



U.S. Disaster Risk Reduction Strategic Framework - Nepal

FY2012 - 2016

Prepared by the USAID/Nepal Disaster Risk Reduction Office with support from the U.S. Embassy Nepal, USAID/DCHA/OFDA, USAID/DCHA/CMM, USAID/DCHA/OCR, and the Center for Excellence in Disaster Management & Humanitarian Assistance

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Acronyms Definition

CBDRM	Community Based Disaster Risk Management
CCDN	Center for Community Development Nepal
CDO	Chief District Officer
CFUG	Community Forest Users Group
COE	Center for Excellence
CSO	Civil Society Organization
DDRC	District Disaster Relief Committees
DDRP	District Disaster Response Plan
DHM	Department of Hydrology and Meteorology
DRR	Disaster Risk Reduction
DUDBC	Department of Urban Development and Building Codes
EOC	Emergency Operations Center
EWS	Early Warning System
FCHV	Female Community Health Volunteer
FNCCI	Federation of Nepalese Chambers of Commerce and Industry
FtF	Feed the Future (Presidential Initiative)
GON	Government of Nepal
ICS	Incident Command System
IR	Intermediate Result
LDO	Local Development Officer
M&E	Monitoring and Evaluation
MoHA	Ministry of Home Affairs
MoLD	Ministry of Local Development
NDMA	National Disaster Management Authority
NGO	Non-governmental Organization
NRRC	Nepal Risk Reduction Consortium
NSDRM	National Strategy for Disaster Risk Management
OFDA	USAID's Office of Foreign Disaster Assistance
RDMA	Regional Development Mission for Asia
SAARC	South Asian Association for Regional Cooperation
SOCAPAC	Special Operations Command, Pacific
SOP	Standard Operating Procedure
USAID	United States Agency for International Development
USG	United States Government
VDC	Village Development Committees
WASH	Water Sanitation Hygiene

Background

In FY2011, the US Embassy in Nepal initiated an effort to integrate USG DRR assistance to provide a whole-of-government approach in Nepal. An interagency assessment and strategy development team conducted consultative meetings with governments at all levels, communities, partners and others to inform this 5-year strategy for USG assistance in Nepal. The teams had the following objectives:

1. Consult with government agencies, communities and other stakeholders on natural disaster risk perception in targeted areas in Nepal,
2. Examine the current plans of the GON and the international community to prepare, mitigate and respond to natural disasters – including mapping of donor and GON DRR interventions,
3. Identify common challenges in existing DRR practices, plans and programs (i.e. policies, plans, programs and institutional capacity),
4. Analyze gaps in current efforts and identify options for USG DRR interventions based on USG Agencies' comparative advantages, and
5. Examine how DRR might be mainstreamed into current and planned USG development programs (including possible modification of activities, where necessary).

The team was led by the USAID/Nepal Disaster Risk Reduction Office. Lead technical support was provided by USAID's Office of Foreign Disaster Assistance (OFDA). Additional technical support was provided by the Center for Excellence (COE) in Disaster Management and Humanitarian Assistance as well as Special Operations Command, Pacific (SOCPAC). The strategy development process was developed and facilitated by USAID's Regional Senior Conflict Advisor from USAID/RDMA and a Program Analyst from USAID's Office of Civilian Response. The team was completed by interagency staff from across the U.S. Embassy, including Department of State Political and Economic Affairs, Public Affairs and the Regional Environmental Office; the Department of Defense Office of Defense Cooperation, Defense Attaché and PACOM Augmentation Team; and the USAID Health and Family Planning, General Development, Program, and Democracy and Governance Offices. Substantial support was provided by the Management and Regional Security Offices.

This strategic framework provides the general guidance for USG engagement in DRR in Nepal. It provides summary information from the interagency assessment and gives illustrative activities and outcomes that may be considered under the framework. The expectation is that the interagency Disaster Working Group at Post will define specific outcomes and activities when they formulate annual work plans and establish a monitoring and evaluation plan.

DRR Challenges & Opportunities

Challenges

Below is a sampling of challenges that the field teams observed.

- **Backdrop in Nepal:** Limited resources, lack of institutional or technical capacity, extreme poverty, lack of livelihood diversification and limited access to services such as health care were prominent themes in the field teams' meetings.
- **Focus on Response:** The focus of the limited DRR efforts in Nepal is primarily response to victims after a disaster occurs. Although District Disaster Relief Committees (DDRCs) and district disaster preparedness plans exist in the districts that field teams visited, disaster mitigation activities, and

strategies and resources for operationalizing and implementing the plans, are limited. Field teams observed that plans developed at the central level are not completely transferred down to the local level. Interviewees reported that administrative differences between the Chief District Officer (CDO), Local Development Officer (LDO), municipalities and Village Development Committees (VDC) commonly lead to communication and implementation challenges.

- **Socio-economic Marginalization:** The socio-economic marginalization of certain ethnic groups, due to their lack of economic opportunity and political representation in local governments, results in a lack of voice for vulnerable people. In addition, the poorest and most marginalized people are the most difficult to reach when trying to increase awareness, due to geographic challenges and lack of infrastructure. Assessment teams felt that capacity building and awareness-raising programs were heavily focused on Kathmandu. In many of the places that the field teams visited, there was a lack of engagement with women and vulnerable groups.
- **Awareness Lacking:** Although awareness of the need for DRR is increasing, it is still low on the priority list compared to other challenges in Nepal. As one respondent explained, “the mentality is to survive, not to plan ahead.” With high levels of poverty, providing food for their families and maintaining good health was the primary focus of many respondents. Field teams commonly heard “we will face it as it comes” when people were speaking about low probability disasters such as earthquakes. Some communities are implementing minor activities for floods, but such efforts are very localized and short-term. Field teams noted a need to identify local and national emergency contact information, which could then be made available to the public.
- **Cost Misperception:** There is a widely-held perception that the cost of seismic resistant housing is very expensive. People believe the difference in cost to build a seismically safe house is significant, ranging up to 70% more, whereas experts estimate the actual additional cost to be approximately 5-10%.
- **Limited Capacity:** In terms of capacity to build earthquake resistant structures and monitor construction quality, respondents reported that more training is needed for masons and engineers. Although there are some programs that currently provide such training, respondents reported that more training is needed, as well as additional technical capacity among government officials to inspect quality. The teams also noted that health systems are not equipped to handle mass casualties in the case of a large-scale disaster, although Rapid Response Teams are in place in some districts.
- **Lack of Enforcement:** Implementation and enforcement of the building code is affected by policy overlap between the Department of Urban Development and Building Codes (DUDBC) and the Ministry of Local Development (MoLD). Due to the fact that the regulatory and implementing bodies are not under one authority, inspecting and enforcing the codes is very difficult. This is compounded by the lack of government capacity to enforce codes in the first place. Field teams noted that roads and bridges are also being constructed without proper seismic code and improper environmental impact assessments, which in some cases exacerbates vulnerability to natural hazards.
- **Lack of Clear Policy Framework:** There is lack of clarity among the security forces (Nepal Army, Armed Police Forces, and Nepal Police) regarding who the first responder is in the case of a disaster. Ministry of Home Affairs (MoHA) has not designated one of the three security forces as the primary responder which is a problem in large-scale disasters. Another major gap that was identified is that the response plans of the Nepal Army are not integrated with the other disaster

response plans. In addition, interviewees reported that although the number of security personnel is sufficient to respond, they are in need of more training and equipment.

- **Early Warning Systems Limited:** Early warning systems (EWS) are very limited. Most are fairly simple and localized in areas that have recently experienced disasters. Hazard mapping was identified as necessary in many municipalities and districts, and data collection was identified as a challenge. In addition, the national EWSs are not linked to local governments or communities.
- **Environmental Degradation:** People acknowledge that they are contributing to deforestation, and thus soil erosion, but they do not see any other option. They use wood for cooking and heating. Deforestation is also caused by non-engineered road construction at the VDC level, which is affecting floods and landslides. In addition, respondents reported that many roads and bridges are not being maintained after they are built.
- **Political Parties:** Political parties do not see disaster risk reduction as an effective platform to obtain votes in part because people are not aware of the risks. In addition, respondents stated that coordination among the different political parties during an emergency is a challenge. District and local government officials are appointed by the central government, which means that they are not representative of the community. However, at the national-level, when political parties are engaged on DRR, they indicate that it is an area in which parties should be able to work together since they all want to safeguard their people and reduce risk in Nepal.
- **Media Infrastructure:** Key media infrastructure is vulnerable to disasters and there is a lack of attention to disaster risk reduction. Private media respondents interviewed expressed the need for more technical knowledge about disaster risk reduction. It should be noted that some community FM radio stations are partnering with local and international nongovernmental organizations (NGOs) to broadcast public messages on preparedness for recurrent hazards when information is provided to them. In addition, although local FM is available in most regions, it is vulnerable to lightning strikes, which render the entire system inoperable. Organizational contingency or recovery plans are lacking according to all media respondents.
- **Hazards and Vulnerabilities:** Recurrent hazards and vulnerabilities that teams observed during consultative meetings with stakeholders include localized flooding in towns and cities in the south, flooding along the river systems and flash floods and landslides in the mountains. Teams also discussed fires, although household fires are not considered a natural hazard.

