International assistance for recovery: UN Institutional and regulatory mechanism for post disaster recovery


国際防災と緊急支援のための国連人道支援計画を目指して

By Tadanori Inomata, Inspector,
Joint Inspection Unit of the United Nations System

猪又 忠徳、
国際連合機構諸組織合同監査団 独立監査委員

On 16 January 2007 at International Forum on Tsunami and Earthquake, Kobe, Japan
Synopsis

Lessons learned from Tsunami:

1. UN system has not a governance and management framework to cope with large scale disasters.
2. Lacunae in principles and policies, predominantly of inter-agency nature with the little mastery and ownership by the affected countries and communities.
3. Fragmentation of the humanitarian assistance system: partial grasp by OCHA/CAP process with so many players both at HQ and in the field.
4. Dichotomy and disjoint between relief and recovery through mitigation stages
5. Absence of intergovernmental governance
Synopsis (continued)

- **Proposed reform:**
  1. UN humanitarian assistance programme for disaster response and reduction equipped with intergovernmental mechanism for review of principles and policies and global planning and resource management framework
  2. Bottom-up needs assessment form the field for global resource planning and management: mainstreaming CHAP/CAP and IRP capacity building for risk reduction in the conscious use of CCA/UNDAF processes.
  3. Information sharing and management: to present a total picture of who does what at global, regional and national levels
  4. Core financial mechanism consisting of CERF, CAP, a single trust fund merging OCHA and ISDR funds to establish a core and regular capacity of the UN secretariat.
はじめに JIUとは

- 1966年創設、国連財政危機を契機
- 1976年現在の規約設立
- 11名で構成、事務局は、14名。
- 目的: 国連システム諸機構（27）のマネージメントの向上と活動調整
- 唯一の全機関にまたがる独立監査機関
- 国際機関に与えられた資源がもっとも有効に使用されたかにつき決定を下す。
- 上位機関は27の機関の管理執行体。
- 成果: 共通制度の発展; 予算制度、調達制度、組織規律の強化、経営レビュー、システム全体の経営戦略の提示

 国連システム: 国連本体、15計画、専門機関16＋IAEA
The JIU report (1)

- In January 2005, in the wake of the Indian Ocean tsunami disaster and the launching of the Hyogo Framework for Action* adopted by the World Conference on Disaster Reduction in Kobe, the JIU decided to undertake a comprehensive review of the role of the UN system in disaster reduction and response in order to:

  strengthen the capacity of the United Nations system to coordinate and support humanitarian assistance for disaster reduction and response through the integration of programme, resource management and coordination, and the streamlining and standardization of operational, administrative and financial practices.


- The Report will be discussed in ECOSOC and UN General Assembly 2007.

* endorsed by the General Assembly in its resolution 60/195 of 22 December 2005.
The JIU report (2)

- The report put forward 17 recommendations aimed at enhancing the effectiveness of the United Nations humanitarian assistance system through the establishment of a coherent governance and management framework as well as the dissemination of best practices, improved coordination, the greater efficiency and enhanced accountability of resource use throughout the entire disaster management process from relief to recovery and reconstruction.
Issue 1: Principles and policies

Comparative advantage of the UN emergency humanitarian assistance system vis-à-vis bilateral assistance is:
- Global instrument of international goods
- Facilitate humanitarian assistance in a non-excludable and non-rivalrous way on time, to all victims, without discrimination, and regardless of gender, race and nationality; and
- Implement Guiding Principles: humanity, neutrality, impartiality and independence in GA RES 46/182 of 19 December 1991
Problems: But assistance was supply driven and disjointed at the recovery stage;

(1) Inadequate application of the humanitarian principles and the related guidelines at the field due to the difficulties as regards:

(a) Low level of understanding by the affected countries of the framework and procedures of the United Nations Humanitarian system;

Government officials in the affected countries were generally not aware of international humanitarian assistance system and IASC’s principles and guidelines;

(b) Lack of unequivocal legal and institutional framework for national disaster preparedness and management plans in the affected countries and lack of international early warning system;

(c) Inadequate application of minimum standards of assistance to IDPs and negligence of population’s need for access to humanitarian information; Unsolicited and overlapped assistance on the ground. Logistical bottlenecks and congestion on supply lines and inequitable distribution of supplies; and

(d) Unsatisfactory implementation of community-based approach to recovery and disaster prevention;
Principles and Process on Trial: Lessons Learned from Tsunami Efforts (continued)

