Community approach on the prevention of natural and man-made disasters" addressing disaster risk reduction within the EU².

Subsequently, on 18 May 2009, the General Affairs and External Relations Council endorsed the EU DRR Strategy³. The Council Conclusions (Ditto) invited the Commission – in close cooperation with Member States – to set up an appropriate framework for the preparation of an Implementation Plan clarifying key actions, responsibilities, main instruments and sequencing of implementation.

Following up the Council Conclusions, the Commission established a Steering Group comprising Member States and relevant Commission services. The Steering Group was assisted by an outside contractor in gathering and analyzing the relevant data on EU external actions on DRR, material that was included in the "Support Study for the Implementation Plan of the EU Strategy for Supporting DRR in Developing Countries". This document (hereafter referred to as the "Study") fed into the preparation of this Implementation Plan.

The preparation of the Implementation Plan was therefore based on the inventory of on-going and planned EU-supported DRR activities, which was then used to identify trends and gaps in relation to the objectives, implementation priorities and actions set out in the Strategy and the Council Conclusions. The process led to a first prioritization of objectives and actions for the Implementation Plan, also in view of the limited resources available for DRR. At its first meeting following the adoption by Council of this Implementation Plan, the Steering Group will further prioritize the actions to be addressed in 2011 and 2012.

The Implementation Plan has been subject to thorough consultations with civil society and international organizations⁴, which have regularly participated in the Steering Group meetings and have actively contributed to the aforementioned Study. It represents an important step towards the ultimate aim of a comprehensive and innovative EU strategy on DRR – covering both inside and outside EU – which could be the topic of further policy work in 2011/2012.

¹ COM (2009) 84.

² COM (2009) 82. Council Conclusions endorsing COM (2009) 82 have been adopted on 30 November 2009.

³ Doc. 9920/09. <http://register.consilium.europa.eu/pdf/en/09/st09/st09920.en09.pdf>

⁴ Stakeholders consulted included the UN family; the World Bank; the Red Cross/Red Crescent; and a wide number of NGOs including platforms such as VOICE and the Global Network of Civil Society Organizations for Disaster Reduction.

2. The EU disaster risk reduction Strategy

The EU Strategy supports disaster risk reduction both through development cooperation and humanitarian aid, pursuing an integrated approach to disaster management with prevention, mitigation and preparedness as equal priorities to response, and exploiting whenever appropriate the synergies between the internal and external processes and actions.

The EU DRR Strategy is fully in line with the Hyogo Framework for Action (HFA) of 2005 – 2015: Building the resilience of nations and communities to disasters. At the same time it reflects the context of existing partnership and cooperation between the EU and developing countries, including at the regional level.

The overall objective of the EU DRR Strategy is to contribute to sustainable development and poverty eradication by reducing the burden of disasters on the poor and most vulnerable countries and populations groups, by means of improved DRR. In particular, the Strategy supports action in the following areas:

- The integration of DRR into partner countries' development policies, strategies and sectoral plans, particularly in coherence with integration of adaptation to climate change through the climate-proofing of development aid and the promotion of "green development";
- Specific targeted actions on disaster prevention, mitigation and preparedness.

All developing countries and Overseas Countries and Territories are covered by the Strategy, with special attention paid to disaster-prone regions and to least developed and highly vulnerable countries and groups. The disasters targeted are those caused by natural and technological hazards. Consideration is given to both slow- and rapid-onset disasters; to large-scale as well as localised but frequently occurring disasters. War and conflict related disasters are not addressed by the Strategy.

3. Analysis of current EU disaster risk reduction support

The "Support Study for the Implementation Plan of the EU Strategy for Supporting DRR in Developing Countries" provides an overview and analysis of current and planned activities in the field of EU and Member States supported DRR activities in developing countries, together with a set of recommendations. It also draws information and insights from the activities of international and regional organizations as well as NGOs. Its findings, together with further contributions by Member States, the Commission and other stakeholders, have been used to prepare the Implementation Plan.