Opportunities

Below are some opportunities identified by the field teams:

- **Build on Indigenous Initiatives:** There are effective indigenous environmental initiatives occurring at the community level that can be built upon, such as bamboo restoration, community forestry mechanisms and the planting of Uttis trees. Field teams noted exemplary municipalities and cities such as Triyuga municipality in Udayapur district which was seen to have a very proactive approach to DRR, and the city planning and building code implementation in Dharan, Sunsari district, which demonstrates what a unified community can accomplish.
- **Build on Community Networks:** Many ideas arose from local groups and organizations about how to raise awareness and maximize impact by working with community based organizations, users groups and local NGOs who have demonstrated enthusiasm and efficacy. Local champions like masons, agricultural extension workers, midwives, nurses, teachers and lamas are trusted by

the people and could be engaged to spread awareness about DRR and implement appropriate measures. School children in particular were identified as future agents for raising awareness about disaster risk reduction. Working with schools, not only to strengthen curriculum but establish community evacuation plans and hazard and resource mapping, were identified as opportunities. In addition, field teams reported that Female Community Health Volunteers (FCHVs) are operational in every ward and can be increasingly utilized to raise awareness. It was also recommended that disaster planners disseminate materials when they go into the districts. Interviewees across Nepal relayed the need to strengthen DRR awareness.

- **Leverage Women's Groups:** There is an opportunity to build upon women's programs and associations such as agricultural cooperatives and micro-lending programs. This opportunity was aptly stated by a woman who is part of a cooperative being supported by the Center for Community Development Nepal (CCDN) in Simaltar Village, Makwanapur district who stated, "*Ma netritwa linchu tapai sahayog garnus*" which means "I will lead, you support." Field teams identified opportunities to increasingly engage with women, who work tirelessly to protect their children and households.
- **Awareness of Cost-Effective DRR:** Emphasizing the marginal cost increase for earthquake and flood resistant construction would encourage compliance. Field teams reported that low-cost earthquake and flood technology should be increasingly socialized. In terms of construction monitoring, field teams found that the capacity for monitoring construction exists within DUDBC and can be built upon.
- **Multiple Mediums to Reach People:** Communications media such as radio, television and cell phones can be used for raising awareness. Field teams found that community FM radio stations are willing and able to do more DRR programming. Community based DRR activities have been identified as being of primary importance, and media respondents stated that they are willing to increase their disaster risk reduction programming. Opportunities identified include the provision of technical assistance, disaster risk reduction awareness and preparedness training, and program materials.
- **Role for the Private Sector:** There are opportunities for the private sector to play a positive role in DRR. First, there are profitable activities the private sector could pursue that would provide a "virtuous cycle of risk reduction" especially if coupled with public awareness campaigns. For example, building material companies could advertise high-grade building materials that meet code; as the public demands better construction, this could be a selling point to consumers. The financial and insurance sectors could have a very positive role to play if they would build DRR into their business models—ones in which the provision of loans and insurance would be contingent on sound building practices. This also makes good business sense because if buildings crumble and loans are not repaid, the financial sector risks collapsing. Second, businesses also need continuity of operations plans so that they can function post-disaster and in some cases be part of the recovery efforts. This will help to get economic activity moving as quickly as possible.
- **DRR Governing Body:** Decision-makers support the establishment of a National Disaster Management Authority (NDMA). Most government personnel who were interviewed said that they support the establishment of the NDMA at the highest level, which would greatly increase efficacy and coordination in the case of a disaster.
- **GON Leadership:** GON has realized that it must mainstream DRR.

DRR Results Framework

Critical Assumptions

The following assumptions are critical to the success of this strategy. Should these assumptions prove to be false, the strategy will have to be revisited and revised accordingly. Assumptions should be reviewed on an annual basis to ensure that they continue to hold true and that necessary strategic adjustments are made.

- *The Government of Nepal is invested in and works in partnership with the USG and other donors to improve and maintain its DRR capacity.*
 - Adequate political awareness and motivation to implement DRR.
 - Communities are motivated and willing to work on implementing DRR.
- *No major disasters during the implementation of this strategy.*
 - A major disaster would divert attention and resources for response and recovery programs away from DRR programs. In that case, this strategy would have to be revisited in a post-disaster context to build back better practices and programs.
- *USG personnel and resources are available and committed.*
 - Coordination of this interagency DRR program needs dedicated personnel. Currently, there is an interagency DRR Office providing leadership for this strategy, but success of this program hinges on the continuity of personal and resources for projects/programs.
 - The sectoral nature of USAID development assistance funding can seem to limit or prohibit the assignment of some development assistance budgets for DRR or disaster preparedness purposes.
- *Regional stability – borders are open and economic relations continue.*
 - India and China will have a critical role in a major disaster and should have an important role in DRR. However actions by India and other regional actors could shift the GON's focus away from DRR. For example, in 1989 India closed the borders and it created a major economic disruption. That kind of disruption would undermine our ability to maintain focus on disasters.
- *No resumption of major conflict.*
 - Most experts do not seem to expect a return to widespread political conflict at this point. However there are several flashpoints that could prove problematic around the ratification of a Constitution, the roll out of federalism, and future elections.

Risks

The team identified the following strategic risks as important considerations for strategy and program development. Mitigation measures have been proposed for each risk. The U.S. Embassy will need to assess these risks annually to determine if they need to make strategic or programmatic adjustments.

- *The ongoing constitutional impasse prevents action at all levels of the GON.*
 - As noted below, it is proposed that the portfolio is balanced between community and nationally-focused interventions to help mitigate this risk. This balance will allow the USG to shift priorities and resources to focus fully on community-based interventions if the GON comes to a standstill around constitutional or other issues.
 - The Embassy will also need to continue raising awareness on the political side to help keep the focus on DRR.

- *The implementation of federalism could possibly hamper functioning of local government.*
 - Federalism appears to be an inevitable outcome of the ongoing constitutional process, though the question remains as to what form it will take.
 - If the USG begins investing in DRR at the local government level, there is a risk that changes from federalism could destroy the bureaucracy that donors have invested in building.
 - The strategy team reasoned that work done at the district-level would likely carry over in a federal system – if systems and plans are created, they will probably be used in the event of a disaster.
 - It will be important to manage expectations for how fast programs may move if the government is going through a major transition – indicators may need to change and program targets may need to be adjusted.
- *In the event of a large disaster, political actors may sideline bureaucratic mandated to respond.*
 - Some donors are supporting the Ministry of Home Affairs (MOHA) in establishing Emergency Operations Centers (EOCs) and working with other line ministries to build their mitigation and response systems. Experience in other countries has shown that in a major disaster political actors may opt to take over from the established bureaucracy.
 - This strategy focuses on building capacity of first responders that can't be sidelined, like police, army and hospital workers. These first-line responders will de facto be involved in a major response, irrespective of who is in charge.
 - At the same time, it will be critical to encourage political actors to use the systems that have been established for disaster response.
- *An increase in awareness is not coupled with an increase in capacity, leading to disillusionment.*
 - People in Nepal will understand very quickly if awareness programs are not coupled with action on the part of the government, civil society, the private sector or individuals. If awareness increases but the situation on the ground does not change, people will become disillusioned with DRR.
 - Therefore, all USG awareness programs and public outreach will contain a balance of articulated risk as well as provision for practical, actionable advice for managing risk – USG programs will not leave a problem hanging out there without a solution

Cross-Cutting Themes

Community-level Engagement

In a major disaster, like an earthquake, family, friends and neighbors will be the first responders in most communities across Nepal. Indeed, in the event of a major earthquake it may take months for some communities to see international or government assistance. Therefore, community-level engagement has been integrated into all three objectives in this strategy. This integration is also essential to balancing uncertainty around the capacity and interest of government and elected officials. Investments are most likely to be stable – and assets protected – at the community-level.

Capacity Building

The end result of this strategy is to see an increase in DRR capacity in Nepal to allow Nepalese society to manage disaster response and preparedness with less international assistance. Therefore, each objective and intermediate result (IR) incorporates capacity building components, from direct training to equipment provision to increasing awareness. These interventions will build capacity across the country and throughout all levels of Nepalese society.

Governance

Successful DRR in Nepal depends largely on governance capacity for disaster response and preparedness and has therefore been identified as a cross-cutting theme. Specific governance activities focusing on increasing political parties' awareness of DRR, media and civil society interventions, and political messaging around DRR have been integrated into the Advocacy and Awareness Objective. Good governance also underpins activities in Prepare to Respond and Mitigation.

Results Framework

The interagency assessment team developed a results framework, which was then modified by the interagency Disaster Working Group to best reflect priorities at Post. The illustrative outcomes and activities are a product of group brainstorming. Actual activities and outcomes will be developed during the formulation of the work plans each year. These work plans will be appended to this document as annexes.



