Center for Emergency Situations and Disaster Risk Reduction



Центр по чрезвычайным ситуациям и снижению риска стихийных бедствий



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CAPACITY DEVELOPMENT STRATEGY

Of the Center for Emergency Situations and Disaster Risk Reduction 2019-2021

Almaty 2019

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Background

The sub-region of Central Asia is highly prone to disasters, such as earthquakes, floods, landslides, extreme weather events and droughts, which cause human loss, as well as major economic and environmental damage. National and local authorities, international and regional organizations, and civil society sector take joint efforts to improve preparedness and mitigate and prevent the worst impacts of disasters. A need for strengthened sub-regional cooperation to use the joint capacity of the countries of Central Asia for the successful implementation of disaster risk reduction and emergency response systems is obvious. The establishment of the Center for Emergency Situations and Disaster Risk Reduction (CESDRR) by the Governments of Kazakhstan and the Kyrgyz Republic in Almaty in 2016 should be seen as positive steps that demonstrate understanding and desire to work together. According to its mandate, the CESDRR was established to provide effective mechanisms to mitigate the risk of emergency situations and reduce their consequences, and to facilitate coordination among governments and international partners in humanitarian action and Disaster Risk Reduction (DRR). In Central Asia, there is a need of pre-agreed coordination and information management platform in case of a transboundary disaster, sub-regional level database/repository of the response capacity and other capacity development technical resources and tools, and access to data and pre-agreed standard operating procedures for cross-border cooperation for response among governments and partner international organizations. These are the areas where CESDRR can play a role in supporting the sub-region of Central Asia. Moreover, the CESDRR will also contribute to implementation of the Sendai Framework for DRR and Sustainable Development Goals 2030.

Following its establishment in 2016, the CESDRR developed a 2017-2030 Strategy with the following key priorities:

- 1. Strengthening regional and international cooperation in the field of disaster risk reduction, prevention and response to emergency situations;
- 2. Raising public safety in the territories of the countries in the region by improving the organizational and legal framework, institutional framework, mechanisms, strategies, policies and risk management practices of disasters and emergencies;
- 3. Consolidation of efforts of all the interested parties and mobilization of investments in the field of disaster risk reduction, prevention of emergency situations;
- 4. Strengthening preparedness for effective response to emergencies, carrying out rescue and humanitarian operations, reconstruction and rehabilitation;
- 5. Development and capacity building of the Center.

The 2017-2030 Strategy also requires effective cooperation with key partners, including regional humanitarian and development actors and donors. This applies also the development of the CESDRR capacities and results oriented coordination among interested partners.

Consultation between international organizations, both universal and regional, has established that this is a shared concern for which, considerable good will exists in supporting measures to address this.

Towards strengthening of its institutional capacity and enabling more coherent, value-based support from its various partners, in 2019 the CESDRR with support from UNICEF and UNDP has initiated a capacity review exercise. The review has aimed at analysis of the strengths and gaps in capacity visà-vis the CESDRR strategic priorities and regional commitments, production of a Capacity Development Strategy and identification of potential support/inputs from partners to follow up the recommendations on the CESDRR capacity raising.

Rationale for the Strategy

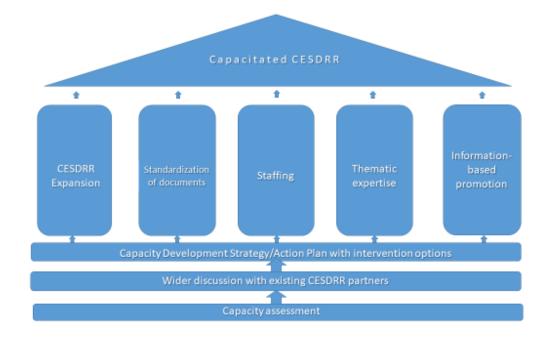
The Capacity Development Strategy (referred to henceforth in this document as 'the CD Strategy') 2019-2021 sets out the CESDRR's short- and longer-term strategic directions for capacity development, addressing capacity gaps and monitoring and evaluating the progress throughout a three-year period. This Strategy articulates how the CESDRR with support of partner national and international organizations will strengthen its capacity to fulfil main functions and follow up five strategic priorities.