(2) Lack of central coordinating authority among international relief workers in affected countries: reliance on military assets for air transport as well as delay in recovery planning; and

(3) The Tsunami disaster entailed difficulties to ensure smooth transition from response to recovery through reconstruction due to the unprecedented scale of disaster and the preexisting complex situations in Banda Aceh and the northern and eastern part of Sri Lanka requiring more integral and impartial functions to be discharged by the RC/HC.
Proposed review of principles and regulatory framework (1)

1. Intergovernmental review of principles and guidelines: A body of international disaster law is needed.
   - Except for the Tampere Convention (1998), there has been no single universal convention concluded on disaster reduction and response. The present state of international disaster law is a patchwork of over 130 diverse instruments between European nations.
   - Mandatory interagency coordination framework against subsidiarity principles.
   - The IASC guidelines are not intergovernmental instruments.

2. Need to ensure universal dimensions of humanitarian assistance (TTVI).

3. Humanitarian space be assured by the integrity of the RC/HCs.

4. Need for internationally agreed frameworks for logistical cooperation among the UN system and Member States in particular for military air operations and early warning.
Proposed review of principles and regulatory framework (2)

Realistic start is work **at inter-governmental level** to strengthen existing principles and respond to **new needs and trends**

Poverty reduction guidelines of DAC disqualify the most vulnerable in the poverty pocket in middle income countries such as Costa Rica and Panama *(Need for community based assistance)*; Recognition of Good Humanitarian Donorship Initiative; DAC·ODA

The GA has to formally approve the Guiding Principles on IDP protection and some thirty IASC operating guidelines and procedures of emergency response. IDP

- **Capacity building in developing countries for regulatory frameworks and integration of advocacy of DPI & OCHA**
- **At the transition stage, the RC/HCs should be subjected to compliance procedures to ensure the establishing of a country assistance framework for recovery and reconstruction.**

Require intergovernmental negotiations

**ECOSOC should start a process to streamline the principles, rules and guidelines in disaster management** with assistance of a proposed inter-governmental expert body, i.e. **an ECOSOC special intergovernmental special committee on humanitarian assistance for DRR** with a view to developing a system-wide UN regulatory framework.
Issue 2: Governance and strategic management: Institutional frameworks and coordination

Concretes issues identified during inspection on Tsunami Assistance

- Weak integrity of coordinating function of OCHA with little interface with the local communities; e.g. 4 month-absence of the high level OCHA representative in Banda Aceh

- Universal dimension of victim identification (Strong TTVI governance) relevant for moral recovery

- Slow disbursement of Flash Appeal money: 49% disbursement after a year: Housing reconstruction at 8-12% of the destroyed. 70% to 80% of commitment, US$ 13.6 billion are yet to be paid. Lack of accountability of Use and impacts needs to be taken account in the recovery platform and capacity building.

- Exceptional response in India (see Annex)
Issues 2-3: Governance and strategic management: Institutional frameworks and coordination, and mobilization of resources

- Dichotomy and discontinuity between response and recovery through reduction: lack of governance in transition
- Lack of bottom-up needs assessment, use for CAP of old CHAPs de-linked with CCA/UNDAF processes
- Need for ownership of disaster management, response and reduction centered on the national platform
- Need for a bottom-up planning and resource mobilization, and monitoring and management
- Absence of a system-wide framework for global resource management
- Lack of central coordinating authority and in particular an operational mechanism governing the transition
Role of the UN system: Resource allocation in US $9.97 billion operational activities for development

Humanitarian Assistance 30.3 %
Education 6.3 %
Health 17.6 %
Agriculture, forestry & Fisheries 7.2 %
Development 11 %
Others 27.5 %


Source: Report of the Secretary-General, Comprehensive statistical data on operational activities for development for 2003 (A/60/74–E/2005/57, derived from Table 13.), 6 May 200.
2.2.2 FIGURE I: Sphere of Competence of Entities Related to International Humanitarian Assistance at Disaster Management Stages
2.2.2 Figure 2: Current institutional scheme of disaster reduction and response

**HEADQUARTERS STRUCTURE**

- **Regional Institutions**: OAS; PAHO; SUMA; ASEAN; CEPREDENAC; ADPC; ADRC; etc.
- **General Assembly**
- **Economic and Social Council**
- **Secretary-General**
- **Regional Commissions**
  - **Early Warning**
- **CERF**
- **UNDAC Team**
- **IATF/ISDR**
  - Chaired by ERC
- **INSARAG**
- **IASC**
  - Chaired by ERC
- **DONOR GROUPS**
- **CEB**
- ** ds**
  - United Nations Agencies, Funds and Programmes Response Recovery
- **ERC**
- **IATF/ISDR Secretariat**
- **UNJLCs/WFP**