Objective 1: Prepare to Respond

Preparedness for, and response to, natural disasters is effective, efficient and timely

The capacity of a nation to respond to disasters depends upon the effectiveness of its emergency systems (early warning included) and essential personnel. Such systems need strengthening (and in some cases establishment) and testing as well as proper staffing at all levels, from community to national-level, as well as appropriate equipment and training. This requires the support of the national government and the dedication of resources to ensure an institutionalized response structure that is able to respond in a timely and effective manner.

Nepal's history of recurring natural disasters necessitates a culture of preparedness. Until recently, Nepal's approach to disasters was primarily reactionary, focusing on the essential lifesaving support provided after an event. In line with a shift by the Government of Nepal towards a more comprehensive DRR strategy for the nation, Objective 1 of this document outlines key areas through which the U.S. Government can contribute to improving Nepal's disaster preparedness capacity.

Theory of Change

If the response capacity (human and systemic) in Nepal is enhanced, then preparedness for, and response to, natural disasters will be effective, efficient and timely.

Intermediate Results

- IR1 - Response to natural disasters is more effective based on clear and well-exercised plans and lines of authority
- IR2 - First responders have the capacity to respond effectively to natural disasters in targeted regions
- IR3 - Local communities are better able to respond to natural disasters
- IR4 - Regional actors engage and cooperate on DRR issues

IR1 - Response to natural disasters is more effective based on clear and well-exercised plans and lines of authority

Theory of Change - If Standard Operating Procedures that define clear lines of authorities for disaster response are exercised and executed then response to natural disasters is effective, efficient and timely.

Illustrative Outcomes

- Drills/simulations are conducted
- The people staffing the network of Emergency operations Centers (EOC) are trained on Incident Command System principles
- District Disaster Relief Committees (DDRC) meet periodically and disaster plans are updated
- The National Strategy for Disaster Risk Management (NSDRM) implementing legislation is passed, creating a National Disaster Management Authority (NDMA)
- National Disaster Response Plan is developed

Illustrative Activities

- Support GoN to carry out DRR drills exercising Disaster SOPs/DDRP
- Support DDRC to prioritize disaster risks and tailor execution plans on a recurring, scheduled basis
- Partner with GoN to provide resources and training to the EOC for an effective ICS
- High-level meetings with GON officials to advocate for a National Disaster Management Authority and passage of the National Strategy Disaster Risk Management legislation
- Utilize existing channels with Ministry of Defense and Ministry of Home Affairs to discuss the roles of security forces in disaster preparedness and response and encourage development of a National Disaster Response Plan

IR2 - First responders have the capacity to respond effectively to natural disasters

Theory of Change - If security forces, emergency health providers, and first responders in at-risk communities have critical equipment and are trained, then response to natural disasters will be more effective.

Illustrative Outcomes

- Security forces, emergency health providers, and community-level first responders have the capacity to respond to disasters

Illustrative Activities

- Partner with GoN to provide critical equipment and training to (the Nepal Police, APF and Nepal Army) "First Responders"
- Hospital preparedness training

- Assist GON in select districts in orientation to DRR for Health Facility Operation Management Committees
- Promote/enhance critical police disaster-response communication systems
- Technical support to GON to consolidate data sets, information and tools which are then provided to lower levels of government to be used for decision making

IR3 - Local communities are better able to respond to natural disasters

Theory of Change - If communities have the knowledge and capacity to respond to natural disasters, then fewer people will suffer while waiting for external assistance to arrive and the likelihood of needing that assistance is less.

Illustrative Outcomes

- Communities are more resilient to natural disasters
- Communities are increasingly involved in the development of disaster plans
- Awareness of WASH (Water Sanitation Hygiene) at the community level is increased

Illustrative Activities

- Provide Community Based Disaster Risk Management (CBDRM) training along a Training-of-Trainers format to selected communities
- Promote the involvement of USAID partners and communities in local development and disaster plans and hazard mapping exercises
- Raise awareness of the role of safe water and improved sanitation and hygiene in outbreak prevention and disaster response

IR4 – Regional actors engage and cooperate on DRR issues.

Theory of Change - If regional dimensions of a disaster are considered in advance, then the response will be more effective and the GoN, communities and other stakeholders will be able to take appropriate actions.

Illustrative Outcomes

- Early warning systems for selected hazards are developed for targeted areas
- National authorities and scientists trained on early warning systems
- Disaster response lead time is increased
- Trans-boundary cooperation is facilitated
- Investigation on selected hazard modeling is conducted
- Greater engagement by India and SAARC

Illustrative Activities

- Develop flash flood guidance and flood forecasting systems in selected river basins and catchment areas
- Strengthen capacity of the Department of Hydrology and Meteorology (DHM) and others on weather and flood forecasting
- Develop or utilize early warning systems to protect the gains from development activities
- Promote trans-boundary sharing of warnings, information and data that have the potential to affect two or more countries
- Engage India diplomatically
- Monitor regional diseases

Objective 2: Advocacy & Awareness

Nepalese society takes more responsibility for reducing its risk from natural disasters.

Disaster risk reduction—addressing a nation’s vulnerabilities to, and preparation for, anticipated and recurring disasters—is a relatively new concept requiring sound awareness and advocacy within the government and general public. Nepal’s recurring bouts with floods, landslides, droughts and fires, in addition to its vulnerability to a potential large-scale earthquake coupled with increasing awareness across the government and public spectrum provides an opportunity for Nepal to develop a comprehensive DRR strategy. While the current political landscape in Nepal presents challenges toward achieving DRR goals, effective advocacy at this stage can result in the mainstreaming of DRR into government plans and budgets. Non-government actors also have a large role to play and should be leveraged.

Objective 2 of this strategy outlines how this can be achieved with the assistance of the U.S. Government.

Theory of Change

If awareness and advocacy campaigns make DRR relevant to people’s lives, then the society as a whole will take responsibility for reducing its risks from natural disasters.

Intermediate Results

- IR1 - GON mainstreams DRR in institutions, planning and budgets
- IR2 – Private sector stakeholders (including civil society organization (CSOs)) play a positive role in disaster mitigation and response
- IR3 – Media has capability to responsibly cover all aspects of disasters
- IR4 – People understand their risks and know how to protect themselves against hazards

IR1 – GON mainstreams DRR in institutions, planning and budgets

Theory of Change - If the GON incorporates DRR into its planning and budget frameworks at the highest level, then DRR is more likely to be mainstreamed throughout government functions.

Illustrative Outcomes

- GON development plans and budgets incorporate DRR
- Policies improve the integration of mitigation, preparedness and response capacities in the line ministries
- GON provides training, information and tools to decision makers (sectoral, district and municipal levels) for implementation of DRR
- GON incorporates DRR into the next Three Year Development Plan (policy document governing development priorities)
- Local government actors can access and implement DRR resources

Illustrative Activities

- Engage political leaders on DRR issues – possibly through ongoing work involving political party strengthening, the new generation parliament group, Constituent Assembly, and women’s caucus
- Workshops and roundtables to address policy overlaps affecting a comprehensive and multi-hazard building code implementation
- Work with District and local government to access DRR resources
- Advocate with senior GON officials of the need to mainstream DRR into development planning documents and budgets

IR2 – Private sector stakeholders (including CSOs) play a positive role in disaster mitigation and response

Theory of Change - If private sector and CSO actors are more aware of the threats that disasters pose and the positive role they can play in reducing risk, then they will integrate DRR into their operations.

Illustrative Outcomes

- Financial and insurance industries actively participate in DRR as part of a virtuous cycle of risk reduction
- Companies write and regularly update their programs, business continuity, data security and human resource protection plans
- Key industry associations and CSOs collaborate on DRR awareness raising campaigns targeted at the general public addressing seismic risk and seasonal meteorological events
- CSOs take measures to protect their assets and programs with emphasis on seismic risk and recurrent hydrometeorological hazards such as floods and droughts
- CSOs advocate for DRR through their activities toward its beneficiaries and the community in general

Illustrative Activities

- Integrated public-private partnership for disaster preparedness and response logistics system
- Training for FNCCI members on business continuity plans
- Facilitate dialogue between various industries to identify vulnerabilities and interventions to face major disasters
- Encourage industry groups to identify sources of profitability linked to DRR
- National exchanges and consultation with SMEs to provide exposure and advice on best-practices in the regulatory environment, municipal building code, etc.
- Use windows of opportunity to introduce DRR into existing or planned activities like conferences, seminars, and training
- Support partnerships and alliances to enforce/reinforce available training in DRR to address specific DRR needs of CSOs
- Involve the U.S. Nepalese diaspora community in CSO resources specifically for use in risk reduction

IR3 – Media has capability to responsibly cover all aspects of disasters

Theory of Change - If the media's capacity is improved, then they will incorporate DRR into their operations and reporting.

Outcomes

- Media actively participates in periodic DRR awareness raising campaigns with emphasis on seismic risk and recurrent hydrometeorological hazards
- Media infrastructure protected and back-up infrastructure is developed
- Media publishes stories on DRR in targeted communities
- Media advocates to the government to take DRR measures to protect the public
- Media takes part in developing an early warning system and disseminating warnings to affected population

Illustrative Activities

- Training for editors, journalists, etc. in scientific knowledge of hazards to prevent false information being published in the press
- Training for media on identification and advocacy around DRR issues
- Ethics training for media
- Coordinate media outlets to formulate standard operating procedures (SOPs) for nationwide early warning system

- Training for community based radio on weather broadcasting

IR4 – People understand their risks, and know how to protect themselves against hazards

Theory of Change - If awareness campaigns are widespread, the message is relevant to people's lives, and information on practical actions they can take to reduce risk is provided, then individuals will take action to protect themselves against hazards.

