



**Inception Report for the
Research Study to identify Red Cross and Red Crescent niche
in urban community resilience programming in Asia Pacific**

Submitted to:
**International Federation of Red Cross and Red Crescent
Societies (IFRC) Asia Pacific Zone**

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Purpose

This Inception Report is filed in compliance with the contractual obligations of Earthquakes and Megacities Initiative (EMI) to the International Federation of Red Cross and Red Crescent Societies (IFRC) Asia Pacific Zone for the Research Study to identify Red Cross and Red Crescent niche in urban community resilience programming in Asia Pacific (hereinafter to be referred as “the Project”). The purpose of the report is to elaborate on the tasks and the applied methodology of the project and identify a reference framework for the analytical study.

The World Disaster Report 2010 identifies three trends as driving the urbanisation of disasters: climate change, population growth and poorly planned urbanisation. The Red Cross and Red Crescent (RCRC) recognize the need to evolve and to extend their programmes and services from the rural to the increasingly vulnerable urban context. While the scaling-up of rural community-based disaster risk reduction programmes is required, the IFRC’s Asia Pacific Disaster Management Unit (APDMU) together with IFRC regional and country level disaster management specialists will similarly assist National Societies (NS) to create greater capacities in urban disaster risk reduction activities and support to build resilience within at-risk urban communities.

The Project entails a comprehensive research study to analyze and advise IFRC on possible strategies, programmatic directions and overall community resilience programming aspects in urban areas in the Asia Pacific. The study will inherently consider climate change issues as well as the preparedness, mitigation, prevention, response, early recovery elements. The field-work focuses on three countries: Indonesia (Jakarta), Vietnam (Hanoi), and Mongolia (Ulaanbaatar).

The two inter-linked objectives of the project are as follows:

1. To analyze the urban context, existing knowledge and resources relevant to the overall purpose of this study through a comprehensive desk study, interviews with key informants and workshops with stakeholders.
2. Based on the findings of the analytical work, to develop a guidance document that will help the Federation to determine a place for the Red Cross and Red Crescent services in urban DRR and response.

In accomplishing the above objectives, EMI will put special emphasis on identifying operational strategies that enable the National Societies to mainstream into their existing services new initiatives focused on urban resilience building and disaster risk reduction. The strategy can and should be built on fully utilizing Red Cross and Red Crescent’s vast volunteer-base and community-oriented vision, as well as its advocacy power and constitutionally mandated role in disaster management.

Tasks to be accomplished and the Methodology

Our methodology has two pillars that reflect the two objectives of the project:

An **analytical study** to gather and analyse information, data and input from stakeholders and provide a consolidated Red Cross and Red Crescent point of view through:

- Desktop review of relevant RC and external materials including the policy and guidance documents, case studies, tools and communication and training materials.
- Consultation with stakeholders: Face to face and teleconference interviews with key informants.
- Workshops with key stakeholders.

The process is simultaneously informed by the knowledge and data generated by the scientific and social research communities relevant to the organizational mission and culture of the Red Cross and Red Crescent.

Development of a **guidance document** synthesizing the findings of the analytical study and identifying:

- Proposed RC role and relevant programmes/services in addressing urban disaster risk.
- Perception mapping about the role of RC in urban risk reduction by internal and external stakeholders.
- Programmatic directions and operational strategies in building resilience of urban communities.
- Recommendations for existing/potential urban disaster risk reduction tools for NS
- Recommendations for partnership opportunities.

The analytical methodology provides the scientific foundation for a rational outcome of the project. It will incorporate the following steps, which also identify each of the tasks in the project:

Step/Task 1: Review existing RCRC resource materials. RCRC materials to be reviewed are including but not limited to the following;

- Strategy 2020
- Relevant resolutions from General Assembly 2011
- World Disaster Reports specifically WDR 2010: Urban Risk
- Recent evaluation reports/studies such as on the VCA, IDRL and the Tsunami
- Guidelines and material on contingency planning, climate change, early warning, shelter, as well as on humanitarian diplomacy and Movement cooperation
- Community-based disaster risk reduction (CBDRM) manual and training materials
- VCA toolkit
- Papers and presentations explaining RCRC approach and practice in community based initiatives including health, promotion of non-violence/ peace and DRR
- Case Studies
- National Society CBDRM and response materials.