The Study was oriented towards addressing the "implementation priorities" and "areas for intervention" set out in the Council Conclusions of 18 May 2009⁵, which also asked to pay

⁵ The areas for intervention set out by the Council Conclusions are:
- Promoting DRR as a priority at national, regional and local level, as well as in relevant UN fora;
- Supporting the integration of DRR into policies and planning, in particular into national development and poverty reduction strategies;
- Promoting the identification, assessment and monitoring of disaster risks, including by enhancing early warning and its effective linkage with early reaction;
- Promoting the reduction of risk factors, including through adaptation to climate change;

special attention to the linkage with climate change adaptation and gender-sensitive approaches.

Below are the main findings of the Study in relation to the four implementation priorities established in Council Conclusions:

3.1. Dialogue on disaster risk reduction

A crucial finding of the Study indicates that DRR remains an approach that is still only emerging with regard to the policy agenda of most countries (both within the EU and developing countries). Coordination and cooperation within and between the EU and Member States also need to be improved. The EU Strategy can act as a powerful tool for the recognition of the potential of DRR in contributing to the achievement of MDGs. For this to happen, DRR needs to be included more systematically in policy dialogue for its translation into policy frameworks. This is particularly important for climate change adaptation since DRR is an essential component of climate vulnerability reduction and of building climate resilience. Low-carbon development can serve as a basis for long-term risk reduction as well as sustainable development. The Study also points out the need for partner governments to work with, value and build on community-based achievements for effective vulnerability reduction. EU funded humanitarian aid including the DIPECHO programme, as well as drought preparedness activities (in the Sahel and the Horn of Africa) and epidemic preparedness activities could be used as models for larger-scale community-based approaches, focussed on the most vulnerable and disaster-prone regions.

3.2. Regional Action Plans on disaster risk reduction

Actions to strengthen regional DRR capacity and to reduce disaster risk in vulnerable regions are crucial, as disasters do not stop at borders. In order to develop regional action plans, DRR has to be understood, acknowledged and accepted, not only at expert/technical level, but also strategically at the political decision-making level. Weak institutional foundation and lack of stakeholder coordination, including with and amongst donors, hamper success at the regional level. It is necessary that DRR be more prominently included in Regional Strategy documents. The dissemination and application of appropriate technologies is recommended as an effective tool to reduce vulnerability and foster regional cooperation. Two highly disaster-prone regions are suggested as pilots: West Africa recognized as a region in great need; and the Caribbean, as a region with substantial DRR funding absorption capacity.

3.3. Better integration of disaster risk reduction into EU external action

More effective integration of DRR in the EU's external action and within developing countries' policies and planning processes requires all relevant Commission and Member States' departments to be aware of and better informed about DRR, including through training. This would lead to greater recognition of DRR in Country Strategy documents and integration of DRR into partner countries' policies and strategies. Mainstreaming would be

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- Providing institutional support to national and local authorities and stakeholders;
 - Supporting the improvement of analytical tools (data monitoring stations, vulnerability assessment), including joint analysis with partner countries;
 - Supporting capacity building, education, training, as well as dissemination of risk information to the relevant authorities and communities.

facilitated by the use of indicators monitoring its progress. Whenever possible, different forms of hazards should be tackled together, such as building synergies in the management of biological and technological hazards, food emergencies and conflict. Investing in training and awareness-raising on integration of DRR in development, at head quarters and field level would enhance effective mainstreaming.

3.4. Coordination of EU support for key disaster risk reduction investments

Continuing progress is necessary in all aspects of DRR in developing countries. However, there is a need for: targeted actions on improving hazard and vulnerability assessments for enhanced early warning systems; combined DRR/climate adaptation/climate proofing development projects; promoting DRR in recovery activities in the aftermath of a disaster; addressing underlying risk factors (including climate change); increasing attention to small-scale disasters; awareness raising and capacity building for local authorities and communities; community-based risk reduction; large-scale integrated intervention programmes bringing together good practice at local level and cross-sectoral involvement.

