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Self-Assessment Tool for Institutional Engagement

(09 March 2022)

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I. Introduction to the Tool

The Self-Assessment Tool for Institutional Engagement (TIE) was developed to support local humanitarian organizations in assessing their institutional engagement in the various phases of the disaster risk management (DRM) process – before, during, and after disasters. The tool endeavors to assist in the self-evaluation of organizations involved in humanitarian assistance for people affected by disasters. It is important to note that since it is a self-assessment tool, the results are intended to be used primarily by local humanitarian organizations to identify gaps and help improve their own institutional engagement relating to disaster events.

When localized, the Self-Assessment TIE will enable organizations operating in national humanitarian ecosystems to evaluate and review the level of their organizational contribution in the different phases of the DRM continuum. Moreover, they will be able to benchmark the status quo and where necessary, to design and implement relevant interventions in enhancing their organizational engagement in DRM initiatives across a timeline. Evaluations can illuminate best practices for learning when shared with partner countries.

The tool is comprised of several segments. The introductory part serves to build the institutional profile. It can be reported as a written narrative based on the yes/no responses obtained. It is followed by eight (8) segments with several indicators in each segment. The first five segments numbered one to five (1-5) are core institutional dimensions for engagement, including: leadership engagement; employee engagement; stakeholder engagement; community engagement; and organizational capacity. These are the criteria that must be sustained even during non-disaster times. The next three segments numbered six to eight (6-8) are operational dimensions for pre-, during, and post-disaster engagement.

The tool has been designed to help organizations assess changes in their institutional engagement as regards DRM over time. The self-assessment will reveal areas that need to be strengthened. Relevant interventions can be formulated to achieve this. The first assessment serves to provide baseline information or status quo. Subsequent assessments in regular intervals (e.g., monthly, quarterly, semiannually, or annually) may be used to track improvements. The Self-Assessment TIE may be locally adapted to suit the local context in developing interventions to strengthen organizational engagement in DRM initiatives. It may also be translated into local languages.

Organizations using the Self-Assessment TIE for the first time may refer to the Guidance Notes for specific guidelines on how to use the tool and on measures to do after the self-assessment. Relevant information about the tool development is also provided as annexes to this document.

The Self-Assessment TIE was developed by the [Asian Preparedness Partnership \(APP\)](#), with secretariat support from the Asian Disaster Preparedness Center (ADPC) and under the aegis of the Bill and Melinda Gates Foundation (BMGF) and the USAID Bureau for Humanitarian Assistance (USAID BHA). More information about the APP may be found in Annex A.

II. Self-Assessment Tool for Institutional Engagement (TIE) in Different Phases of Disaster Risk Management

Institutional Profile	
Name of the organization:
Type of organization:	<input type="radio"/> Government <input type="radio"/> Non-Government <input type="radio"/> Private sector <input type="radio"/> Other, please specify:
Are you a legal entity under the Laws of your country?	<input type="radio"/> Yes <input type="radio"/> No Please specify the nature of legal mandate
Geographic area of operations:	<input type="radio"/> National <input type="radio"/> Provincial <input type="radio"/> District <input type="radio"/> City / Municipality <input type="radio"/> Village
Number of employees / personnel:
Disaster risk management (DRM) activities performed:	<input type="radio"/> All phases of DRM <input type="radio"/> Before disasters <input type="radio"/> During disasters <input type="radio"/> After disasters

General Instructions:

In each of the indicators in the table below, circle what is appropriate.

- 1 = No, not currently.
- 2 = No, we are in the process of developing it.
- 3 = Sometimes.
- 4 = Yes, we are at the beginning stages.
- 5 = Yes, always.

If an indicator does not apply to your organization, circle N/A (not applicable). Indicators that generate N/A responses shall be taken out from the computation of scores.

The remarks column may be used to write the explanation for choosing a specific numerical answer. It may also be used to write recommendations for further action to improve on the specific indicator.