The partner organizations will provide funding, technical expertise, staff capacity and network development support to the CESDRR, so that it can expand and enhance its work towards facilitation of coordination among governments, international and local partners in humanitarian action and DRR. Experiences of other international organizations in their approach to capacity development including such core issues as institutional basis, knowledge and expertise, resource mobilization/partnership building and programme implementation, indicate that there is value in investing in the transformative potential of focusing on collective capacity and individual skills.

The Capacity Development Strategy will also be complemented by the visibility and fundraising strategic plans developed by the CESDRR for the next three-five years.

Development of the CD Strategy

Development of the CD Strategy as the last stage of the three-stage CESDRR capacity review was based on the capacity assessment's findings and subsequent recommendations on filling the gaps and raising capacities. The capacity assets and gaps and the relevant recommendations provided the starting point for the formulation of the Capacity Development Strategy, and further discussions with the partner international and local organizations identified the CD Strategy's key areas and potential partners' support to the CESDRR capacity development vis-à-vis its strategic priorities.



The Capacity Development Framework illustrated above, describes the processes that the CESDRR went through, i.e. capacity assessment, discussions with the partner organizations on the assessment's findings and recommendations, and development of the CD Strategy with partners' interventions included. The framework focuses on five capacity development areas that are critical

for the CESDRR to operate effectively, such as: (1) CESDRR expansion; (2) Standardization of documents used by the CESDRR in its work; (3) Staffing; (4) Thematic expertise; and (5) Information-based promotion of the CESDRR.

Key areas of the CESDRR capacity development

These five areas of the CESDRR capacity development form the key areas of the CD Strategy that are subject to potential partners' support as reflected in the Action Plan below.

1. CESDRR expansion:

This area covers a need of an increased number of State members to the CESDRR. It can be done through advocating a more focused unique role of the CESDRR before the relevant governments and developing a CESDRR expansion strategy with prioritized geographical coverage and the modus operandi. The process for the CESDRR expansion will include:

- identification of the strongest CESDRR's area of work in emergency response and DRR from which each state party and regional, later global, cooperation can benefit;
- negotiations at high-level initiated and promoted by the KZ Ministry of internal affairs, KG Ministry of emergency situations and MFAs;
- promotion of state budgeting of the relevant costs;
- support from the external partners in promotion of the CESDRR role and its expansion at high level meetings;
- negotiations on finance support from partners for potential State members' seconded/deployed staff and related costs.

2. Standardization of documents used by the CESDRR in its work:

Well-crafted and robust internal documents of the organization ensure its efficient work. Development and use of standard operational procedures (SOPs) practiced by other international organizations in the following spheres:

- human resources,
- finance and records management,
- procurement of services,
- programme/project implementation including planning, budgeting, monitoring, evaluation and reporting,

audit

will contribute to strengthening the CESDRR institutional framework. Relevant best practices from the EU, IFRC, UNDP, World Bank and the regional actors – ADPC, used in the mentioned spheres in the host country and Central Asia, can be considered as an example and adapted by the CESDRR for its work.

In addition, enhanced work of the CESDRR with support the authorized governmental bodies in Kazakhstan, the host country, on signing the Host Country Agreement will facilitate the process of standardization of procedures that should be applied by the CESDRR as an international organization in its work with customs and tax institutions.

3. Staffing:

Staffing problems that the CD Strategy aims to address range from lacking in specific staff competencies to not having enough employees, especially for programme implementation. Therefore, this key area proposes the following objectives:

- Promote learning of staff through designing the CESDRR staff training system in cooperation with the partners to improve specific competencies (analytical thinking, technical writing, decision-making) and gain knowledge and skills that include monitoring of the Sendai Framework implementation, programme development and implementation, communications, emergency logistics, etc.,

- Add the job descriptions of the CESDRR core staff with the mentioned competencies and English language competency as the preferred when deploying by the authorized state authorities,
- Advocate for additional state funding for staff knowledge and technology development (emergency logistics, international procurement procedures, experience exchange visits, updated equipment) when negotiating with potential State members and partners (in case if staffing costs will be subject to external support),
- Introduce a department of programme professional officers (in addition to deployed core staff) and develop recruitment criteria based on competencies that core deployed staff are missing or limited in.
- Use relevant technical expertise and secondment arrangements from partner local and international organizations as UN organizations, incl. UNV, IFRC, Red Cross Red Crescent Societies, academia circles for legal analysis, simulations, coordination meetings, development of rules and procedures on aid distribution, on deployment of response teams from partners and volunteers, etc.