Step/Task 2: Collect and review external DRR/response resource materials. Relevant external DRR/response resource materials to be reviewed including but not limited to the following;

- Guidelines, primers, manuals, research studies, analytical reports on urbanization, urban disaster risk, environment, climate change adaptation, hazard, vulnerability and risk assessment (HVRA) as well as gender equity and violence prevention of other organizations such as World Bank, UNISDR; UNHABITAT, ISET, UNESCAP.
- EMI data-base and project reports: The analysis process will incorporate EMI's global knowledge of urban DRR/CC and its experience working with similar large organizations (e.g., WFP, UNDP) as well as governments. The cross-referencing with other organizations will ensure that the Federation's direction enhances and complements other efforts, avoiding duplication and conflict.
- Urban risk assessment data and tools which are available to and accessible by NS. The analyses will lead to recommendations on a set of risk assessment indicators that are most relevant to the work and services of RCRC.

Step/Task 3: Synthesize the information and develop a pertinent consultation approach and identify gaps and needs as well as strengths and opportunities. These two first steps will effectively prepare the EMI team to consult with the stakeholders. Establish urban vulnerabilities, trends and challenges most relevant to the mission, strategies (as stipulated in Strategy 2020) and the operating context of the Red Cross and Red Crescent

Step/Task 4: Design the tools for consulting with the stakeholders including interviews with key informants, survey guides and data collection.

Step/Task 5: Design a set of assessment indicators. A set of Urban Community Risk Resiliency Indicators (UCRRI) will be developed to serve as a communication tool to engage the stakeholders in analyzing the parameters of the current practice and to provide input on new strategies and approaches. EMI's experts will consider this input in identifying the parameters of a proposed road-map and strategy.

Step/Task 6: Consult with the stakeholders based on the structured approach developed in Steps 4 and 5. Collect all relevant data and information as well as stakeholders' qualitative assessment obtained through the indicators.

Step/Task 7: Undertake a desktop analysis of the collected data and information as relevant to the Federation's objectives for this project. Establish an initial strategy and a programmatic road map focused on urban community resilience. The analysis process will also incorporate EMI's global knowledge of urban DRR/CC and its experience working with similar large organizations (e.g., WFP, UNDP) as well as governments. The cross-referencing with other organizations will ensure that the Federation's direction enhances and complements other efforts, avoiding duplication and conflict.

Step/Task 8: Develop the initial strategies and programmatic road-map: together with the rationales and justifications established by EMI strategies and road map will be discussed and validated with the Federation and a select group from the stakeholders to provide a final set of input and feedback, and to build consensus.

Step/Task 9: Based on the insight gained from the project, EMI will propose an approach for the Federation to implement the suggested urban resilience strategies and programmatic road-map. This will include:

- List of potential partnerships and collaborative opportunities.
- Strategies for partnering with the private sector, financial institutions and donors to secure funding and incorporate community based approaches in large-scale investment projects targeting to reduce urban disaster risk of the disadvantaged.

Step/Task 10 Reporting: This includes the production of the draft report for circulation to obtain comments and feedback from the key stakeholders. After incorporating the input into the draft report, the EMI consultants will present the findings and recommendations to the reference group that the Federation has established for this study.

Following the discussions and agreement on the final version of the study, the guidance document will be finalized and submitted to IFRC Asia Pacific Zone. It is understood that the strategies and recommendations of the final document will provide practical and specific information for development and implementation of disaster risk reduction programmes that aim to increase community resilience.