Core Institutional Dimensions								
Core Dimension 1. Leadership Engagement							Remarks	
No.	Indicator	N/A	Rank					
1.1	The vision statement describes the future our organization intends to achieve.	N/A	1	2	3	4	5	
1.2	The mission statement clearly defines what we want to achieve.	N/A	1	2	3	4	5	

1.3	The organization has a written strategic plan that includes a clear, specific, and measurable set of goals and objectives for the disaster risk management (DRM) work.	N/A	1	2	3	4	5	
1.4	The organization formally shares progress on the strategic plan's goals and objectives with the staff members.	N/A	1	2	3	4	5	
1.5	The existing strategic plan is reviewed regularly in annual basis and updated whenever necessary.	N/A	1	2	3	4	5	
1.6	The organization has a common set of basic beliefs and values that are written as a Code of Conduct (or Code of Ethics), which is shared broadly, fostered, and held by all or the majority of the staff.	N/A	1	2	3	4	5	
1.7	The organization has a set of policies that openly embrace inclusion and diversity in race, ethnicity, class, gender, sexuality, and ability, as well as adherence to the Core Humanitarian Standard (CHS).	N/A	1	2	3	4	5	
1.8	<i>Use this space for any other relevant statement.</i>	N/A	1	2	3	4	5	

Core Dimension 2. Employee Engagement								
2.1	The internal communication between managers and employees is regular.	N/A	1	2	3	4	5	
2.2	The employees have an open access to managers to discuss challenges and issues.	N/A	1	2	3	4	5	
2.3	The employees are conversant with the organizational purpose.	N/A	1	2	3	4	5	
2.4	The employees are made conversant about the organizational values and ethics.	N/A	1	2	3	4	5	
2.5	The employees are given comprehensive awareness of the clarity of their roles.	N/A	1	2	3	4	5	
2.6	The employees are made aware of the relevance of their jobs to the organizational mission.	N/A	1	2	3	4	5	
2.7	The employees are provided with adequate capacity building to be competent in allocated tasks.	N/A	1	2	3	4	5	
2.8	The employees are provided with adequate resources needed to carry out their work.	N/A	1	2	3	4	5	
2.9	Recognition is given to employees for work achieved successfully.	N/A	1	2	3	4	5	
2.10	Employee performance is carried out annually based on self and peer evaluation to assess the achievement of expected level of performance.	N/A	1	2	3	4	5	
2.11	The employees are eligible to compensation and occupational hazard insurance.	N/A	1	2	3	4	5	
2.12	<i>Use this space for any other relevant statement.</i>	N/A	1	2	3	4	5	

Core Dimension 3. Stakeholder Engagement								
3.1	Stakeholder mapping for each intervention is carried out.	N/A	1	2	3	4	5	

3.2	Stakeholders are consulted before the formulation of interventions (programs / projects).	N/A	1	2	3	4	5	
3.3	Stakeholder perceptions of challenges and constraints are incorporated into the formulation of interventions (programs / projects).	N/A	1	2	3	4	5	
3.4	A communication strategy is in place for regular information exchange among stakeholders.	N/A	1	2	3	4	5	
3.5	A coordination mechanism is in place for identified stakeholders.	N/A	1	2	3	4	5	
3.6	Stakeholders are made aware of their roles and responsibilities.	N/A	1	2	3	4	5	
3.7	Stakeholders are involved in monitoring and evaluation.	N/A	1	2	3	4	5	
3.8	<i>Use this space for any other relevant statement.</i>	N/A	1	2	3	4	5	

Core Dimension 4. Community Engagement								
4.1	Inclusive and participatory community consultations are carried out prior to intervention (program / project) formulation.	N/A	1	2	3	4	5	
4.2	Community needs and perceptions are given priority consideration in participatory selection of interventions and activities.	N/A	1	2	3	4	5	
4.3	The community is made aware of the intervention (program / project) details prior to implementation.	N/A	1	2	3	4	5	
4.4	The community is engaged in implementation and monitoring of interventions and activities.	N/A	1	2	3	4	5	
4.5	<i>Use this space for any other relevant statement.</i>	N/A	1	2	3	4	5	

Core Dimension 5. Organizational Capacity								
5.1	There is an organizational structure that is pertinent to the size of the organization.	N/A	1	2	3	4	5	
5.2	The organization adheres to national fiscal policy and procedures.	N/A	1	2	3	4	5	
5.3	The annual operations plan aligns with the current strategic plan.	N/A	1	2	3	4	5	
5.4	The annual budget aligns with the current strategic plan.	N/A	1	2	3	4	5	
5.5	An annual audit is conducted.	N/A	1	2	3	4	5	
5.6	There is a written and institutionalized human resources (HR) policy.	N/A	1	2	3	4	5	
5.7	There is a written and institutionalized recruitment policy.	N/A	1	2	3	4	5	
5.8	Adequate staff is available to identified tasks to be undertaken.	N/A	1	2	3	4	5	
5.9	There is a written and institutionalized volunteer recruitment policy to supplement staff adequacy.	N/A	1	2	3	4	5	