As for the total amount invested in supporting DRR in developing countries, an exact assessment is not possible, as often DRR-related actions are included in non-specific DRR projects. However, the current investment by EU and Member States is estimated between €170 and €250 million per year, equal to roughly 0.5 % of total EU and Member States' ODA (€49 billion in 2009). Approximately half of the expenses on DRR come from the EU budget (DCI, DIPECHO) and the EDF. The financial commitments in the context of the Cancun Agreement build on the Copenhagen Accord and are a potentially significant complementary source that can be used to strengthen the synergy between DRR and Climate Action. The EU has committed €7.2 billion as Fast Start Financing between 2010-12 in the priority areas of Adaptation, REDD+ (Reduction of Emissions from Deforestation and Forest Degradation), Mitigation and Technology Cooperation. Additionally, in 2007 the Commission established the Global Climate Change Alliance (GCCA) to enhance policy dialogue and financial cooperation between the EU and developing countries that are the most vulnerable to the impacts of climate change. Adaptation and DRR are both priority areas of the initiative. The Cancun Agreement, which includes establishing a Green Climate Fund, will also provide a funding channel for supporting adaptation.

4. The Implementation Plan: key priorities and actors

The Implementation Plan presented here is intended to become a tool for increased EU aid effectiveness and coordination in DRR support for developing countries. It complements the EU DRR Strategy, which remains the reference text document at EU level. The initial period of implementation foreseen is four years – 2011 / 2014. The Implementation Plan will be revised at the end of its second year, in early 2013.

The objectives and actions indicated in the Implementation Plan are grouped according to four implementation priorities agreed in the Council Conclusions, to which a further fifth priority has been added: "Monitoring and Evaluation" to ensuring effective implementation that translates into results.

In line with the objectives of the EU Strategy and building on the findings of the Study, the underlying theme of the Implementation Plan is to bring DRR and its linkage to climate adaptation more strongly and systematically into the development field, in order for DRR to become a commonly used approach in the fight for poverty reduction and sustainable development. It focuses on operations in areas where the knowledge and expertise of the EU can be of added value and builds on existing actions implemented at EU level (exchange of good practices, risk assessment methodologies, development of early warning tools). In order to achieve this, a better coordination and exchange of information between actors, including with experts of relevant related sectors, will be essential. In this context, the role of the Steering Group will be crucial, including for the further prioritization of actions (in particular identifying those to be addressed in 2011 and 2012); the division of labour; and the monitoring of the Implementation Plan.

The Implementation Plan will work to promote DRR as a priority at regional level and to make sure that authorities and stakeholders have the needed support in terms of knowledge, expertise and technical tools to integrate DRR in their strategies. Initial focus will be on Western African, Caribbean and Pacific regions. Synergies will be ensured with the implementation of the EU framework on disaster prevention within the EU, as well as with existing tools and instruments, such as the Community Civil Protection Mechanism and the development of the climate Adaptation Clearing house.

Efforts will be made to improve the integration of DRR, climate adaptation and mitigation and cross-cutting issues (gender; vulnerable groups; environment and indigenous knowledge) into EU development cooperation and to promote the integration of DRR into partner countries' policies and strategies. These factors impact on the political, economic and social security, particularly of fragile countries and must form part of any development strategy. To facilitate the integration of DRR into partner countries' policies and strategies, the Commission has programmed a contribution of €60 million to the Global Facility of Disaster Reduction and Recovery (GFDRR) managed by the World Bank for activities in all ACP countries. The process will also be assisted through training in mainstreaming DRR/climate adaptation for staff of developing countries and the EU alike. In the immediate aftermath of a natural disaster, the EU will promote Post Disaster Needs Assessments (PDNAs)⁶ to integrate DRR

⁶ Joint Declaration on Post-crisis Assessments and recovery planning signed 28 Sept 2008 by the European Commission, the World Bank and the UN Development Group. The EU is currently promoting the full integration of DRR into the jointly (EU/WB/UN) developed tools for PDNAs.

into the recovery framework/reconstruction plans and encourage resilience. The Commission welcomed the Adaptation Framework established in Cancun. The Adaptation Framework aims, *inter alia*, to enhance climate change related DRR strategies.