Based on needs assessment, the most in-demand expertise in the coming years is identified by the CESDRR as follow: (1) Communication specialist, (2) Legal analyst, and (3) Disaster/DRR expert.

To increase the Kyrgyzstan staff presence in the CESDRR, a plan of action for leveraging contributions from the KG Ministry of emergency situations, should be developed. This includes measures on:

- proactive negotiating with the Minister of emergency situations on finance contributions,
- raising visibility for the CESDRR work and calling attention to the issue at high level (President, Prime Minister) with the support of the Ministry of emergency situations to facilitate a process of relevant additional funding from the republican budget.

4. Thematic expertise:

The CESDRR pays much attention to developing a unified coordination mechanism in emergency response in Central Asia. The documentation basis for this mechanism has been elaborated by the CESDRR and adopted by the Regional Forum of the heads of Central Asian emergency authorities in July 2019. To provide partner coordination, the CESDRR should strengthen its coordination role through joint desk and simulation exercises to examine effect of the regional and bilateral agreements and develop recommendations on necessary amendments, to provide regular simulation exercises between state members and partner humanitarian organizations on coordination in case of emergency including emergency units' deployment, aid delivery, communications and other logistics issues.

There is a need to develop ground documentation for operation of the Crisis center located in the CESDRR for monitoring a situation and coordinating response actions. The CESDRR should be able to collect and analyze data on response capacities of all Central Asian states (the Registry of national capacities for response and rescue has been formed for Kazakhstan and Kyrgyzstan and needs approval by the Regional Forum) and partner organizations.

At the same time, given the established emergency response mechanisms that the international partners have with the state authorities at country level, the CESDRR will strengthen the focus on DRR coordination at regional level. In this connection, the CESDRR will work on identification of relevant DRR areas where to contribute effectively in cooperation with its partners.

This process might be supported through the Regional Scientific and Technical Council¹ on Emergencies where the CESDRR plays a role of its secretariat. The Council when fully operating will bring together Central Asian experts in DRR, emergency response, law, hydrological, meteorological and other areas related to disaster risk management. With support of the partners, it is possible accumulate global innovative technologies, knowledge, know-how and scientific developments in areas related to disaster risk management to strengthen capacity of the Regional Council and prioritize the thematic areas for the CESDRR.

Another objective of this key capacity development area is developing thematic programme activities by the CESDRR. The CESDRR will concentrate efforts on key programme areas following the criteria mentioned below:

- regional character (covering of two and more countries in the region, including transborder activities);
- introduction of new knowledge and technologies in DRR and emergency response areas;
- connection to the areas where the CESDRR has already implemented/planned project activities (applying drones and UAV technologies, psychological support in emergencies, divers training, airports' disaster preparedness, Sendai Framework monitoring at regional level).

In support of these efforts, the CESDRR will develop a portfolio of well-designed projects in the identified programme areas to use it when negotiating with potential donors and other partners, and a 5-year Fundraising Plan based on diversification of sources.

5. Information-based promotion of the CESDRR:

For the next three years a number of stakeholders who are aware of the CESDRR and who support its activities in case of programming or response needs, will be significantly increased due to a wellcrafted and viable visibility and partnership-building plan to attract more partners (incl. INSARAG and CADRI's Secretariat), donors and general public. This should be developed following identification of the prior CESDRR's areas of work in emergency response and DRR. This facilitates better coordination of emergency response and DRR actions and easier search of new projects and planning and implementation of the current programmes. To achieve this objective, the CESDRR will mobilize external expertise in communication area to develop this plan (as highlighted in the Staffing section above).

In addition, proactive information-based promotion will contribute to convergence with the incountry disaster preparedness and response mechanisms existing in Central Asian region: Disaster Response Coordination Unit (DRCU) in Kyrgyzstan and the Rapid Emergency Assessment and Coordination Team (REACT) in Tajikistan. This will allow the CESDRR to strengthen its efforts of regional coordination in DRR and response to emergencies and enhance collaboration among governments and other key actors.

Action Plan

An action plan is a plan that contains enough detail to achieve the objectives underlined in the CD Strategy above. This includes key areas, an outline of objectives (what is required to be done), measurements (baseline, target indicator), milestones and timeframe for each action. In some cases, an identified external support is also included.