5.10	The organization has a documented and institutionalized gender sensitive workplace guideline.	N/A	1	2	3	4	5	
5.11	The organization has a documented and institutionalized workplace harassment prevention guideline.	N/A	1	2	3	4	5	
5.12	The program design is informed by lessons learnt and good practices.	N/A	1	2	3	4	5	
5.13	The program design is done by a team of competent staff members.	N/A	1	2	3	4	5	
5.14	Sufficient financial and other resources are allocated to ensure strong program implementation.	N/A	1	2	3	4	5	
5.15	There is an institutional emergency response plan that takes into consideration institutional vulnerabilities, risks from hazards, and safety of workers.	N/A	1	2	3	4	5	
5.16	There is an institutional recovery framework formulated with stakeholder consensus.	N/A	1	2	3	4	5	
5.17	<i>Use this space for any other relevant statement.</i>	N/A	1	2	3	4	5	

Disaster-Related Operational Dimensions

Operational Dimension 6. Actions Taken Before Disasters

6.1	The organization is involved in carrying out a situation analysis for the area of work that is reviewed regularly.	N/A	1	2	3	4	5	
6.2	The organization is involved in hazard, vulnerability, and capacity assessment that are reviewed regularly.	N/A	1	2	3	4	5	
6.3	The organization is involved in carrying out risk assessment, which is reviewed regularly.	N/A	1	2	3	4	5	
6.4	The organization is involved in the compilation of disaster risk management (DRM) related information that is compiled into a database, updated regularly, and shared openly.	N/A	1	2	3	4	5	
6.5	The organization is involved in carrying out preparedness planning that leads to a compilation of a plan that is shared openly.	N/A	1	2	3	4	5	
6.6	The organization is involved in creating awareness and risk communication initiatives.	N/A	1	2	3	4	5	
6.7	The organization is involved in contingency planning that puts in place surge capacity needs.	N/A	1	2	3	4	5	
6.8	The organization is involved in establishing an end-to-end multi-hazard early warning system to reach all households at risk.	N/A	1	2	3	4	5	
6.9	The organization is involved in formulating and implementing a disaster risk reduction plan.	N/A	1	2	3	4	5	
6.10	The organization is involved in response planning, plan compilation, and sharing.	N/A	1	2	3	4	5	
6.11	The organization is involved in consulting business enterprises to facilitate business continuity planning.	N/A	1	2	3	4	5	

6.12	The organization is involved in the formulation and sharing of standard operating procedures (SOPs) for emergency management.	N/A	1	2	3	4	5	
6.13	The organization is involved in conducting mock drills to validate formulated plans.	N/A	1	2	3	4	5	
6.14	The organization is involved in planning and implementing community-based disaster risk management (CBDRM) initiatives.	N/A	1	2	3	4	5	
6.15	The organization is involved in the regular convening of a local level multi-stakeholder coordination platform.	N/A	1	2	3	4	5	
6.16	The organization is involved in maintaining a functional multi-stakeholder communication mechanism.	N/A	1	2	3	4	5	
6.17	The organization is linked with the in-country Humanitarian Coordination Team (HCT).	N/A	1	2	3	4	5	
6.18	The organization is involved in warehouse management of non-food relief items (NFRIs).	N/A	1	2	3	4	5	
6.19	The organization is involved in procurement of adequate NFRIs.	N/A	1	2	3	4	5	
6.20	The organization is involved in formulating a monitoring and evaluation plan that establishes a mechanism to assess the achievement of targets for preparedness, response, and disaster risk reduction.	N/A	1	2	3	4	5	
6.21	<i>Use this space for any other relevant statement.</i>	N/A	1	2	3	4	5	

Operational Dimension 7. Effectiveness of Operations During Disasters								
7.1	The organization is involved in early warning dissemination.	N/A	1	2	3	4	5	
7.2	The organization is involved in implementing the response plan.	N/A	1	2	3	4	5	
7.3	The organization is involved in the provision of shelter and necessary services.	N/A	1	2	3	4	5	
7.4	The organization is involved in collecting disaggregated data of the affected populations based on gender, age, and disability.	N/A	1	2	3	4	5	
7.5	The organization is involved in camp management for the displaced populations, adhering to the Core Humanitarian Standard (CHS).	N/A	1	2	3	4	5	
7.6	The organization participates in search and rescue operations led by the government.	N/A	1	2	3	4	5	
7.7	The organization is involved in food and relief material distribution following government protocols.	N/A	1	2	3	4	5	
7.8	The organization is involved in the distribution of non-food relief items (NFRIs).	N/A	1	2	3	4	5	
7.9	The organization is involved in giving timely first aid to the affected populations.	N/A	1	2	3	4	5	
7.10	The organization is involved in providing psycho-social counseling services.	N/A	1	2	3	4	5	
7.11	The organization facilitates coordination in a collaborative and complementary manner.	N/A	1	2	3	4	5	