Outcomes

- Awareness of vulnerabilities to seismic risk and recurrent hydrometeorological hazards is widespread at the local level
- Traditional and new technologies/techniques for DRR are identified and disseminated
- Individuals implement low cost measures to protect themselves from disasters
- School children know what to do in emergencies

Illustrative Activities

- Traditional public awareness campaigns with USG support (i.e. cartoons that reflect the multicultural facets of Nepal, messaging promoted by trusted/popular figures on a variety of TV, print, radio)
- Partner with CFUGs, FCHVs and Red Cross to provide capacity-building and train individuals on what they can do to reduce risk
- Disaster messages through educational materials/integrated curriculum

Objective 3: Mitigation

Nepal protects investments and people through improved DRR implementation.

Mitigating disasters is the act of addressing vulnerabilities in anticipation of predictable or recurring events to reduce the effects on people, property and the environment. With Nepal's history of natural disasters, investments in mitigation are required to reduce such anticipated losses. Mitigation requires foresight and advanced planning and must be considered at all levels and sectors of government, and in particular at the community level. With the current political will in Nepal and among international donors to start mainstreaming mitigation efforts, fostering a culture of mitigation will provide a return to the nation by reducing the costs of loss due to natural disaster.

Objective 3 of this strategy considers the areas where mitigation measures, in coordination with U.S. government programming, can have significant impact.

Theory of Change

If Nepal incorporates DRR into all sectors, then investments and systems will be better protected and more resilient.

Intermediate Results

- IR1 - Communities are more resilient to disasters
- IR2 - Targeted infrastructure is resistant to natural disasters

IR1—Communities are more resilient to disasters

Theory of Change - If targeted disaster mitigation measures are taken at the community level, then communities will be more resistant to and capable of recovering from disasters.

Illustrative Outcomes

- Targeted communities apply mitigation measures
- Nonstructural mitigation measures are incorporated in health facilities
- National integrated health logistics system is in place for disaster preparedness
- Communities are better able to adapt to environmental changes
- Forests and watersheds are sustainably managed
- Economic growth projects do not inadvertently increase risk
- Individual and private sector economic investments are protected
- Reduced settlements in hazard prone areas

Illustrative Activities

- Mainstream DRR measures in all health programs where doing so is feasible and supportive of program aims
- Encourage nonstructural\disaster mitigation measures to be adopted by health facilities
- Build strong distribution systems for essential supplies before, during and after disasters
- Conduct river basin and catchment assessment and begin implementing recommendations
- Water shed management activities and multi-purpose water use applications
- Encourage integrated disaster preparedness/mitigation training into users' groups (forest, water)
- Encourage reforestation and other sustainable environmental projects
- Low-cost local disaster mitigation/coping techniques integrated into economic growth programs (vocational and technical training)
- Train private sector on continuity of operations planning, networking to reduce vulnerability and identifying business opportunities in mitigation
- Local governance programs improve access to DRR resources for projects and mainstreaming DRR into local development processes
- Encourage improved land use management in targeted areas
- Dual purpose disaster shelters/municipal buildings created
- Soil conservation activities through (Presidential Initiative) Feed the Future (FtF)
- Pandemic and DRR training into the FtF literacy and training component

IR2 –Targeted infrastructure is resistant to natural hazards

Theory of Change - If (public and private) infrastructure is resistant to hazards, then infrastructure will be protected and vulnerability reduced.

Outcomes

- New infrastructure maintains life safety
- Targeted infrastructure endures disasters, particularly those elements needed for response

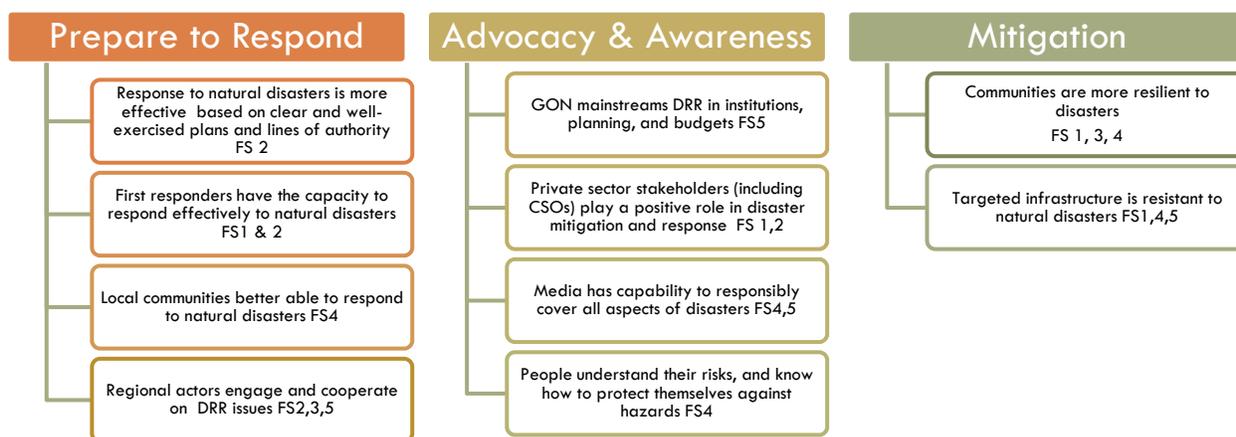
Illustrative Activities

- Encourage new donor and development bank funded GON buildings be built to code (code may be inadequate)
- Any USG funded infrastructure is built to code
- Multi-purpose disaster shelters/municipal buildings
- Reinforcing critical components of Kathmandu airport
- Investigate flood resistant building design
- Training of engineers, overseers and masons in disaster resistant construction

Crosswalk with NRRC Flagships

Based on Government of Nepal priorities and discussions with multi-stakeholder groups, the NRRC members and GON identified five flagship areas of immediate action for disaster risk management in Nepal. These flagships are described in detail in the [February 2011 NRRC Flagship Program Report](#). The U.S. Embassy is a member of the NRRC. The tables below show how the objectives of the USG DRR Strategy for Nepal align with the NRRC Flagships. The five flagship areas are:

1. School and hospital safety
2. Emergency preparedness and response capacity
3. Flood management in the Koshi river basin
4. Integrated community based disaster risk reduction/management
5. Policy/institutional support for disaster risk management



CROSSWALK WITH THE NRRC FLAGSHIPS

Flagship 1: School & Hospital Safety

- O1: IR 2 – First responders have the capacity to respond effectively to natural disasters
- O2: IR 2 – Private sector stakeholders (including CSOs) play a positive role in disaster mitigation and response
- O3: IR 1 – Communities are more resilient to disasters
- O3: IR 2 – Targeted infrastructure is resistant to natural disasters

CROSSWALK WITH THE NRRC FLAGSHIPS	
Flagship 2: Emergency Preparedness & Response	<ul style="list-style-type: none"> • O1: IR1 – Response to natural disasters is more effective based on clear and well-exercised plans and lines of authority • O1: IR2 – First responders have the capacity to respond effectively to natural disasters • O1: IR4 – Regional actors engage and cooperate on DRR issues • O2: IR 2 – Private sector stakeholders (including CSOs) play a positive role in disaster mitigation and response • O2: IR3 – Media has capability to responsibly cover all aspects of disasters
Flagship 3: Flood Management in the Koshi River Basin	<ul style="list-style-type: none"> • O1: IR4 – Regional actors engage and cooperate on DRR issues • O3: IR1 – Communities are more resilient to disasters
Flagship 4: Integrated Community-based Disaster Risk Reduction/Management	<ul style="list-style-type: none"> • O1: IR3 – Local communities are better able to respond to natural disasters • O2: IR3 – Media has capability to responsibly cover all aspects of disasters • O2: IR 4 – People understand their risks, and how to protect themselves against hazards • O3: IR1 – Communities are more resilient to disasters • O3: IR 2 – Targeted infrastructure is resistant to natural disasters
Flagship 5: Policy/Institutional Support for Disaster Risk Management	<ul style="list-style-type: none"> • O1: IR4 – Regional actors engage and cooperate on DRR issues • O2: IR 1 – GON mainstreams DRR in institutions, planning and budgets • O2: IR2 – Private sector (including CSOs) play a positive role in disaster mitigation and response • O2: IR3 – Media has capability to responsibly cover all aspects of disasters • O3: IR 2 – Targeted infrastructure is resistant to natural disasters

Resources

This strategy has been developed in an environment of increasing constraints for U.S. Government overseas assistance. These constraints mean that the Embassy in Nepal will need to take a creative resourcing

approach to meeting the objectives it has set for itself. In addition to the traditional assistance accounts held by the State Department, USAID and the Department of Defense, the Embassy will seek to leverage funds from the private sector, the U.S. Nepalese diaspora and other complementary donor and GON funding. These strategies will help maximize the impact of each dollar spent on DRR in Nepal.