Indicators are needed to monitor progress of the CD Strategy/Action Plan, and each indicator needs a baseline and target. The baseline data are used as the starting point for measuring progress; the targets may be either short-term (until the end of 2019) or longer-term (2020-2021) with interim

¹ The Regional Scientific and Technical Council is an internal advisory body for the Regional Forum of heads of emergency authorities of five Central Asian countries. The Council is planned to bring together scientific experts in different areas for research and innovative activities to provide advice to the Forum and state authorities in matters of DRR and emergency response.

milestones. Progress monitoring should allow for refinement of a capacity development process and potentially the design of new initiatives to address evolving needs.

Baseline data provide the minimum information required to assess the quality of the capacity development activities' implementation and measure the development results. Some baseline data are available from secondary data, such as the desk review, reports, media sources, university research studies or other reliable external resources. Other approaches for baseline data collection included the use of individual interviews and focus group discussions with the CESDRR staff and consultations with the external partners as well as identification of documents (budgets, financial plans, internal instructions on HR, financial management, security and other issues) that are available only when collecting primary data in the CESDRR.

Action Plan for the CESDRR Capacity Development

Short-term (2019)

Key area	What is required	Baseline	Target indicator	Interim milestone	Timeframe	Who will support
Standardization of documents used by the CESDRR in its work	Enhance the work on signing the Host Country Agreement	Delays in progress on promoting signature of the Host Country Agreement between the CESDRR and the KZ Government that confirms the CESDRR diplomatic privileges and immunities.	CESDRR fully enjoys its diplomatic status including taxes and customs fee exemption.		December 2019	KZ Ministry of internal affairs and the KZ Ministry of foreign affairs
	Develop SOPs on HR, finance and records management based on samples shared by the partner international organizations as CARICC, ADPC and others and their expertise of SOPs' development and implementation	HR, finance and records management is based fully on Kazakhstani legislation and standards; limited understanding of international and UN organizations' procedures.	HR, finance and records management is based on both the host country's and international norms and standards and regularly updated by the CESDRR support staff who monitor the situation in relevant areas.	SOPs shared by the partner organizations by September 2019 Technical expertise from partner organizations available by October 2019	December 2019	CARICC, ADPC, UNDP, EU, World Bank
	Develop policies and procedures on HR (performance appraisal, staff development, on- boarding and handover) and Finance and Tax Accounting using as	Main staff is deployed from the authorized bodies based on the internal procedures established for the state service. Support positions are subject to open competition in the host country as established in the	Staff development and performance appraisal mechanisms are elaborated and applied for all staff. Well-organized handover is in place.	First draft of the documents available by October 2019	December 2019	UNDP, IFRC

	an example existing policies, practices and procedures applied by the international organizations' offices in the host country and Central Asia.	regulating documents. No performance appraisal, staff development, on- boarding and handover tools.				
	Develop formats for an operational plan and annual/progress reports based on existing standards/formats applied by the partner international organizations.	CESDRR has annual calendar plans for its key events, and semi- annual and annual reports. Reports differ in format and structure.	CESDRR has its annual operation plan. Operational plans serve as a base and framework for semi- and annual reports. Both plans and reports have approved formats and structure.	Formats shared by the partner organizations by September 2019	December 2019	
	Provide public availability of the CESDRR plans and reports in Russian and English languages through posting on its web- site/portal.	Progress/annual reports are prepared and shared with the MFAs, KZ Committee of emergencies/Ministry of internal affairs and the KG Ministry of emergencies.	Reports including those for programmes/projects are adapted for public use and available in Russian and English at the CESDRR web- site.		December 2019	
Staffing	In cooperation with the partners, design a CESDRR staff training system that includes monitoring of the	No progress on using CESDRR technical expertise to support governments in monitoring of the	CESDRR in coordination with governmental authorities, UNISDR and other partners supports regular	Discussion with the UNISDR re the role in frames of the CESDRR-UNISDR Agreement by October 2019	December 2019	UNISDR

Sendai Framework implementation.	Sendai Framework for DRR at regional level. CESDRR leadership and senior experts have been certified by the UNISDR/GETI as trainers on Sendai Framework monitoring. CESDRR is a focal point for regional monitoring of the Sendai Framework in Central Asia and Southern Caucasus	monitoring process of the Sendai Framework at regional level through training and technical workshops.			
Introduce a department of programme professional officers (in addition to deployed core staff) and develop recruitment criteria based on competencies that core deployed staff are missing or limited in.	By April 2019, no programme personnel hired by the CESDRR. There is no Programme personnel policy for recruiting and maintenance.	All programmes/projects implemented by the CESDRR have available expertise hired or hosted from external partners for the period of their implementation according to the Programme personnel policy of the CESDRR.	Development of policies on recruiting and managing non- staff services (for instance, UN service contracts) and/or hosting external experts using practices of the international organizations' offices in the host country and Central Asia – by October 2019.	December 2019	World Bank and ECHO (procurement of services)