7.12	The organization is involved in disseminating emergency communication to reach the public and intended audiences.	N/A	1	2	3	4	5	
7.13	The organization assists Mass Casualty Management (MCM) according to pre-arranged protocols.	N/A	1	2	3	4	5	
7.14	The organization supports hospital preparedness.	N/A	1	2	3	4	5	
7.15	The organization assists in firefighting activities where needed.	N/A	1	2	3	4	5	
7.16	<i>Use this space for any other relevant statement.</i>	N/A	1	2	3	4	5	

Operational Dimension 8. Effectiveness of Operations After Disasters								
8.1	A recovery framework is operationalized and implemented.	N/A	1	2	3	4	5	
8.2	The organization is involved in rapid needs assessment.	N/A	1	2	3	4	5	
8.3	The organization is involved in clearing debris.	N/A	1	2	3	4	5	
8.4	The organization is involved in dead-body management.	N/A	1	2	3	4	5	
8.5	The organization is involved in rehabilitation efforts.	N/A	1	2	3	4	5	
8.6	The organization is involved in livelihood recovery initiatives.	N/A	1	2	3	4	5	
8.7	The organization is involved in the provision of temporary housing for affected populations.	N/A	1	2	3	4	5	
8.8	The organization is involved in the provision of durable solutions on post-disaster shelter for the displaced populations.	N/A	1	2	3	4	5	
8.9	The organization is involved in exploring recovery support for micro, small, and medium enterprises (MSMEs).	N/A	1	2	3	4	5	
8.10	The organization participates in government-led initiatives to conduct post-disaster needs assessment (PDNA).	N/A	1	2	3	4	5	
8.11	<i>Use this space for any other relevant statement.</i>	N/A	1	2	3	4	5	

III. Guidance Notes

Structure of the Tool

The introductory part serves to build the institutional profile of the local humanitarian organization conducting the self-assessment on its engagement in the different phases of the DRM process. This segment can be reported as a written narrative based on the yes/no responses obtained. It is followed by eight (8) segments with several indicators in each segment.

The first five segments numbered one to five (1-5) are core institutional dimensions for engagement, including: leadership engagement; employee engagement; stakeholder engagement; community engagement; and organizational capacity. These are the criteria that must be sustained even during non-disaster times.

The next three segments numbered six to eight (6-8) are operational dimensions for pre-, during, and post-disaster engagement.

Guidance for Use of the Tool

1. The tool has been designed to help organizations assess changes to their engagement in DRM over time. The very first assessment serves to benchmark the status quo. This will reveal areas that need to be strengthened. Relevant interventions can be formulated to achieve this. Thereafter, consider repeating this assessment on regular intervals (e.g., monthly, quarterly, semiannually, or annually) to track how the institutional engagement changes over time.
2. Identify a few individuals within your organization to independently take this assessment. They could include the Chief Executive Officer (CEO), members of the board of directors, leadership team members, employees, and well-informed external stakeholders. The self-assessment is to be done by the institution as a whole and not by its individual members. Note that the self-assessment may be facilitated by an independent resource person.
3. As a team, discuss any areas of disagreement, seeking to find consensus on the five-level assessment (rankings) given for each indicator.
4. Some of the indicators may not be relevant for your organization. Mark them in the 'Not Applicable' (N/A) column given in the tool. The measurement rubric to be detailed later considers only the indicators to which responses are made so that the final tally is not negatively affected. A column for remarks provides additional space to justify the non-relevancy of the indicator to a particular responder. Moreover, the remarks column may be used to write the explanation for choosing a specific numerical answer. It may also be utilized to provide recommendations for further action to improve on the specific indicator.

5. The assessment will reveal the type of organization, its size, area of work, level of engagement and institutional capacity, so that the organization's status quo in the humanitarian ecosystem can be mapped out for macro level planning where relevant.
6. Identify needs for localization and adopt based on consensus.