Management Requirements

The US Embassy in Kathmandu has taken a whole of government approach to disaster risk reduction and has established an interagency Disaster Risk Reduction Office, led by a USAID Foreign Service Officer and staffed with the support of State, USAID/OFDA, and DOD--including temporary and permanent staff. The DRR Office is responsible for coordinating and strategically integrating USG investments in DRR, and by many accounts has been very influential with the GON and donors in elevating the importance of DRR. In order to maintain a high level of USG engagement, it is necessary to have dedicated personnel for the duration of this strategy, otherwise, DRR risks being sidelined in USG engagement. All agencies at Post acknowledge that the leadership role (to date) of the USG on DRR would not have been possible without a dedicated DRR Office. See Annex I: Implementation Plan and Core Process Description: US Embassy Nepal Disaster Risk Reduction Strategy for more information on the DRR Office and resource requirements.

Illustrative Monitoring & Evaluation (M&E) Framework

This M&E component is an integral part of the DRR strategy development process. The Desk Study served as the baseline for the assessment, which was followed by panel meetings with GON, U.S. Mission, donors and NGOs and the Field Trips. This data helped to identify critical assumptions and risks, which led to the development of objectives using the Theory of Change approach. The three objectives were tested with priority evaluation questions. Each Objective includes intermediate results, upon which short and medium-term output and outcomes, and long-term impact indicators were defined. These articulated and interdependent elements constitute the M&E framework for strategy implementation. This framework will need to be revised as activities are finalized, and future project design will require further M&E work to address specific needs.

Intermediate Result	Indicators	5-year Outcome	Impact (7-10 year)
Objective 1: Preparedness & Response			
<i>If the response capacity (human and systemic) in Nepal is enhanced, then preparedness for, and response to, natural disasters will be effective, efficient and timely.</i>			
Response to natural disasters is more effective based on clear and well-exercise plans and lines of authority	# drills/simulations conducted # people trained on ICS # trainees retaining knowledge and skills NDRMP legislation passed	Interagency Standard Operating Procedures defined and exercised	Nepalese disaster response is more efficient and utilizes appropriate institutional resources
First responders have the capacity to respond effectively to natural disasters	# people trained Amount of equipment allocated % trainees retaining knowledge and skills	First responders' activation time improved	Nepalese first responders can respond without external support
Local communities are better able to respond to natural disasters	# people trained # community plans developed % trainees retaining knowledge and skills	Communities develop and exercise disaster plans	Communities are able to respond to natural disasters
Regional actors engage and cooperate on DRR issues	# people are trained on early warning systems % trainees retaining knowledge and skills # studies conducted # activities involving key regional actors	Regional cooperation for early warning and response strengthened	Regional actors play a positive and collaborative role on DRR with the GON.
Objective 1 Evaluation Questions			
<ul style="list-style-type: none"> • Is the institutional framework sufficient for effective response? <ul style="list-style-type: none"> • Are the Security Forces and health professionals using their funding and master trainers to train end users? • Are targeted communities applying new skills and knowledge gained to reduce adverse impact within their localities to natural hazards? <ul style="list-style-type: none"> • Are the early warning systems providing sufficient lead time to allow communities to take appropriate action? 			

U.S. Disaster Risk Reduction Strategic Framework - **2011** Nepal

Intermediate Result	Indicators	5-year Outcome	Impact (7-10 year)
	<ul style="list-style-type: none"> Are the warnings utilized at various levels for preparing for potential hazards? Are community-based or local early warning systems connected to a nationwide early warning system? 		
Objective 2: Awareness & Advocacy			
<i>If awareness and advocacy campaigns make DRR relevant to people's lives, then society as a whole will take responsibility for reducing its risks from natural disasters.</i>			
GON mainstreams DRR in institutions, planning and budgets	<ul style="list-style-type: none"> # of laws, policies, agreements or regulations addressing DRR proposed and adopted # of trainings, data sets, information and tools provided to districts and municipalities by the central government NDRMP legislation passed 	Laws, policies, agreements and regulations addressing DRR have adequate budgets and enforcement	DRR mainstreamed and implemented effectively throughout government processes
Private sector stakeholders (including CSOs) play a positive role in disaster mitigation and response	<ul style="list-style-type: none"> # people trained in private sector & CSOs in continuity planning and risk reduction # of DRR awareness campaigns initiated by industry associations and CSOs 	Targeted businesses and CSOs have business continuity plans	Private sector and CSOs are more resilient to disasters and play a positive role in DRR
Media has capability to responsibly cover all aspects of disasters	<ul style="list-style-type: none"> # of DRR stories published measured through content analysis # of media companies trained in contingency planning # of media-initiated awareness campaigns 	Media outlets engaged in early warning systems for seasonal hazards and have contingency plans	Media outlets have invested in back-up equipment and updated contingency planning
People understand their risks and know how to protect themselves against hazards	<ul style="list-style-type: none"> # of people reached by TV, radio and advertising campaigns, and the level of knowledge they report # awareness materials in use in schools 	Success stories of communities that take action to reduce risk	Fewer people are victims of natural disasters because they have taken actions to protect themselves against hazards

Objective 2: Evaluation Questions

- Has USG advocacy played a role in the GON incorporating DRR into national development plans and budgets?
 - Have government resources been allocated in support of key DRR legislation, policies, etc.?
 - Has the media's capacity and capability to promote DRR increased?

U.S. Disaster Risk Reduction Strategic Framework - **2011** Nepal

Intermediate Result	Indicators	5-year Outcome	Impact (7-10 year)
	<ul style="list-style-type: none"> Has the private sector and civil society taken ownership for DRR by organizing their own DRR initiatives? <ul style="list-style-type: none"> Did the public DRR awareness campaign reach the major urban and rural communities at risk? <ul style="list-style-type: none"> Are people more aware and prepared? 		
Objective 3: Mitigation			
<i>If Nepal incorporates DRR into all sectors, then investments and systems will be better protected and more resilient.</i>			
Communities are more resilient to disasters	Quarterly logistics meetings held with all stakeholders # health service providers trained in DRR USG plan completed for non-structural mitigation measure support National Integrated Logistics System disaster preparedness plan completed # of climate vulnerability assessments # of stakeholders trained in DRR measures # private sector actors trained in DRR techniques # of DRR trainings provided through workforce development programs	Non-structural measures incorporated into hospitals National Integrated Logistics System DRR plan implemented Users' groups provide education on DRR Private sector actors have improved capacity to incorporate DRR issues Trainees retain knowledge & skills	Improvement health management practices that take into account DRR Key stakeholders implementing risk-reducing practices/actions to increase resiliency Private sector integrates and implements DRR measures Communities that receive USG-assistance in disaster-prone areas reporting improvement in household income due to better management of risk
Targeted infrastructure is resistant to natural disasters	# people/communities trained in constructing and maintaining disaster resistant infrastructure	Strategically-identified key infrastructure is disaster resistant	Communities have constructed/ developed physical infrastructure to mitigate the effect of shocks
Objective 3: Evaluation Questions			
<ul style="list-style-type: none"> Has the health system integrated non-structural mitigation measures into hospitals? <ul style="list-style-type: none"> Are targeted communities applying DRR measures? Have climate change programs integrated DRR measures? Have USG funded infrastructure projects incorporated hazard resistance? 			

Considering the volatile political and socio-economic context described in the assumptions and risks section of the strategy, the M&E component should incorporate periodic evaluations to assess the validity and relevance of the DRR Strategy as whole and the progress toward implementation of the three objectives. Evaluations should consider the linkages of the programs and projects of the U.S. Mission, within the larger picture of other initiatives implemented by the GON, private sector, NGOs, civil society organizations and the donor community. Emergency and disaster situations

should be subject to further evaluation in order to determine the effectiveness of the DRR strategy and the social and economic return on the investment.

Annex I

IMPLEMENTATION PLAN AND CORE PROCESS DESCRIPTION **U.S. Embassy Nepal Disaster Risk Reduction (DRR) Strategy**

I. Scope and Purpose.

This document provides a description of how U.S. embassy Nepal will implement its five-year Disaster Risk Reduction (DRR) strategy, originally developed during September-October 2011. The document addresses both initial/start-up requirements as well as core processes and supporting activities to be carried out on an ongoing basis in pursuit of DRR goals and objectives. The implementation approach is designed to support USG offices at post by providing a framework through which information about DRR can be continuously shared/exchanged; relevant technical assistance and support are provided as needed; and all programming/resource allocation decisions are informed by annual DRR priorities and overall strategy goals.

Effective implementation of the DRR strategy will be essential to successful pursuit of current Presidential Initiatives, as well as to U.S. embassy Nepal's broader efforts to protect USG investments in-country from avoidable/reducible loss or damage in the event of natural disaster. Integration of DRR concepts and inclusion of specific initiatives across USAID programming will likewise serve to advance the Agency's core development objectives, specifically #6 – Humanitarian Assistance: Building Resilience and Preparedness. A focused, systematic approach to DRR strategy implementation will thus serve the dual objectives of helping to reduce human suffering and loss of life, as well as protecting and advancing USG interests and policy objectives in Nepal.