Thematic expertise	Maintain the unified regional DRR and emergency response coordination mechanism. Given the established emergency response mechanisms that the international partners have with the state authorities at country level, pay more attention to DRR coordination.	No regional DRR and emergency response coordination mechanism.	Coordination mechanism is in place and maintained by the CESDRR.	The Regional coordination mechanisms established by the Regional Forum of the heads of Central Asian emergency authorities in July 2019. Development of the ground documentation for operation of the Crisis center located in the CESDRR by November 2019. Collection and analysis of data on response capacities of all Central Asian states and partner organizations – by December 2019.	December 2019	Central Asian emergency authorities
Information-based promotion of the CESDRR	Negotiate with the CADRI's Secretariat on cooperation opportunities (areas, tools). Study a possibility of joint activities in Central Asia.	Cooperation with CADRI is limited by only one CADRI's meeting attended by the CESDRR representatives.	Directions of cooperation with CADRI in Central Asia is identified.		October 2019	UICEF, UNDP, CADRI's Secretariat

Key area	What is required	Baseline	Target indicator	Interim milestone	Timeframe	Who will support
CESDRR expansion	Increase a number of State members to the CESDRR based on the developed strategy of the CESDRR expansion.	Two States – Kazakhstan and Kyrgyzstan (out of five Central Asian countries) are parties to the Agreement on the CESDRR establishment and members of the CESDRR, and one country - Afghanistan is an observer	Increased CESDRR membership (according to the CESDRR plans, the first tier priority countries are Tajikistan, Turkmenistan, Uzbekistan, Afghanistan, China).	The CESDRR expansion strategy available in January 2020	June 2021	
Standardization of documents used by the CESDRR in its work	Conduct a comprehensive external agency wide audit.	One external audit has been done as a preparation for the UNPD Kyrgyzstan project. No state audit provided as established by the legal documents regulating CESDRR operation	External audit (by internationally recognized companies) is carried out at least once in three years.	Identify a reliable internationally recognized audit company and negotiate on auditing by June 2020. Budget relevant costs while next planning process in December 2019.	September 2020	
Staffing	Increase Kyrgyzstan core staff participation based on the developed plan of action for leveraging contributions from the KG Ministry of emergency situations.	Kyrgyzstan core staff (deployed by the State member) participation is externally supported through a project (UNDP Kyrgyzstan). No inputs from the state budget.	Kyrgyzstan core staff participation is increased and supported through both the state contribution and external partners.	Plan of action available by December 2019.	December 2020	KG Ministry of emergency situations
	Strengthen English language	Only 2 core staff (Head of ER department and	Key core staff (heads of departments,	Add the job descriptions of the	September 2020	UNV, Higher schools, youth organizations

competency among the CESDRR staff	Senior expert) have English language skills to collect and analyze data, participate fully in the meetings, negotiations, technical writing and correspondence. No support staff (lawyer, finance) has language skills.	senior experts), support staff (lawyer, finance) and programme specialists have language skills to be able to communicate and participate in the meetings/trainings and collect needed information on their own.	CESDRR staff with English language competency as the preferred by August 2019. Promote MoU with the English-language faculties of the higher schools to attract students as interns for translating materials and conducting language courses for the CESDRR staff – by January 2020. Recruit volunteers from English language teachers and/or English native speakers through and with support the international organizations as UNV and local NGOs – by June 2020.	January 2020	
Use relevant technical expertise and secondment arrangements from partner local and international	harmonization of terminology used by national legislations in DRR and emergency response and	With support of external partners the CESDRR is provided with technical expertise to study and analyze	In cooperation with the partners, discuss a possibility of joint Disaster Law project (not less than 3 years) aimed at	January 2020	IFRC, UNISDR

organizations for analysis and improvement of DRR and emergency response legislation at national and regional level.	development of relevant recommendations has been done by the law students sent by the Al- Farabi Kazakh National State University as part- time interns, and with the support of their faculty members, due to the signed MoU.	legislation and provide recommendations on strengthening the existing legal base	 improving legal base for DRR and emergency response in the Central Asian sub-region – by October 2019. Add the job descriptions of the CESDRR staff with the preferred relevant competencies – by August 2019. Agree on UNISDR financial support of a Legal Analyst position – by December 2019. 		
Improve professional competencies of staff for developing analytical documents	3 core staff (leadership and one senior expert) have capacities to produce analytical documents (policies, reviews and others that need specific skills).	At least 75% of all core staff (leadership, heads of departments and senior experts) has capacities to formulate analytical documents.	Using the partners' technical support, develop training programme to improve following competencies of staff: analytical thinking; creative thinking; technical writing; decision making (for middle managers – heads of departments). By November 2019.	March 2020	