Measurement

The questions for assessment are intended to enable the measurement of progress and/or comparison across the timeline of programs, projects, and contexts. To be meaningful, responses need to be measured in a way that is consistent across time and location. The tool allows for disaggregation of responses on the type of humanitarian organization. Questions in the tool use [Likert scales](#) as a five-point bipolar response ranging from a group of categories – from one (1) as least to five (5) as most.

A five-level assessment rubric* is given below, for use in qualitatively ranking the toolkit indicators.

1. *No, not currently.*
2. *No, we are in the process of developing it.*
3. *Sometimes.*
4. *Yes, we are at the beginning stages.*
5. *Yes, always.*

- | |
|---|
| <ol style="list-style-type: none">1. Achievements are minor and there are few signs of planning or forward action to improve the situation.2. Achievements have been made but are relatively small or incomplete, and while improvements are planned, the commitment and capacities are limited.3. There is some commitment and capacities to achieving disaster risk reduction (DRR) but progress cannot be considered positive.4. Substantial achievement has been attained, but with some recognized deficiencies in commitment, financial resources, or operational capacities.5. Comprehensive achievement has been attained, with the commitment and capacities to sustain efforts at all levels. |
|---|

**Note: In adopting the tool and contextualizing to each country, the need may arise to tailor the five-level assessment descriptions, to make them more relevant to local realities.*

These provide ordinal data as ranked responses. A nonparametric procedure based on the rank and frequency of response for each rank can be used as percentages to generate bar charts when responses to individual questions are taken for consideration.

Should an indicator does not apply to your organization, you may choose N/A (not applicable). Indicators that generate N/A responses shall be taken out from the computation of scores.

Moreover, the remarks column may be used to write the explanation for choosing a specific numerical answer. It may also be used to write recommendations for further action to improve on the specific indicator.

Individual Indicators

Where the analysis is required to ascertain whether response to an individual indicator was positive, moderate, or negative. A [literature](#) advocates the median should be taken to be rank 3. A score of below 3 should be taken as a negative perception. This will require interventions for enhancement. A simple bar chart may be used to indicate the scores.

Self-Assessment Score

A self-assessment score may be measured and analyzed in each segment of the tool. An aggregated score may also be used for the measurement and analysis of the whole tool. The median for the questions should be taken to be ranked 3. The total score for the number of responses for all five ranks should be calculated as $[(n_1 \times 1) + (n_2 \times 2) + (n_3 \times 3) + (n_4 \times 4) + (n_5 \times 5)]$ where n_x represents the number of responses for each rank. If the average score is 1.00 to 2.00, it is considered as a minor achievement. An average score of 2.01 to 3.00 is taken to be a moderate achievement while an average score of 3.01 to 4.00 is considered as a substantial achievement. Finally, an average score of 4.01 to 5.00 means a comprehensive achievement. An average score of 3.00 or less indicates the need for interventions to improve engagement.

Given that the assessment allows users to omit indicators as appropriate, an average score will be calculated to better reflect the perception.

$$\text{Avg. score} = [(n_1 \times 1) + (n_2 \times 2) + (n_3 \times 3) + (n_4 \times 4) + (n_5 \times 5)] / N$$

Where $N = (n_1 + n_2 + n_3 + n_4 + n_5)$

Interpretation of the Self-Assessment Score

- Average score of 1.00 to 2.00 means minor achievement
- Average score of 2.01 to 3.00 means moderate achievement
- Average score of 3.01 to 4.00 means substantial achievement
- Average score of 4.01 to 5.00 means comprehensive achievement