**COUNTRY STRUCTURE**

- **Regional Groups**: Africa/Europe; Americas; Asia/Pacific
- **Humanitarian Coordinators (RCs)**
- **OCHA Field Offices**
  - Disaster Relief Advisers
- **ISDR Field Offices**
  - Disaster Reduction Advisers
- **UNJLCs/WFP**
- **United Nations Disaster Management Teams produce**
  - TCAP & CHAP
- **United Nations Programmes, United Nations agencies**
- **Global Consortium for Tsunami-affected Countries**
- **Disaster-affected Countries**
- **Donor Countries**
- **NGOs; IFRC, ICRC, etc.**
- **Private Corporations**
- **Global Consortium for Tsunami-affected Countries**
Proposed governance and resource management framework and resource mobilization

- Set up a governance framework with an Intergovernmental special committee on humanitarian assistance for DRR under ECOSOC including Regional Commissions for common objective setting and strategic planning and management to approve biennium system-wide work programme.

1. The operational support budget of the UN programme (see (2) below) and the administrative budget to strengthen common support services, overcome high turn-over in staffing, and provide core functions of OCHA/ISDR;

2. Financial system consisting of CAP, CERF (Central Emergency Response Fund including a cash reserve component), a GA-established trust fund for a UN programme for humanitarian assistance for DRR into which trust funds under OCHA’s management are merged;

3. CAP/Flash Appeals include local and global fund-raising for disaster reduction; and

4. System-wide field structure to support national, regional and international platforms.
6. Findings and conclusions

Findings 所見

- Inadequate application of principles and guidelines 不十分な人道支援原則の適用
- Need for ownership of disaster management, response and reduction centered on the national platform 被災国本位の国別積み上げ方式による災害管理体制の必要
- Need for a bottom-up planning and resource mobilization, and monitoring and management ボトムアップな資源管理・企画・計画の必要

Conclusions 結論

1. Streamlining and strengthening humanitarian assistance principles and guidelines at intergovernmental levels 政府間で人道支援原則及び準則を体系化強化すること;
2.1 Establishment of the integrated national platform: national plan of action/UN support framework covering both response and reduction 緊急支援と防災を統合する各国での体制つくりを国連フィールド機構が形成すること。
2.2 Use of CAP, CHAP and UNDAF/CCA process as essential support for the national plan of action;
2.3 Assessment of measures required for international support and resource mobilization.
Findings 所見

- Absence of a system-wide framework for global resource management
  全体としての資源管理体制の不在
- Lack of central coordinating authority and in particular an operational mechanism governing the transition
  緊急支援から復旧復興および開発への移行過程を律する機関と具体的仕組みの欠如

Conclusions 結論

3. Bottom-up assessment of needs in the field
   フィールドからの積み上げによる全世界的防災対策と必要経費の見積もり
3.1 Global assessment of resource requirements through bottom-up and feed-back from the field; and
   フィールドからのフィードバックと底上げでの全世界的資源需要の評価
3.2 Programmatic and institutional changes in the funding and management framework at the global level; establishment of
   ① UN humanitarian programme; for disaster reduction and response and
   ② its governing body, an intergovernmental expert committee.
END

Thank you.
ANNEX: Good Practice in India


- Reflects the values of the United Nations system including the Hyogo Framework for Action.

- Despite the formal decline by the Indian Government of external relief assistance, the multilateral agencies including ADB and the World Bank could provide assistance actively through their ongoing programmes and under the coordination provided by the United Nations Disaster Management Team in India with the UNICEF acting as focal point for local NGOs and communities in the affected areas.
The experience in India demonstrates that without the use of CAP and the full fledged and formal deployment of humanitarian assistance under the aegis of OCHA, there is a considerable potential for the United Nations system to ensure a seamless transition within the existing framework of UNDAF and CCA, provided that the agencies collectively commit themselves to implement the transition.

Although a basic concept of transition is recognized in the guiding principles for humanitarian assistance in Assembly Resolution General 46/182, such a collective framework for the transition should be established with a compliance procedure to implement it by an inter-governmental decision.