Advocate for additional state funding for staff knowledge and technology development. Use relevant technical support and secondment arrangements from partner local and international organizations for a specific preparedness tasks (simulations, coordination meetings, development of rules and procedures on aid distribution, on deployment of response teams from partners and volunteers, etc.).	Knowledge and technology development is funded from external sources (travel, participation costs, procurement) No funds to attract external emergency operations/humanitarian affairs specialists (technical experts in disaster response, logistics in emergencies, fire service, emergency preparedness).	Knowledge and technology development are supported from both own and external sources. Additional operative specialists for the CESDRR are supported by partners.	Negotiate with the UNV office on recruiting national and international volunteers for DRR activities – by December 2019. Agree on UNISDR financial support of a Disaster/DRR Expert position – by December 2019.	December 2020 January 2020	UNV, UNISDR
Increase staff knowledge and experience in programme development, including proposal writing, budgeting, and programme	Only one person (Deputy Director) has the relevant experience and skills on programme development and implementation.	At least 75% of core staff in each of CESDRR departments have programme development and implementation skills.	Include the mentioned competencies as preferred when deployment and recruiting staff (reviewed job descriptions) – by August 2019.	June 2021	

Thematic expertise	implementation, M&E	No unified scientific and technical expertise recognized by all states in the region which provides the CESDRR with an effective tool for developing and promoting recommendations on strengthening national and regional legislation in DRR, response and related areas.	The Regional Scientific and Technical Council on Emergencies fully operates and brings together Central Asian experts in DRR, emergency response, law, hydrological, meteorological and other areas related to disaster risk management. The CESDRR operates as a secretariat of this Council.	In cooperation with the partners, provide technical programme/project development and implementation training for its core staff – by June 2020. Regulations on the Central Asian Scientific and Technical Council adopted in July 2019. Mobilize funds for regular meetings (at least once a year) of the Regional Scientific and Technical Council: from external partners for the infant period (up to 2 years); from the states; for joint research and project activities; for exchanging information and experience.	June 2021	UNDP, UNISDR
	Prioritize thematic programme	CESDRR mainly implements the UN-	CESDRR implements separate projects	Develop a portfolio of well-designed	June 2021	

	activities. Concentrate efforts on key programme areas following the adopted criteria	supported projects based on documentation elaborated and provided by the UN partners. Lack of possibility for the CESDRR to participate in the planning process and limited opportunity to contribute with its vision and needs.	and/or participates in the joint partner projects as a full implementing partner starting from the planning, and/or implements projects by itself based on well-designed project documentation.	projects in the identified programme areas to use it when negotiating with potential donors and other partners - by December 2020. Develop a 5-year Fundraising Plan based on diversification of sources - by December 2020 Mobilize external expertise to assist in the development this Plan - October- December 2020.		
Information-based promotion of the CESDRR	Increase a level of awareness of the CESDRR and its role and activities.	Insufficient level of awareness of the CESDRR work among stakeholders (other ministries, international and non-governmental organizations, mass media). This challenges searching and implementation of programme and response activities in various areas.	Increased number of stakeholders are aware of the CESDRR and they support its activities in case of programming or response needs.	A visibility and partnership-building plan developed by June 2020. Agree on UNISDR financial support of a Communication Specialist position – by December 2019. The modus operandi with DRCU in Kyrgyzstan and	June 2021	UNISDR

			REACR in Tajikistan discussed and agreed on by March 2020.		
Study a progress on the State members' relationships with INSARAG, and identify areas of possible cooperation of the CESDRR with this group.	No links with INSARAG (International Search and Rescue Advisory Group)	CESDRR establishes and maintains regular contacts with INSARAG	Establishing initial contacts with the organization and identifying the focal points from both sides – by June 2020.	June 2021	INSARAG