After the Assessment

1. After completing the assessment using the Self-Assessment Tool on Institutional Engagement (TIE) described above, separately tabulate the score for each indicator in the tool. This will provide you with discrete areas that are strong (with an average score of 3.01 to 5.00), and discrete areas that need strengthening (with an average score of 3.00 or lower). By identifying the areas of greatest need, you will be better equipped to focus on specific areas of concern.
2. Calculate the score for each dimension or segment of the tool. For the complete tool kit or a segment of the tool kit, the median for the questions should be taken to be rank 3. The total score for the number of responses for all five ranks should be calculated as $[(n_1 \times 1) + (n_2 \times 2) + (n_3 \times 3) + (n_4 \times 4) + (n_5 \times 5)]$ where n_x represents the number of responses for each rank.
 - a. Since it allows omitting indicators (N/A column) as appropriate, for better reflection of the perception, average score shall be calculated.
 - b. Average score = $[(n_1 \times 1) + (n_2 \times 2) + (n_3 \times 3) + (n_4 \times 4) + (n_5 \times 5)] / N$
where $N = (n_1 + n_2 + n_3 + n_4 + n_5)$
 - c. Interpretation
 - Average score of 1.00 to 2.00 means minor achievement
 - Average score of 2.01 to 3.00 means moderate achievement
 - Average score of 3.01 to 4.00 means substantial achievement
 - Average score of 4.01 to 5.00 means comprehensive achievement
3. The assessment team should brainstorm on the results and conceptualize the capacity building initiatives needed and the stakeholders to be engaged for a determined time duration. It is desirable to get the viewpoint of an external expert to develop the capacity building initiatives. It is also important to determine the stakeholders who will be engaged for the capacity building initiatives and the required time duration.
4. It is recommended to present such conceptualization to a larger group of internal and external stakeholders engaged in humanitarian work of the organization for discussion and validation. It is worth noting that the tool intends to guide the institution to create better policies, plans, programs, projects, and activities.
5. An action plan with a timeline should be developed. It could then be implemented with proper funding and resource inputs.
6. Decide on retaking the assessment in consensus with the larger group of stakeholders.

Annex A

Background and Rationale

Objective

When localized, the self-assessment tool will enable organizations in each national humanitarian ecosystem to evaluate and review the level of organizational contribution in the different phases of the disaster risk management (DRM) continuum; benchmark the status quo; and where necessary, build relevant interventions to strengthen and enhance organizational engagement in DRM initiatives across a timeline. Evaluations can illuminate best practices for learning when shared with partner countries.

Asian Preparedness Partnership (APP)

The APP is a regional partnership comprised of national and local governments, non-governmental organizations (local NGOs), civil society groups, the private sector, the academia, and media in Cambodia, Myanmar, Nepal, Pakistan, the Philippines, and Sri Lanka, with secretariat support from ADPC, Thailand, under the aegis of BMGF and USAID BHA. The APP promotes and supports locally led actions to prepare for, respond to, and recover from disasters, commonly referred to as “*localization*.” The APP defines localization as a process of which local, sub-national, and national humanitarian actors take a lead role, in a collaborative manner, to plan and implement priority actions in disaster preparedness, humanitarian response, and recovery through mobilizing internal resources and external humanitarian funding.

The goal of the APP is to improve the preparedness and emergency response to disasters by strengthening the interface between the government, local humanitarian organizations, the private sector, the academia, and media to enhance capacities through partnerships, information and knowledge exchange, resource sharing, trainings, and networking.

APP Phase 1

The APP Phase 1 (2016 to 2019) mobilized key local actors in six countries – Cambodia, Myanmar, Nepal, Pakistan, the Philippines, and Sri Lanka – to establish the APP as a regional forum. Consequently, the country partners of APP formed the national preparedness partnerships in each country, with the government DRM nodal points, local non-government organizations (NGOs), and the private sector for the enhancement of emergency response. The academia and media also contribute to these national partnerships. In APP Phase 1, a Baseline Survey of

hazards, vulnerability, risk and institutional capacity of the partner countries was conducted to inform national and regional interventions.¹

APP Phase 2

In the APP Phase 2, the overall scope is to build on the success and progress of the APP Phase 1 while scaling up and scaling out its outreach regionally and globally to have a greater impact on supporting the locally led disaster preparedness, response, and recovery actions. The three primary outcomes of the APP Phase 2 are as follows:

1. Increased locally led actions to prepare for, respond to, and recover from disasters in selected high-risk countries of Asia;
2. Institutionalized efficient and cost-effective innovative approaches for locally led disaster risk management (DRM) actions; and
3. Strengthened enabling environment for humanitarian system transformation through regional cooperation and global outreach.

One of the specific outputs under primary outcome 1, pertains to the development, testing, and usage of a self-assessment Tool for Institutional Engagement (TIE) in the different phases of disaster risk management (DRM). This endeavors to facilitate the adoption of the tool kit for the different types of institutional stakeholders in the partner countries as relevant.

Survey of Initiatives Embarked on by Country Partners

The development of this tool commenced with the review of disaster risk reduction (DRR) and disaster management (DM) policies, plans, institutional mechanisms, and related publications from APP countries. This resulted in an initial checklist of initiatives undertaken by the government, local non-government organizations (LNGOs), and the private sector. A survey questionnaire was formulated in which a total of 70 organizations in APP countries responded. The respondents were from 18 national and sub-national government units; 34 LNGOs with operations from the national down to the community levels; and 18 private sector companies ranging from small, medium, and large enterprises. They represent the organizations that form the national preparedness partnerships in APP countries and affiliated members in their respective networks.