Finally, a number of targeted actions will aim at supporting information systems and risk mapping and analysis; supporting the implementation of national and regional strategies in view of reducing underlying risk factors; promoting the inclusion of DRR in recovery; and enhancing practices at sub-national and local levels with attention paid to gender issues, vulnerable groups and environmental sustainability.

Actors in the Implementation Plan (the "Agent" column) are the EU (Commission and Member States, sometimes through the Steering Group). At its first meeting following the adoption of the Implementation Plan, the Steering Group will identify a Lead Agent for those actions for which one is required. However, successful implementation naturally also implies working in partnership with others, in particular with the developing countries and affected communities themselves, as well as NGOs, international organisations and the research community. References to the Commission, Member States and Steering Group in the agents column is thus to recognise their commitment and responsibility for a specific action, without excluding the need for other stakeholders to also take part in the implementation.

5. Monitoring

Each action included in the Implementation Plan is linked to an overall objective and a specific output. These will serve to regularly monitor effective implementation of the Plan.

The Steering Group at its first meeting after the adoption of the Implementation Plan will establish the appropriate framework to monitor progress and financing and evaluate the implementation of the Strategy, defining a format and timeframe for reporting.

EU STRATEGY FOR SUPPORTING DISASTER RISK REDUCTION IN DEVELOPING COUNTRIES - IMPLEMENTATION PLAN

IMPLEMENTATION PRIORITY A - DIALOGUE ON DISASTER RISK REDUCTION: promote DRR as a priority at regional, national and local level & strengthen dialogue with developing countries, within the EU and other donors and stakeholders

Objectives	Action No.	Actions proposed	Agent (*)	Timeframe	Outputs
1. Improve coordination of DRR in developing countries within the EU	1	Clarify the roles of the Commission services in relation to DRR and of their functions and relevant funding instruments	Commission	2011	Commission's DRR related websites are updated accordingly and information disseminated
	2	Encourage the linking of relevant departments and stakeholders involved in DRR by facilitating the development of EU national coordination platforms within the Hyogo Framework for Action.	Member States	2011 on	Member States' role and composition of their platforms is communicated annually for dissemination to DRR community
	3	Strengthen the role of the Steering Group to serve as coordination body for the division of labour, prioritization and monitoring of the implementation of the EU Strategy and forum for regular exchange of information amongst EU and other stakeholders	Commission + Member States	2011	Role and working modalities of the Steering Group are set out in an agreed document. A lead Agent (a Commission Service or a Member State) is identified for each Action requiring one
	4	Ensure cross-membership and exchange of information between the Steering Group and other relevant sectors (including humanitarian action, civil protection, food security, climate action, health, education, environment and infrastructure)	Commission + Member States	2011 on	Members of the Steering Group participate to other working groups and vice versa
	5	Enhance dialogue on DRR within the Humanitarian community	Commission	2011 on	Strategic Programming Dialogue with main ECHO partners; Partners' conference; and Regional and National consultation workshops with partners and other donors and stakeholders are organized annually

2. Promote DRR in national and regional policy dialogue, including the link between DRR and climate action	6	Reinforce the coverage of DRR and its linkage to climate adaptation in bilateral and multilateral policy dialogue applying aid effectiveness principles	(*) Commission + Member States	2011 on	Evidence-based information is prepared for inclusion of DRR and climate adaptation and mitigation in policy dialogue meetings
	7	Promote dialogue on DRR at (and between) regional, national and local level bodies facilitated by the Commission and Member States	(*) Commission + Member States	2011 on	Regional, National and local level consultations/meetings/DRR events with partners and stakeholders are organized
	8	Promote dialogue with non-state actors and raise public awareness on DRR and Disaster Preparedness in partner countries	(*) Commission + Member States	2011 on	Specific documents and other material are prepared for awareness campaigns. Consultation workshops with partners and stakeholders are organized
3. Promotion and scaling up of action at local level	9	Use national policy dialogue to put in place the enabling conditions for action at local level and its scaling-up	(*) Commission + Member States	2011 on	Specific documents are prepared for awareness campaigns. Consultation workshops with partners and stakeholders are organized
4. Strengthen common EU voice at global, regional and national level	10	Present a common and coordinated EU DRR vision at the 3rd session of the Global Platform for DRR and other relevant international conferences, meetings and DRR related fora	Commission + Member States	2011 on	EU common position. EU joint statements. Documents on EU policy and activities are prepared and disseminated