The final report is planned to include the following sections. However, the content and the presentation of the report may be reshaped based on the findings of the analytical work and final recommendations—

- Executive Summary
- Introduction and context
- Results of the Analytical Work
 - Methodology
 - Summary of findings
- Synthesis of Findings
 - Overview of existing RC programmes and services in urban areas
 - Reference to key community based and non-governmental organizations active in urban DRR and resilience building
 - Challenges and possible solutions
 - Opportunities and recommended actions
 - Vulnerability and Risk Assessment data and tools
 - Urban capacity assessment
 - Existing community based programs and services in urban areas (RCRC and others)
- Partnerships and networks
- Recommendations including:
 - A proposed role for National Societies in urban DRR and response
 - Relevant programmatic themes
 - Strategies for adapting the existing DM tools to urban settings
 - Urban-appropriate risk assessments methodologies
 - Guidelines for urban community-based DRR
 - Strategies for creating/expanding partnerships and collaborative opportunities.

Consultation with stakeholders

The initial review of RC mandate, policy and strategies pertinent to urban disaster risk reduction indicated a need for a consolidated approach to the consultation process. The proposed consultation framework given in Annex 1 is designed to depict the complementary nature of RC commitments and policies with the global urban disaster risk reduction strategies. It combines the three major aims of RC Strategy 2020 and the Urban DRR indicators developed by EMI. It is also in line with the priority areas defined by the Hyogo Framework of Action (HFA) 2005-2015. Aims of RCRC Strategy 2020 are:

1. Save lives, protect livelihoods, and strengthen recovery from disasters and crises.
2. Enable healthy and safe living.
3. Promote social inclusion and a culture of non-violence and peace

The matrix of consultation framework gives us six inquiry areas to guide the formulation of research questions—

1. Mainstreaming of DRR in local institutions and processes
2. Generating and using data, information and knowledge regarding urban risk and vulnerability assessments and EW systems in urban areas
3. Building community resilience and culture of safety in urban areas
4. Improving the critical services and infrastructure
5. Strengthening disaster preparedness and response capacities in urban areas
6. Ensuring social inclusion non-violence and peace in urban areas to strengthen the resilience of communities

The input obtained from the consultations and the working group discussion will inform the guidance document to be developed. The project required consultations through face to face, semi-structured interviews with the following:

IFRC Asia Pacific zone staff: Heads of DM, Health, OD, Watsan, Shelter, Recovery/Livelihoods units; Operations coordinators; Partner National Societies recovery/shelter/DM delegates (3 people)

External regional organizations: Asian Disaster Preparedness Center (ADPC) in Bangkok; Asian Development Bank (ADB) in Manila; Institute for Social and Environmental Transition (ISET); UNHABITAT in Japan; UNESCAP in Bangkok

Federation Regional Delegation staff in Bangkok: 3 DM staff, Head of delegation, Programme coordinator, Health coordinator and one programme officer and at least one PNS

National Society staff and Federation delegations in Hanoi, Vietnam; Jakarta, Indonesia and Ulaanbaatar, Mongolia: in each country consultation will include: Federation (head of delegation, DM/health/OD coordinator, health coordinator); Representatives from two PNS; National Society (secretary general, DM, health and OD directors); key local authority officials; and 5-8 key urban government and non-government stakeholders

5. In addition to the above, **stakeholder consultation meetings** will be held in Hanoi and Jakarta with the participation of following (but not limited to):

- Federation: DM/health/OD coordinator and two DM field staff, and representatives from two PNSs
- National Society DM/health and OD directors/staff
- 5-10 a city branch staff and volunteers

- Representatives from local authorities/government
- Local NGOs and CBO leaders
- Community members from the most vulnerable neighborhoods
- International NGOs working in urban areas
- CBO leaders and members

Project timeline

The project has started on 21 October 2011 and will be completed by the end of February 2012 (Please refer to Annex 2 for the timeline). It indicates the proposed timing of specific project activities and the corresponding deliverables. This timeline is indicative and will be adjusted if needed, primarily to account for time needed to properly coordinate activities with NS and the availability of key officials and stakeholders.