The sections that follow provide specific information about various proposed aspects and components of the implementation plan; however, nothing in this document should preclude later adaptation, refinement, or improvement as needed to ensure successful pursuit of the DRR strategy. As such, the implementation plan should be regarded as a 'living' document – subject to changes and revisions if/as appropriate, based on applied experience and continuous feedback from process participants.

Note: this Implementation Plan was developed by an independent consultant hired by USAID/Nepal. The consultant participated in the interagency DRR assessment in September 2011 and conducted interviews with key members of the embassy, including those in USAID, State, and the Department of Defense (DoD). The interests of those individuals and offices are reflected in the recommendations and observations of this report.

II. Participating Organizations.

The following offices/organizations at Post will be invited to participate in and contribute to execution of the Embassy Nepal DRR strategy:

- DoS – Political and Economic Affairs Section
- DoS – Political/Military Affairs Section
- DoS – Management Section
- DoS – Consular Affairs Section
- DoS – Public Affairs Section
- DoS – Regional Environmental Office for South Asia
- DoS – Population, Refugees and Migration Office
- DoS – Regional Security Office
- DoJ – Department of Justice
- DoD – Defense Attaché Office
- DoD – Office of Defense Cooperation
- DoD – PACOM Augmentation Team
- USAID – Health and Family Planning Office
- USAID – Democracy and Governance Office
- USAID – General Development Office
- USAID – Disaster Risk Reduction Office

In addition, the following external/non-resident USG entities will likewise be invited to participate in and contribute to Nepal DRR strategy implementation:

- DoS – Population, Refugees, and Migration (PRM), South and Central Asia (SCA), Oceans Environment and Science (OES)
- DoD – Office of the Secretary of Defense (OSD), US Pacific Command (PACOM), Center for Excellence in Disaster Management and Humanitarian Assistance (COE)
- U.S. Geological Survey (USGS)
- U.S. Forest Service (USFS)
- National Aeronautics and Space Administration (NASA)
- USAID – Office of Foreign Disaster Assistance (OFDA) – both regional and central offices

III. Key Roles and Responsibilities.

The Ambassador will provide overall policy guidance for USG DRR efforts and initiatives in country, and grant written approval (or designate approval authority) for any major changes or revisions to the DRR strategy. S/he will chair the DRR Disaster Working Group (DWG).

The USAID Mission Director (or his/her designee) will provide oversight and guidance to the Office of Disaster Risk Reduction, and ensure that DRR concepts are mainstreamed across all USAID programs.

The Deputy Chief of Mission (or his/her designee) will chair the embassy Earthquake Preparedness Working Group (EPWG) focusing on “internal” embassy readiness, provide guidance for all internal disaster planning activities, and oversee coordination with other diplomatic missions. See Section XIV for more information. Work of the EPWG is not covered under the Five Year DRR Strategy, but is managed by the DRR Office.

The Disaster Risk Reduction Office will provide the day-to-day leadership on DRR, serve as the focal point and overall coordinator for DRR strategy implementation activities, and ensure the provision of ongoing technical assistance and support to other offices at Post relating to DRR. The DRRO will conduct liaison with external USG and other organizations (including donor coordination), and develop/disseminate information on DRR.

Participating Offices’ (DoS, DoD, USAID) Directors (or their designees) will attend and contribute to DWG meetings, and help to identify opportunities/resources within their program areas to support DRR goals and objectives.

Participating Office Directors and/or their staff will plan, implement, and manage DRR initiatives/projects within their program areas, as feasible; or, work with the Disaster Risk Reduction Office to establish appropriate shared responsibilities.

Contributing non-resident USG entities will be required to coordinate with the DRR Office in advance of approving any activities that will be operational in Nepal. They will also maintain awareness of Nepal DRR strategic goals and priorities and maintain an active dialogue with the DRR Office.

IV. Initial/Start-Up Activities.

Prior to full commencement of the DRR strategy implementation process (section V. below), all participating offices and program areas will conduct a review of their current/ongoing projects and programs to identify opportunities for incorporation or extension of DRR concepts and initiatives. Results of this baseline review will inform development of the year one DRR work plan (section VIII.). DRRO staff will be available to assist offices in conducting baseline reviews as needed.

Baseline reviews should be undertaken as soon as practicable following approval of the DRR strategy, in due consideration of existing/available evaluative or review mechanisms. For example, USAID projects and programs could be assessed for DRR opportunities as part of annual or semi-annual portfolio reviews. DoS and DoD offices might similarly incorporate DRR reviews into existing or scheduled program/activity evaluations or assessments. And/or, a consolidated, embassy-wide baseline DRR review could be incorporated into the forthcoming Country Development Cooperation Strategy (CDCS) process.

Successful implementation of the Nepal DRR Strategy will require an appropriately staffed and adequately resourced Disaster Risk Reduction Office. As part of initial/start-up activities, senior agency leadership at Post will meet to discuss staffing and resource implications of the proposed

implementation plan and approach; identify options and alternatives for supporting the process at various levels of functionality; and reach agreement on joint approaches for ensuring successful pursuit of the DRR strategy via DRRO's role in facilitating/supporting implementation (*see section XI. for specifics*).

V. Core Process – Disaster Working Group (DWG) Structure.

The principal mechanism for pursuing embassy Nepal's five-year DRR strategy will be an interagency Disaster Working Group (DWG), comprised of representatives from participating agencies and offices, both at Post as well as external/non-resident entities, as appropriate. The DWG will continue using the same DRR working group/committee structure (previously called Kathmandu DRR MSRP Group), and will function in a manner designed to maximize effectiveness while minimizing administrative burden and time demands on its members. The work of the DWG will be supplemented by a set of objective subgroups, as further elaborated below. Staff from DRRO will provide meeting support, technical assistance, and facilitation services for all working group activities.

DWG Membership

The Disaster Working Group (DWG) will be chaired by the Ambassador (or his/her designee—likely to be the USAID Mission Director). Membership of the DWG may include representatives from the following offices/organizations:

- DoS –Political and Economic Affairs Section
- DoS –Political/Military Affairs Section
- DoS –Public Affairs Section
- DoS – Regional Environmental Office for South Asia
- DoS – Population, Refugees and Migration
- DoD – Defense Attaché Office
- DoD – Office of Defense Cooperation
- DoD – PACOM Augmentation Team
- USAID – Health and Family Planning Office
- USAID – Democracy and Governance Office
- USAID – General Development Office
- USAID – Program and Project Development Office
- DoJ – Department of Justice
- Others as appropriate

The Director, DRRO will serve as convener/facilitator for all DWG sessions, in addition to functioning as principal technical advisor to the Ambassador and USAID Mission Director and the DWG overall. Participating Office Directors may elect to serve on the working group personally; or, may designate a senior staff member to represent the office for DRR implementation purposes. In the latter case, preference should be given to naming experienced, senior Foreign Service National (FSN) staff to serve on the working group, to provide institutional continuity and in-depth technical expertise.

At her/his discretion, the Ambassador or USAID Mission Director may also elect to designate additional or auxiliary/affiliate members of the working group, as deemed advantageous or appropriate to pursuit of the DRR strategy.

Principal functions and activities of the DWG will include:

Teeing up interagency DRR issues for the Ambassador's approval (such as annual work plans, policy issues, priority initiatives etc.)

Monitoring overall progress towards achievement of five-year DRR goals/targets, and identifying systemic challenges or obstacles to the plan's success

Assessing ongoing relevance/viability of plan objectives and outcomes, and determining need for updates or revisions to the strategy

Sharing information on issues, opportunities, and activities in members' areas of responsibility, ensuring awareness of DRR efforts between/among offices at Post

Collaborating on efforts to identify and obtain or leverage resources to support Nepal DRR strategy goals and priorities, from any/all available sources

Consultation on and coordination of individual agency/program area DRR-related project proposals, funding requests, and programming opportunities

The DWG will convene on a regularly scheduled, quarterly basis, with meeting agendas developed and coordinated by DRRO in advance of each session. Meeting dates will be established in due consideration of member organizations' budgeting and resource planning/programming cycles, i.e., such that participants will have opportunity to confer/collaborate with colleagues at Post regarding project proposals and funding requests prior to their agency or program area submission deadlines.

Standing agenda items for the DWG will include, but not be limited to, the following topics and issue areas:

- Status of current/ongoing DRR activities at Post
- Broad policy or programmatic developments re: DRR (USG or external)
- Review/discussion of proposed DRR projects or initiatives
- Individual agency or program area programming cycles/deadlines
- External funding or technical support opportunities
- Updates on non-USG DRR efforts/strategies for Nepal
- Guidance and feedback from Ambassador and Mission Director re: DRR efforts
- Status reports from strategy objective subgroup chairs (see below)

Strategy Objective Subgroups

In addition to the DWG, the implementation working group process will also include three (3) subgroups, one for each of the major objectives defined in the five-year DRR strategy. DRRO

will provide ongoing technical and staff support to all subgroups, and actively participate in working sessions/meetings.