For Actions bearing the (*), the Steering Group will identify a Lead Agent at its first meeting after the approval of the Implementation Plan

IMPLEMENTATION PRIORITY B - REGIONAL ACTIONS PLANS ON DISASTER RISK REDUCTION: Strengthen regional DRR capacity and reduce disaster risk in vulnerable regions & promoting the implementation of regional action plans

Objectives	Action No.	Actions proposed	Agent	Timeframe	Outputs
5. Promote DRR as a priority at regional level	11	DRR advocacy in partnership with regional and sub-regional organizations	(*) Commission + Member States	2011 on	Regional and sub-regional joint DRR events organized
	12	Starting in the Western Africa, Caribbean and Pacific regions promote the strengthening and development of regional action plans possibly linked to existing relevant tools and instruments (such as the Community Civil Protection Mechanism)	Commission + Member States	2011 on	Western African, Caribbean and Pacific regional institutions adopt regional action plans for DRR
6. Reinforce institutional capacity of regional authorities and stakeholders	13	Undertake assessment of regional organizations and initiatives to determine institutional support needs and embark on capacity building and technical assistance	(*) Commission + Member States	2011- 2012	Assessments are carried out and capacity building programmes developed on the basis of findings of assessments
	14	Increase institutional support to authorities and stakeholders for effective dialogue on DRR between countries in the region to promoting the strengthening and/or establishment of regional and sub-regional platforms for DRR	(*) Commission + Member States	2011 - 2012	The establishment/strengthening of DRR units within Regional organizations is supported in view of establishment/strengthening of Regional Platforms on DRR
7. Enhance the integration of DRR into planning of EU and MS financial instruments	15	Improve DRR coverage in EU and Member States' Regional Strategies during mid-term review and next programming cycle exercises	(*) Commission + Member States	2011on	Regional level analytical work underpinning EU and Member States' Regional Strategies integrates DRR
8. Support regional capacities to identify, assess and monitor risk by improving analytical tools	16	Assess and address gaps in the analytical tools to identify, assess, monitor and forecast disaster risk and enhance early warning in the region, using if appropriate existing guidelines and tools developed at EU level	(*) Commission + Member States	2011 - 2012	Current risk analysis tools and methods for DRR including GDACS reviewed also through joint analysis with regional partners

	17	Apply state of the art risk mapping and risk analysis methods and technologies and support training of staff for its use	(*) Commission + Member States	2011 on	Common EU training package developed. Training sessions for regional staff organized periodically
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IMPLEMENTATION PRIORITY C - INTEGRATION OF DISASTER RISK REDUCTION INTO EU'S EXTERNAL ACTION: Integrate DRR into the EU's external action and support the integration of DRR within developing countries' policies and planning processes