The team

The EMI consulting team consists of highly skilled and experienced professionals in the field of urban disaster risk reduction research and implementation, and disaster preparedness and response programming within the international humanitarian sector. The team members and their responsibilities are given below and a brief profile of each member is in Annex 3.

Senior Advisor

Dr. Fouad Bendimerad, Urban DRRM and Risk Quantification Expert

Project Manager and Disaster Risk Reduction Consultant

Mrs. Aynur Kadihasanoglu, Urban Planning and DRR Expert

RC Analyst and Disaster Risk Reduction Consultant

Mrs. Atoussa K. Parsey, Urban Risk Reduction and Social Participation Expert

Urban DRR Consultant:

Jerome Zayas, Urban Risk Reduction and Social Participation Expert

Annex 1: Consultation Framework and Guiding Questions

Urban Community Risk Resilience Indicators (UCRRI)					
Strategy 2020	Effectiveness of Legal and Institutional DRR Processes and Policies	Availability and accesibility of of risk Identification, monitoring and mitigation mechanisms	Culture of safety and resiliency at household, institutional and community levels	Resiliency of Critical Services and Infrastructure	Effectiveness of local disaster preparedness and response capacities
1. Save lives, protect livelihoods, and strengthen recovery from disasters and crises	Inquiry area 1: Role of RCRC in mainstreaming of DRR in local institutions and processes.	Inquiry area 2: Role of RCRC in generating and using data, information and knowledge regarding urban risk and vulnerability assessments and EW systems in urban areas.	Inquiry area 3: Role of RCRC in building community resilience and culture of safety in urban areas.	Inquiry area 4: Role of RCRC in improving the critical services and infrastructure.	Inquiry area 5: Role of RCRC in strengthening disaster preparedness and response capacities in urban areas.
2. Enable healthy and safe living					
3. Promote social inclusion and a culture of non-violence and peace	Inquiry area 6: Role of RCRC in ensuring social inclusion non-violence and peace in urban areas to strengthen the resilience of communities.				

Inquiry area 1:

RCRC Role in mainstreaming of DRR in local institutions and processes

1. What is the level of awareness at your NS (or organization) and at the community about:
 - Existing legislative frameworks for DRR,
 - Level of vulnerability of key infrastructure in urban areas.
 - Linkages between land use/zoning plans and vulnerability to disaster
 - Linkages between building regulations and bylaws and vulnerability to disasters.
2. Do you carry any activity at the present to influence these urban processes? For example:
 - Is your organization involved with national, regional and local development and urban land use planning? In what ways?
 - Does land use planning and urban re-development take disasters risk into account?
3. What is your perceived role for the RC in mainstreaming DRR into legislative systems? (indirect, enabling and/or direct involvement)
4. In what ways do you work with local and sub-local governments?
5. At what level NS disaster management systems are aligned with national and local DM systems and procedures?
6. Does NS participate National Platforms and/or local platforms formed to address DRR? If yes, how? If no, what are the reasons?
7. Are there climate change adaptation awareness, knowledge and programs in urban areas?
8. How resilient are the key urban infrastructure (water, sewer and storm drainage systems, transportation, food storage and distribution systems in urban areas?)

Inquiry area 2:

RCRC role in generating and using data, information and knowledge regarding urban risk and vulnerability assessments and EW systems in urban areas.