Subgroup 1: Preparedness and Response

Subgroup 2: Advocacy and Awareness

Subgroup 3: Mitigation

Each subgroup should be chaired by a member of the DWG; however, overall subgroup membership may include staff from offices or organizations not represented on the larger group, in order to maximize engagement and participation in the process. Offices/organizations may elect to participate in one or more subgroups based on mission priorities, focus of current projects or initiatives, or possession of policy/technical expertise relevant to the objective area(s).

While the DWG will focus principally on overall DRR policy and resource management issues, the three objective subgroups will orient their efforts towards the following, more technical/tactical matters:

- Identifying priority initiatives in the objective area for consideration by the DWG for inclusion in annual work plans (section VIII. below)
- Tracking progress in achieving indicators and targets for the objective area
- Reviewing and/or helping design proposed/potential DRR projects or initiatives
- Ensuring ongoing coordination of efforts at Post (and beyond), relevant to the objective area
- Other activities as assigned by the DWG and/or as needed to ensure objective area results are achieved

Subgroups will meet on an ad hoc, as-needed basis, as determined by the chairperson of each subgroup in consultation with its membership. Given the potential for distributed/external membership of these bodies, subgroups may elect to meet or otherwise collaborate on a virtual basis, using groupware or other readily available technology resources. Subgroup chairs will be responsible for providing regular status reports and activity updates to the DWG.

VI. Ongoing Activities – Scheduled/Recurring.

In addition to activities associated with the DWG and objective subgroup processes, the following kinds of tasks, activities, and products/services will be undertaken or generated on an ongoing, parallel basis in support of DRR strategy implementation. DRRO staff will be principally responsible for these efforts, with input, guidance, and/or feedback provided by the working group as appropriate:

- Regular/recurring internal DRR information updates, status or progress reports, etc. (e.g., biweekly or monthly broadcast email)
- Liaison and communication with USAID (including OFDA) headquarters & Regional Office in Bangkok, DoS headquarters, PACOM and/or other external entities (e.g., monthly ‘Nepal DRR Notes,’ video- or telecons) as requested by the main point of contact at Post. For

example, ODC would determine if DRRO should liaise directly with PACOM or simply feed the information to ODC.

- Updates to DRRO web page, document postings, links to DRR information and reports, etc.
- Regular/recurring outreach and communication with other donors, NGO's, and private sector entities re: DRR activities and opportunities
- Periodic environmental scans and reporting re: broad developments in DRR, major policy initiatives or donor activities, technology changes, etc.

Other and/or different tasks, activities, and products/services may be introduced as strategy implementation proceeds, based on changing circumstances, feedback from stakeholders, or senior management direction.

VII. Ongoing Activities – Ad Hoc/Continuous.

DRRO staff will likewise carry out or provide a variety of ad hoc, on-demand kinds of activities and services in response to particular needs, opportunities, or requirements as they emerge throughout the course of strategy implementation. Such activities/services may include, but not be limited to, the following illustrative items:

- Provision of DRR technical support to offices/staff at post, e.g.,
 - DRR talking points for GoN meetings
 - Review of/input to Scopes of Work (SOWs), requests for proposals/assistance (RFP/As), grants and contracts, etc.
 - Review of/comments on technical proposals
 - Arranging speakers, access to technical experts
- Attendance or presentation at DRR conferences, meetings, exercises, trainings, etc.
- Advance preparation of DRR project proposals/descriptions, in anticipation of funding opportunities
- Identification of potential technical resources, implementing partners, and funding sources for DRR initiatives
- Documentation of DRR lessons learned, case studies, project summaries
- Briefings/presentations on DRR strategy and implementation process for visiting officials, delegations, colleagues, etc.

Note: The extent to which DRRO staff may be able to pursue these kinds of activities, as well as those described in section VI., will depend on the level of resources available for staffing and otherwise supporting the office and its activities (section XI. below).

VIII. Annual DRR Work Plan.

All projects and initiatives undertaken in pursuit of DRR strategy objectives will be documented in an annual implementation work plan. Each participating office will have its own plan for which it will be held accountable. The consolidated DRR plan will encompass activities carried out or overseen by participating offices at Post, as well by external/non-resident entities conducting DRR efforts in Nepal. The DWG will oversee development of the plan, based on

analysis and recommendations provided by the three strategy objective subgroups with support and assistance from DRRO staff. The annual DRR work plan will be approved by the Ambassador and serve as the framework for all USG DRR-related activities in country during a given year.

Projects, initiatives, and related/supporting activities will be identified for inclusion in the annual plan based on relevance and utility to achieving specific DRR performance results and indicator targets for the year. The work plan will mirror the structure of the overall strategy, with projects and activities organized and described in relation to the strategy's three broad objectives. With technical assistance/facilitation from DRRO, objective subgroups will carry out the following process to develop recommendations:

- a) Review and confirm intermediate result statements for the objective, and determine priority issues within each result area for focused attention in upcoming year
- b) Identify performance indicator(s) of most direct relevance to result area(s) priorities, and establish recommended annual target level(s) of performance
- c) Review and validate current/ongoing DRR-related activities and initiatives, both at Post and external, as documented in participating offices' implementation plans
- d) Review and validate new planned/programmed activities and initiatives, internal and external, likewise as documented in participating offices' implementation plans
- e) Map all current and planned/programmed DRR-related activities and initiatives to priority result area(s) and project impact on performance indicator target level(s)
- f) Conduct gap analysis, i.e., determine net difference between projected progress against indicator targets, and desired annual performance results

Once the gap analysis is completed objective subgroups will further assess any result area(s) and/or target indicator(s) not fully addressed or met by current/planned DRR efforts of participating offices, and seek to identify options and alternatives for achieving performance goals and targets for the year. Objective subgroups may recommend one or more of the following, or similar/related steps, as ways to close any gaps:

- Unsolicited or out-of-cycle funding requests via established planning/programming mechanisms (participating organizations)
- Identification and solicitation of potential USG providers of technical assistance and/or funding, outside established mechanisms (beyond participant group)
- Identification of partnering, leveraging, or other shared/collaborative opportunities via other donors (non-USG sources)
- Identification of partnering, leveraging, or other shared/collaborative opportunities via the private sector (Nepal and/or regional business interests)

- Appeals to the Nepali Diaspora in the U.S. and/or elsewhere for technical, financial, or material support for DRR initiatives

Subgroups will draw on background research and technical input provided by DRRO (section VII. above) in identifying options and alternatives for closing gaps. The DWG will review and evaluate all subgroup submissions; eliminate any overlaps or redundancies; add, delete, or edit activities as appropriate; and integrate all revised content into a consolidated document. The resulting proposed annual work plan will be presented to the Ambassador for final approval.

The final annual work plan will specify the responsible party or parties for implementing and managing each DRR activity, initiative, or project included in the plan. As a general rule, initiating/funding offices will be expected to manage and oversee any and all such efforts within their area(s) of responsibility. Exceptions to this approach, e.g., projects managed by DRRO on behalf of other offices, may be negotiated on a case by case basis. DRRO will also be the coordinating point for all projects implemented by agencies/organizations not resident at Post.

IX. Resources for DRR Strategy Implementation.

Mainstreaming. A principal element of the strategy implementation approach will be to identify opportunities for integrating DRR concepts and initiatives into existing/ongoing programs, processes, and activities at Post. In this way, embassy-wide DRR goals and objectives can be pursued in a cost effective, minimally intrusive manner – limiting the need for additional, specialized funding and maximizing effective use of taxpayer resources. Mainstreaming of DRR across all development programs in country, as well as other program areas if/as feasible, will thus be a primary vehicle for supporting implementation of the strategy. However, some new resources will be necessary to complement other USG investments, particularly in areas in which other funding isn't appropriate (like long-term capacity building).

Ongoing-dual purpose programs. In addition to this embedded resource base, other program areas and funding streams may be considered supplemental resources for DRR implementation purposes. These include ongoing training, infrastructure/ equipment support, and technical assistance programs for Nepali military and law enforcement organizations; public diplomacy and economic growth initiatives; professional/academic exchange or educational programs; and other ongoing USG activities which may help to advance DRR strategy objectives in conjunction with their primary goals and purposes.

Non-traditional funding sources. The DWG and objective subgroups will also actively pursue alternative, external/non-traditional sources of funding to support DRR activities and initiatives. These may include in country programs/activities supported by other USG agencies; resources from the Nepali private sector (including Diaspora groups); and/or development of creative/alternative funding mechanisms (e.g., loan guarantees, leveraging, partnering with other donors, etc). While mainstreaming and dual purpose programs will address much of the DRR agenda, the process will not be limited to or focused solely on internal resources. Participating offices will be asked to assist in identifying potential alternative funding sources and partnerships on a continuing basis.

X. Outreach and Engagement with Non-USG Entities.

Continuous outreach and engagement with other organizations involved in DRR, both within Nepal and abroad, will be an important element of the overall strategy implementation approach. DRRO staff will be principally responsible for establishing and maintaining ongoing relationships and communication with such entities, and for keeping the DWG and objective subgroups apprised of information obtained and opportunities identified as a result of these interactions.