The responses to the survey questionnaire provided insight into the initiatives that local actors undertake related to the prevention of, response to, and recovery from disasters. Moreover, the respondents also provided additional information on other development and humanitarian initiatives that they implement in building resilience against disasters. These findings informed the formulation of the self-assessment tool.

¹ADPC (2018). Regional Synthesis Report Baseline of Humanitarian Ecosystems in Asia. Second Edition. Bangkok, Thailand: Asian Disaster Preparedness Center (ADPC).

Annex B

Framework for Scoping Institutional Engagement in Disaster Risk Management (DRM)

Given the perception that “institution” is not a standardized term² and the fact that “institutional engagement” is more commonly used in the field of higher education, it appears desirable to develop a theoretical framework for scoping institutional engagement in disaster risk management (DRM). It accepts the premise that the term “institution” is synonymous with “organization”.

Institutions considered in this tool include any agency external to the community, such as government bodies, NGOs, and national or international organizations involved in any phase of DRM. “An organization is the structural framework of duties and responsibilities required of personnel in performing various functions with a view to achieve business goals through organization”.³ Organization is “the process of identifying and grouping work to be performed, defining and delegating responsibility and authority and establishing relationships for the purpose of enabling people to work most effectively together in accomplishing objectives.”⁴ It is noted that some organizations do not describe themselves as institutions.⁵ An organization is an instrument for achieving organizational goals. The work of each person is defined. Authority and responsibility are fixed for accomplishing the goals.⁶ Institutional or organizational engagement “is a composite measure of factors that may impact the alignment of individual effort with the organization’s strategic objectives.”⁷

The notion of “engagement” includes disclosure and transparency of the institution to their stakeholders; two-way or multi-directional exchanges of information, ideas, skills and resources; and direct involvement for consultation or partnership with stakeholders.⁸ As a concept, “engagement” features attributes of connection, interaction, participation, and involvement designed to achieve or elicit an outcome at the individual, organizational, or societal levels.⁹ In

²European Centre for Disease Prevention and Control (2017). A literature review on community and institutional emergency preparedness synergies. Stockholm: ECDC.

³<https://www.economicdiscussion.net/organisation/organisation-definitions/32336#:~:text=Wheeler%3A,%2Dup%20by%20company%20management%E2%80%9D>. retrieved 20 October 2020.

⁴ibid

⁵<https://www.yourarticlelibrary.com/organization/organization-meaning-definition-concepts-and-characteristics/53217> retrieved 25 October 2020.

⁶www.louisallenworldwide.com retrieved 25 October 2020.

⁷Adopted from

<https://static1.squarespace.com/static/57438868b654f9e7bf68aa67/t/57572677ab48de200c90234d/1465329271909/Groove+Organizational-Engagement-Review-Sample.pdf> retrieved 25 October 2020.

⁸<https://pubs.iied.org/pdfs/G02257.pdf> retrieved 25 October 2020,

⁹Johnston, Kim A. (2010). “Community Engagement: Exploring a Relational Approach to Consultation and Collaborative Practice in Australia”. *Journal of Promotion Management*. 16 (1–2): 217–234.

the field of DRM, in lieu of engagement, “performance index”¹⁰ has been used. “Risk management performance” is the assessment of indicators for organizational, development, capacity, and institutional actions taken to reduce vulnerability and losses in an area, to prepare for crisis, and to recover efficiently from disasters.¹¹

Thus, “engagement” appears to be imposed by several overlapping dimensions such as leadership engagement; employee engagement; stakeholder engagement; community engagement; organizational effectiveness; and organizational capacity. Social responsibility of organizations is a concept that is widely upheld as the integration of social and environmental concerns in organizational operations and organizational interactions with stakeholders on a voluntary basis.¹² The international standard ISO 26000¹³, contributing to sustainable development of organizations, embeds the paradigms of “social responsibility” and “identification of and engagement with its stakeholders”.¹⁴ A stakeholder is “*an individual or a group that has an interest in any decision or activity of an organization.*”¹⁵ This connotes both the internal (employees) as well as external stakeholders.

This tool presents a synthesis of these overlapping concepts as a framework adopted by the APP to enable scoping of the self-assessment tool, as presented in Figure1.

¹⁰Standard%20KPIs%20for%20DRM%20Implementation.pdf retrieved 26 October 2020.