1. What is the level of awareness of disaster risk, hazards and vulnerabilities (natural and man-made)?
2. Do you have access to scientific information and data on disaster risk and climate change? If yes, how do you use this information?
3. What is the level of disaster risk information you need?
4. Is your organization involved in risk identification and assessment? At what level and in what ways?
5. How do you see the role of RC in risk and vulnerability assessment in urban areas?
6. What types of partnerships does your organization have or should/could have to obtain relevant, accurate and updated disaster risk and climate change data and information?
7. What types of tools are available for risk assessment (both RC and external)? How useful are they?
8. Have you used VCA in urban areas? If yes, in what context and what were the results?
9. What do you think about the relevance of existing VCA tools in urban settings?
10. Are there early warning systems in the country, specifically in urban areas?

Inquiry area 3:

RCRC Role in building community resilience and culture of safety in urban areas.

1. Do you work in urban areas (both informal slum/squatter areas and formal settings)? If yes, please describe your programs. If no, what are the reasons?
2. What are the general characteristics of urban population that are most relevant to the RC mandate and services?
3. How would you identify the main differences in working with communities in rural vs. urban areas?
4. What is the level of disaster risk awareness at the community level?
5. Is your organization involved in public education and awareness campaigns?
6. What do you see as the RC role in reducing the disaster risk and increasing the resilience of people in urban areas?
7. Which of the existing RC programs and services in urban areas can be used to host DRR activities and build community resilience? (Ex: health and safety, shelter, livelihoods, food security and nutrition, DP)
8. How can CBDRR programs be used in urban areas?
9. What types of partnerships does your organization have or should/could have to maximize the efforts in building resilience and culture of safety in urban areas?
10. What is the current capacity of your NS to address urban DRR and resilience building?
11. What types of resources are available/can be mobilized for urban risk-related activities at the national, organizational and community levels?
12. What kinds of tools are available for facilitating RC work in urban areas (both RC and external)? How useful are they? What types of modifications are needed?
13. How do you see the role of youth and children in building community resilience in urban areas?
14. What are the gender specific differences between rural and urban areas?

Inquiry area 4:

Role of RCRC in improving critical services and infrastructure in urban areas

1. How do you see the role of RCRC (indirect, enabling and/or direct involvement) in improving critical services and infrastructure such as education, health, safe housing and water, transportation in urban areas?
2. What are the main actors/stakeholders in tackling with critical services and infrastructure? Do you cooperate/work with them? In what ways?
3. What is the capacity of your NS in improving these services?
4. What are the underlying risk factors in the urban areas increasing the vulnerabilities of communities (such as violence, conflict, poverty, climate change, environmental degradation)?
5. Do you take into account these factors when developing and implementing CBDRR and DP projects?