External organizations with whom DRRO may seek to establish/maintain linkages could include, but not be limited to, the following:

- UN agencies and offices
- Other bilateral donors (e.g., DFID)
- International organizations/financial institutions (e.g., World Bank)
- Major NGO's in country
- DRR professional associations, consortia, or interest groups (?)
- GON/MoHA
- Nepal Disaster Risk Reduction Consortium (NRRC)
- Diaspora
- Private Sector
- Media

The primary objective of these interactions will be to foster technical and program information exchanges; coordinate DRR efforts and initiatives in country, to avoid duplicative or contradictory efforts; and to identify and explore opportunities for cooperation and collaboration on DRR initiatives. Representatives of selected external organizations may also be invited to play a more direct, active role in Embassy Nepal strategy implementation efforts, if/as appropriate, via the following illustrative activities:

- Providing strategy briefings, status reports, etc., on DRR activities and initiatives to the DWG
- Offering input and advice on DRR project designs and/or technical approaches
- Serving as affiliate or auxiliary members of the DWG, and/or objective subgroups
- Hosting DWG members and/or DRRO staff for technical exchanges, joint planning efforts, etc.

Notwithstanding the potential benefits and advantages of outreach and engagement with external entities, DRRO staff and DWG members will maintain appropriate use/control of USG funds and resources in any joint or collaborative DRR efforts. Embassy staff will further seek advice and guidance from the RSO regarding security or other restrictions/requirements associated with non-USG interactions.

XI. DRRO Staffing and Resources.

The DRR strategy implementation plan and approach described in this document will require dedicated staff resources to ensure effective execution. As noted previously, the level of services to be provided, and the degree to which DRRO will be able to carry out all the suggested functions and tasks described throughout this document, will be dependent on the level of resources made available for supporting a technical and administrative/support staff of appropriate size, composition, and capability. It should be noted that the DRR Office is also responsible for “internal” embassy preparedness (See Section XIV for more information), and the EPWG. Staffing requirements should take into account both responsibilities.

Levels of Service

As part of its deliberations regarding DRR strategy implementation (section IV. above), senior agency leadership at Post may wish to consider the following two level of service models for DRRO, as a basis for resource planning and decision making:

A. Full Service. Under this approach DRRO would be staffed/resourced sufficiently to carry out all tasks and activities described in sections VI., VII., and X. above, and XIV. below in addition to fully supporting the DWG and three objective subgroups in fulfilling their responsibilities. The office would also have capacity to provide direct project management and logistical/administrative support for DRR activities sponsored by other offices, if/as requested.

B. Basic Coordination. Alternately, DRRO could be staffed at a minimum level, with responsibility for providing basic coordination, information management, and meeting support services only. DWG and subgroup members would bear primary responsibility for many/most strategy implementation tasks and activities described in this document, and independently manage any/all DDR initiatives in their areas of responsibility.

Staff Composition

The following table illustrates suggested staffing patterns for each model:

<i>Full Service</i>		<i>Basic Coordination</i>	
• Director, FSO-01	dual	• Director, FSO-01	dual
• Senior DRR coordinator, FSN-12	DWG	• Senior DRR coordinator, FSN-12	DWG
• DRR technical officer& program manager, GS-11/12/13 (PSC)	DWG	• Embassy DRR coordinator (PA or FSN)	EPWG
• Program/Project manager, FSN-10/11 or FSO-03/04/05	DWG	• Admin specialist, FSN-08	dual
• Embassy “internal” DRR	EPWG	• Technical advisor	DWG

coordinator, Professional Associate <ul style="list-style-type: none"> • “Internal” advisor FSN 10 • Admin specialist, FSN-08 	EPWG dual		
<i>DWG = responsibility to support “external” DRR and the 5 Year Strategic Plan implementation EPWG = responsibility to support “internal” embassy preparedness dual = responsibility to support both “external” and “internal” DRR</i>			

Note: Under either model, technical staffing would be supplemented by use of on-demand contract resources, either individual or institutional; as well as by drawing on local or regionally available expertise (e.g., staff from Bangkok RDMA).

Funding Options

While pre-strategy DRRO staffing has been primarily funded by USAID, a true embassy-wide approach will be predicated on joint/shared support for the implementation process. Options could include DoS or DoD funding for one or more FSN positions, under the Full Service model; contribution to a joint fund for acquiring technical expertise via contract (PSC and/or on-demand); or assignment of staff to DRRO on a detail or temporary duty basis.

Future Directions

As part of its policy and resource management responsibilities, the DWG will seek to identify options and alternatives for long-term support to and staffing of DRR strategy implementation efforts. The DRRO concept will be reevaluated at the mid- and ending points of the five-year strategy period to assess its effectiveness, and to identify options for transitioning to a less resource-intensive model over time. The goal will be to grow and retain a core capacity, under FSN leadership and supported by external/distributed resources, once DRR has been fully mainstreamed across USG programs in country.

Given the outlook for future USG budgetary resources, as well as the overarching goal of energizing/empowering GoN and other in-country actors around DRR, the DWG should also begin early on to consider means and methods for moving to a shared/collaborative model for pursuing DRR efforts, in concert with other institutions and actors in Nepal. Capacity building efforts should be identified particularly in conjunction to the development of the CDCS.

XII. Linkages with Ongoing Program Management.

The strategy implementation process will seek to incorporate consideration of DRR issues and opportunities into all ongoing program management activities at Post. Continuing the efforts described for initial/start-up in section IV., offices and organizations will carry out the following activities in support of this objective:

USAID Offices: DRR will be formally designated a cross-cutting theme for all USAID projects/programs in Nepal, and will be addressed as part of all new project designs,

design reviews, and project revisions; semi-annual program portfolio reviews; CDCS development; annual work plans for implementing partners; office director performance evaluations; and any/all other relevant applications.

Other Offices at Post: All DoS, DoD, and other participating offices will be encouraged to likewise consider DRR a cross-cutting theme in country for purposes of ongoing project/program evaluation, design or objectives review, and managerial performance evaluation. DRRO staff will be available to support/facilitate these efforts as appropriate.

Efforts to integrate DRR across all projects and activities at Post will be informed and facilitated by DRRO's ongoing and ad hoc information sharing and technical assistance activities, as described in sections VI. and VII. Notwithstanding this leadership role, however, all staff at post should consider DRR mainstreaming a shared responsibility, in which every employee has a part to play.

XIII. Review, Update, and Revision of DRR Strategy.

The overall DRR strategy will be periodically reviewed to assess the extent to which it remains relevant, viable, and realistic; and in turn to identify any needed updates or revisions to its major objectives, intermediate results, performance indicators, or desired outcomes/impacts. Periodic reviews will be informed by data generated via the monitoring and evaluation (M&E) framework defined as part of initial strategy development, and will be overseen by the DWG with input from objective subgroups and DRRO staff.

In addition to periodic assessment against predefined M&E parameters, other circumstances or events may suggest the need for review and revision of the DRR strategy. These may include, but not be limited to, the following:

- Significant changes (positive or negative) in USG budgetary and/or other resources available to participating organizations
- Shifts in policy or program priorities in Nepal and/or South Asia, USG-wide or specific to participating organizations
- Introduction of new or expanded DRR initiatives by GoN, other donors, NGO's, or international organizations
- Occurrence of a major disaster(s) in Nepal, necessitating redirection of staff and resources to response, recovery, and rebuilding initiatives
- Developments in GoN political reform and governance matters, including organizational and leadership transitions
- Growth in capacity of civil society and/or the private sector, and emergence of opportunities to shift orientation of the DRR strategy

Periodic/M&E based evaluation of the strategy will be conducted on an annual basis, following the end of each fiscal year and prior to approval of the annual DRR work plan for the next subsequent performance year. Event or circumstance driven assessments should be conducted whenever necessary or appropriate to ensure the continuing relevance and viability of the overall

strategy, and/or its specific components. The Ambassador or designee will approve any significant changes to the strategy, i.e., major objectives or overall outcomes/impacts.

The assessment process for Nepal DRR strategy reviews will conform with USAID evaluation policy and practice, and reflect agency goals and priorities with respect to evidence-based decision making and continuous organizational learning. USAID/Nepal's Program and Project Development Office will provide technical expertise for conducting all DRR strategy and performance reviews, and will integrate any such DRR-specific efforts into existing/ongoing M&E processes at Post (e.g., OP, PPR, MSRP).

XIV. Internal Post DRR Activities.

In addition to facilitating and supporting all “externally” focused DRR efforts at Post that fall under the DRR Strategy, the DRR Office plays the lead role for coordinating “internal” embassy disaster preparedness. The DRR Office facilitates the interagency Embassy Earthquake Preparedness Working Group, mentioned earlier in this document. The EPWG is an in-house planning and advisory body chaired by the Deputy Chief of Mission (or his/her designee) with representation from all agencies at Post, as appropriate. The DRR Office is responsible for coordinating contingency planning; training, awareness, and preparedness of staff and their families; and liaison and coordination with other diplomatic missions regarding shared disaster planning and cooperation efforts.