¹¹Carreno Martha Liliana, Cardona Omar Dario, Barbat, Alex H. (2007). A disaster risk management performance index, Nat Hazards (2007) 41:1–20.

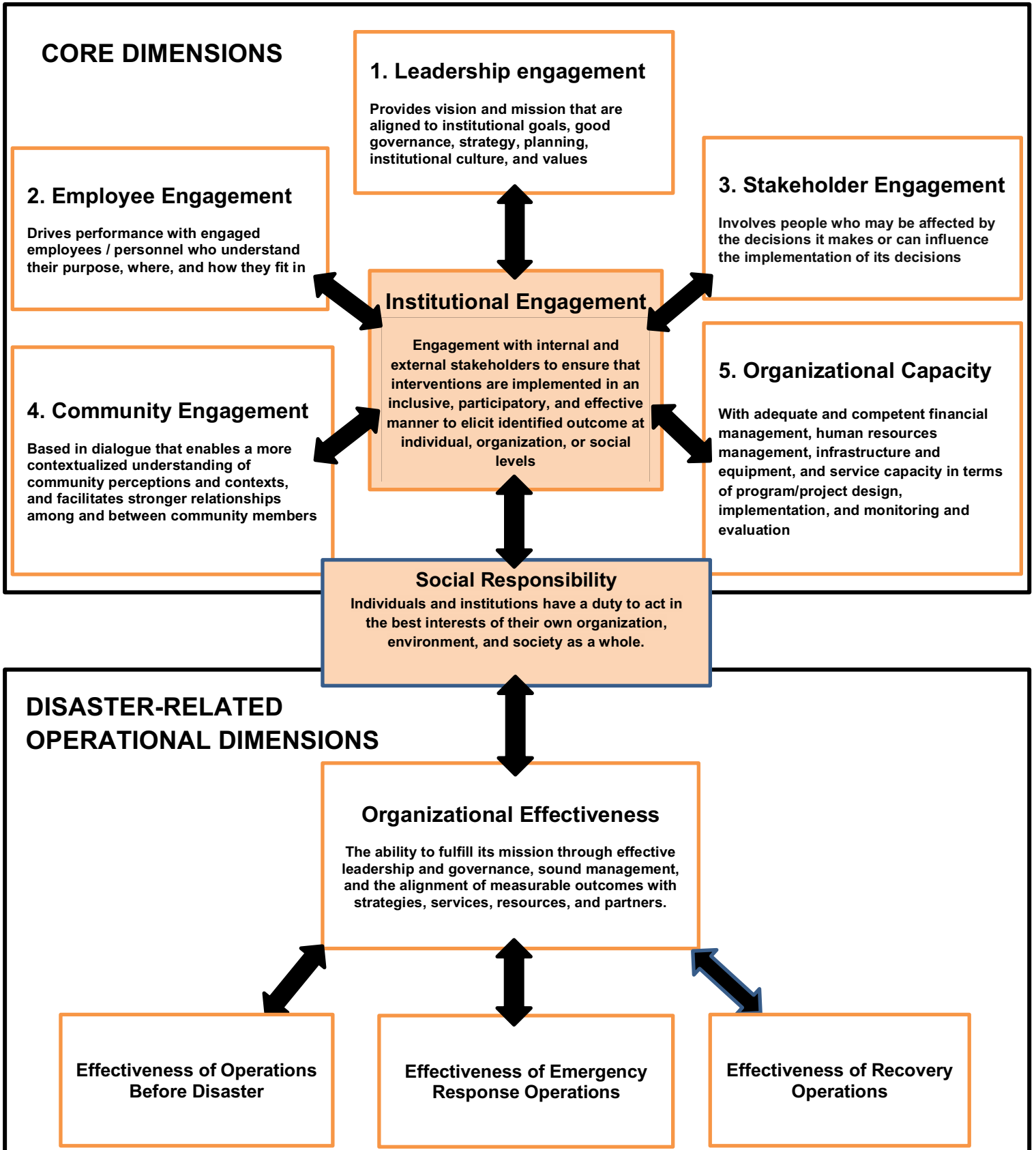
¹²Crowther, David., Aras, GÜler. (2008). Corporate Social Responsibility. Ventus Publishing.

¹³ISO 26000 (2010). Guidance on social responsibility retrieved 26 October 2020.

¹⁴ibid

¹⁵ibid

Figure 1. APP Framework for Institutional Engagement



Annex C

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