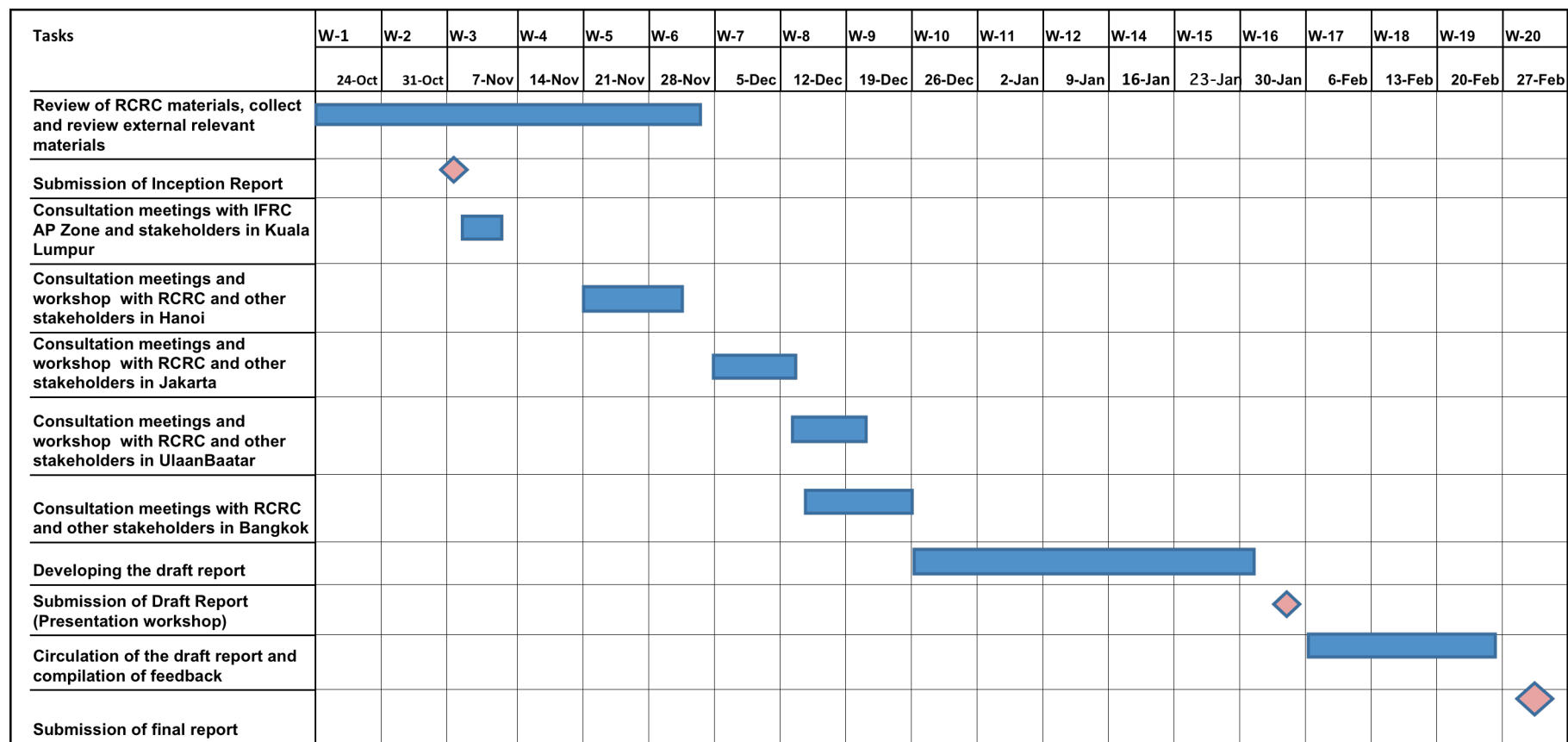
**Inquiry area 5:
Role of RCRC in strengthening disaster preparedness and response capacities in urban areas.**

1. What is the level of disaster preparedness at the city level in the areas you work?
2. What is the level of disaster preparedness and response capacity of your organization in urban areas?
3. Do you have access to disaster response/emergency and contingency plans developed by national/local governments?
4. Do you participate in emergency drills and simulations (if they exist) in urban areas?
5. How well are forecasting and early warning used in preparedness and response planning? Are there feedback and improvement mechanisms involving relevant stakeholders?
6. Is your organization involved in community based disaster preparedness and response programs in urban areas (such as neighborhood disaster volunteers, safety campaigns)?
7. Do you share your disaster response plans with local governments? How?
8. In what ways disaster preparedness, response and recovery operations differ in rural and urban areas?
9. How do you see the RC role in large-scale urban recovery/restructuring/retrofitting programs?

**Inquiry area 6:
RCRC Role in ensuring social inclusion, non-violence and peace in urban areas to strengthen the resilience of communities.**

1. What steps does your organization take to ensure social inclusiveness when designing programs and services in urban areas? What are the challenges you face?
2. How do you see the RC role in making streets /neighborhoods safer?
3. What kind of participatory methods and mechanisms do you use to maximize social inclusiveness?