Objectives	Action No.	Actions proposed	Agent	Timeframe	Outputs
9. Further integrate DRR, including linkages to climate adaptation and mitigation and cross-cutting issues (such as gender, vulnerable groups, environment) into EU and MS development cooperation	18	Improve DRR coverage in EU and Member States' Country Strategies during mid-term review and next programming cycle exercises	(*) Commission + Member States	2011 on	Country level analytical work underpinning EU and member States' Country Strategies integrates DRR
	19	Promote the replication and scaling-up of successful EU and Member States initiatives through development cooperation instruments	(*) Commission + Member States	2011 - 2012	Best practices are identified, compiled, distributed and possibly funded
	20	Analyse and develop common EU and Member States assessment mechanism/tools/methods to improve DRR integration in external action	(*) Commission + Member States	2011 - 2012	Common EU assessment tool is elaborated including making use of ground and earth observation
10. Promote mainstreaming of DRR in developing countries policies and strategies	21	Assist developing country partners in their efforts to integrate DRR and climate adaptation within their national development policies and strategies	(*) Commission + Member States	2011 on	Common EU guidance to integrate DRR and climate risk management into relevant plans and programmes is prepared and distributed
	22	Support developing countries to set up national platforms within the Hyogo Framework for Action, inclusive of all stakeholders	Commission + Member States	2011 on	UNISDR guidelines/principles on national platforms are integrated in national policy dialogue

	23	Support governments to invest in DRR and comply with the recommendations of post-disaster needs assessment (PDNAs) and other post-disaster assessments if relevant	Commission + Member States	2011 on	Implementation of PDNA's recommendations is financed, including through matching grants, in application of aid effectiveness principles
11. Enhance EU and partner countries' staff knowledge and capacity on integration of DRR and climate adaptation in development	24	Mainstream DRR principles and activities into development and humanitarian assistance	(*) Commission + Member States	2011 - 2012	Common EU guidance to integrate DRR and climate risk management into relevant plans and programmes is prepared and distributed
	25	Provide training in DRR - including link to climate adaptation - and its incorporation in strategic planning process jointly for field staff in regional and country offices and for their government/institutions counterparts	Commission + Member States	2011 on	Trainings for field staff and developing countries government/institution officials are organized on a periodical basis

IMPLEMENTATION PRIORITY D - COORDINATION OF EU SUPPORT FOR KEY DISASTER RISK REDUCTION INVESTMENTS: Support targeted actions related to prevention, mitigation, preparedness and sustainable recovery, including through adaptation to climate change

Objectives	Action No.	Actions proposed	Agent	Timeframe	Outputs
12. Support the development and utilization of information systems and risk analysis	26	Extend to developing countries the scope of research projects related to risk mapping and assessment; disaster prevention, mitigation, preparedness and response; and climate action	(*) Commission + Member States	2011	Inventory of European programmes carried out, establishing scope and opportunity for extending to developing countries
13. Support implementation of national and regional strategies	27	Promote investing in the implementation of strategies and programmes within a country or region that are inter-sectoral in approach and that address underlying risk factors	Commission + Member States	2011 on	Coordination of financing at country and regional level is ensured through relevant platforms. DRR financing increased
14. Promote DRR in recovery activities	28	Encourage Member States donors to meet the Global Platform target of ensuring 10% of humanitarian assistance is used for DRR activities within rehabilitation and reconstruction	(*) Commission + Member States	2011 on	Preparation of Plan for EU and Member States donors to gradually increase commitment to reach 10% target

15. Enhance practices at sub-national and local level	29	Promote DRR practices that build the capacity of communities to identify, prevent, mitigate and prepare for disasters, including participatory risk assessment, local action planning and implementation of prevention and mitigation and adaptation measures	Commission + Member States	2011 on	Community based DRR approaches adequately reflected in national, sub-national and local strategies and projects
	30	Foster DRR approaches at community level that target gender and vulnerable groups strengths/weaknesses, indigenous knowledge and environmental sustainability	(*) Commission + Member States	2012 - 2013	Common EU guidelines are produced

IMPLEMENTATION PRIORITY E - MONITORING AND EVALUATION: ensuring effective implementation that translates into results					
Objectives	Action No.	Actions proposed	Agent	Timeframe	Outputs
16. Report regularly on progress made with implementation	31	Define the format and timeframe of reporting	Steering Group	2011	Production of a template report and agreement on the submission planning
17. Ensure sound and timely monitoring	32	Establish an appropriate framework to monitor progress and financing, and evaluate the implementation of the strategy	Steering Group	2011	Production of a list of relevant indicators for monitoring the progress of the Implementation Plan