Annex 2: Project Timeline



Annex 3: Profile of the Team Members

Dr. Fouad Bendimerad is a founding member and currently the Chairman of the Board of EMI, based in Quezon City, Philippines. He is an active Researcher, Practitioner and Educator with focused interest in megacities and urban risk assessment and management, where he is credited with advancing both methodology and practice. He developed and put into application several urban risk management models such as the Disaster Risk Management Master Plan (DRMMP), which have led to advances in Disaster Risk Reduction in major cities such as Istanbul, Metro Manila, Kathmandu and Mumbai. Dr. Bendimerad is published extensively on the topic of risk assessment and risk management and has lectured at several universities in the United States, Japan, Germany, Turkey, and elsewhere. He has advised several international organizations, governments and international corporations and maintains an active earthquake engineering consulting practice in California where he is a registered professional engineer. He was Principal Scientist and Vice President at Risk Management Solutions, Inc., a California Corporation, for 11 years, and served on the faculty of Stanford University, California, USA for 13 years. He holds Master and Ph.D. degrees in Civil Engineering from Stanford University.

Ms. Aynur Kadihasanoglu has been working in the international humanitarian and development field with partners including RCRC, The World Bank, UNICEF, local governments and civil society organizations for more than twenty years. She is highly experienced and skilled in facilitating/coordinating complex project activities being implemented by multi stakeholders to achieve desired goal and objectives. She has strong analytical skills with demonstrated ability to grasp the context and needs quickly and delivering high-quality products in diverse settings. She has started to work with RCRC family during the aftermath of the earthquakes in Turkey in 1999 through she has gained invaluable experience and insight into building capacities of NSs and community based initiatives in disaster risk reduction, preparedness and response. Since then she has accomplished numerous tasks including developing regional and country level projects and a variety of tools (manuals, guidelines, training materials), conducting independent program evaluations and needs assessment studies, facilitating strategic planning processes and coordinating thematic technical working groups. Besides having a sound understanding of current issues and challenges in the disaster risk reduction, preparedness and response fields she holds BS and Ms degrees in urban and regional planning from Middle East Technical University, Turkey.

Ms. Atoussa K. Parsey is an analyst and advisor with over twenty years of practical and progressive experience in international disaster relief and development with the International Red Cross and Red Crescent Movement. Her experiences range from working as a National Society youth volunteer to progressively heading programs at national and international levels in the Middle East, South Asia, East Africa and North America. An effective multi-cultural communicator and motivator, she has written numerous thematic publications for the International Federation and is proficient in the Movement's mandate, policies and strategies as well as on global issues related to climate change, public education and awareness, early warning, urbanization, disaster preparedness and risk reduction. She has served as an independent consultant for the International Federation and various National Societies utilizing her in-depth knowledge of grassroots and global DM programs/services, fundraising and partnership negotiation skills. Ms. Parsey is an innovative thinker and a seasoned problem-solver who facilitates teamwork and alliance building. She received a BA in Political Science and Conflict resolution with a minor in History of the Near East and a BA in French Literature from the Westhampton College of the University of Richmond, USA.

Mr. Jerome Zayas is a Technical Manager at EMI and currently serves as the Project Manager for the Pasig City Resilience to Earthquake and Flood Project and as Principal Investigator of the City Preparedness Project for the World Health Organization Centre for Health Development. He has served as the National Disaster Risk Management Expert for the Capacity Needs Assessment on Disaster Risk Management for the UN World Food Program, Philippines Country Office, as Project Manager in the Disaster Risk in Greater Mumbai Project to develop the Mumbai Disaster Risk Management Master Plan (DRMMP) and as Project Coordinator for the Mainstreaming Disaster Risk Reduction in Megacities Project Pilot Application in Kathmandu, Nepal. His expertise spans the areas of social vulnerability and protection, social mobilization, and conflict resolution. He has several years of field work experience in post conflict and post disaster situations in South East Asian countries and Africa working with various sectors such as women's groups, people with disabilities, informal settlers, military, faith-based groups, and others. He holds a Master of Arts degree in International Relations and Affairs at the Fletcher School of Law and Diplomacy, Tufts University, Boston, USA and in Health Social Science from the De La Salle University in Manila, Philippines.