



Accountability in the Context of Disaster Risk Governance

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List of Abbreviations

CCA	Climate Change Adaptation
DRR	Disaster Risk Reduction
HFA	Hyogo Framework for Action
NGO	Non-Governmental Organisation
SFDRR	Sendai Framework for Disaster Risk Reduction 2015-2030

Preface

The Sendai Framework for Disaster Risk Reduction 2015-2030, adopted by the UN Member States in 2015, is designed to support the reduction of existing levels of risk and prevent new risks from emerging. In particular, it aims to substantially reduce disaster risk and losses in lives, livelihoods and health, and in the economic, physical, social, cultural and environmental assets of persons, businesses, communities and countries. The risks addressed by the Sendai Framework relate to both natural and man-made hazards, and small and large-scale, frequent and infrequent, and sudden and slow-onset disasters.

The Sendai Framework includes the guiding principle that “Disaster risk reduction requires an all-of-society engagement and partnership. It also requires empowerment and inclusive, accessible and non-discriminatory participation, paying special attention to people disproportionately affected by disasters, especially the poorest.” In that way, embedding disaster risk reduction and integrating it into the very culture of governance and daily work, is key to the success of the 2030 Agenda for Sustainable Development and delivery of the Sustainable Development Goals.

The Sendai Framework recognises that the State has the primary role in reducing disaster risk. That responsibility, however, should be shared with all stakeholders, including local governments and the private sector. Accountability is an integral part of good governance. Those who are entrusted with the responsibility for handling various aspects of governance should be held accountable for what they are expected to do to ensure a significant reduction in disaster risks.

Disasters know no borders. Climate change and rapid urbanisation are adding to the mix of existing risks such as poverty, poor governance, poor land use, social exclusion, environmental degradation and human rights issues. Based on scientific evidence and practical knowledge, properly applied disaster risk reduction supports resilience and economic growth. This can alleviate societal tensions, limit the likelihood of conflicts and mitigate the impact of hazards on society.

While the world has made some progress on reducing human losses due to disasters, there is still a long road ahead of us in avoiding the creation of new risks and reducing existing ones for the generations to come.

Abhilash Panda

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1 Introduction

1. Introduction

1.1. About the report

The Sendai Framework for Disaster Risk Reduction 2015-2030 (UNISDR, 2015) charts the global course in Disaster Risk Reduction (DRR). During the consultations and negotiations that led to its finalisation, strong calls were made to develop practical guidance to support implementation, ensure engagement and ownership of action by all stakeholders, and to strengthen accountability in DRR.

As a result, paragraph 48 (c) of the Sendai Framework calls upon “the United Nations Office for Disaster Risk Reduction (UNISDR), in particular, to support the implementation, follow-up and review of this framework through [...] generating evidence-based and practical guidance for implementation in close collaboration with States, and through mobilization of experts; reinforcing a culture of prevention in relevant stakeholders [...]”.

This guide aims to support the above process by providing practical guidance on how to implement the Sendai Framework, and to ensure worldwide access to expertise, communities of practice, as well as professional networks. This guide facilitates access to essential thematic information, and provides clear advice and references that will help to get a good and thorough grasp of the subject covered. This guide is not meant to be an exhaustive handbook that will cover the topic in depth. Instead, those who need in-depth information will find pointers to other sources of a more specialised and detailed nature. The guide also aids in understanding the overall context in which the main subject is embedded. This guide offers specific advice on the steps suggested to implement a feasible and people-centered approach in accordance with the Sendai Framework.

In short, this guide is a pragmatic roadmap to programming an effective implementation strategy by promoting a good understanding of the main issues, obstacles, solution-finding strategies, resourcing and aspects for efficient planning.

1.2. Aims and organisation of this report

Almost all countries across the world have experienced disasters resulting from natural and man-made hazards, and related environmental, technological and biological hazards and risks. This accumulation of experiences has been analysed and documented to varying extents by researchers and practitioners. Such analyses point to lessons learned and best practices that can be adopted to reduce disaster risk.

DRR is the policy objective of disaster risk management, and its goals and objectives are defined in disaster risk reduction strategies and plans. DRR is aimed at preventing new and reducing existing disaster risk, as well as for managing residual risk. Collectively, these contribute to strengthening resilience and to the achievement of sustainable development.

Climate change has also compelled stakeholders at different levels to revisit conventional practices of DRR. CCA has become an important focus in disaster risk management. The increasing frequency and intensity of disasters resulting from natural and man-made hazards have brought about a transformation in the way disasters, disaster risks and disaster risk governance are ‘perceived’ by multiple stakeholders. There has been a shift in emphasis away from disaster management to disaster risk management, and a focus on reducing disaster risks for people, their livelihoods, vital infrastructure and institutions, and other stakeholders.

Alongside these changes, the scope of disaster risk governance has expanded in terms of ideas, stakeholders and modalities. On the one hand, CCA has become an integral part of disaster risk governance, with the involvement of both global and local stakeholders. This has made an integrated and coordinated approach an imperative in the disaster risk governance process. On the other, what is also equally important is to recognise that the outcome of disaster risk governance depends to a large degree on the extent

to which various stakeholders can be held accountable for their actions and inactions related to DRR. As outlined in the SFDRR, the accountability of multiple layers of stakeholders has become a critical factor in the achievement of the seven global targets and the reduction of disaster risk as an expected outcome of the framework. These stakeholders include not only different tiers of government, ranging from national through subnational to local, but also civil society, academia, scientific and research entities, business, professional associations and the media.

- To address this challenge, this practical how-to-do report focuses on accountability in the context of disaster risk governance.
- It outlines how accountability could be made an integral part of effective disaster risk governance.
- It considers why accountability is important and the progress achieved since the Hyogo Framework for Action: Building the Resilience of Nations and Communities 2005-2015 (HFA), which preceded the SFDRR. This report provides technical and practical guidance for national government on how accountability can be made an integral part of effective disaster risk governance.
- It is intended that the report will help countries and partners to move ahead with the implementation of the SFDRR by harnessing the state of the art, countries' experiences of disaster risk governance, and current best practices.
- It considers a range of definitions and dimensions of accountability, who should be involved and how to create effective accountability within disaster risk governance.
- It is complemented by a series of case studies to illustrate accountability in practice, while recommended steps, theories, process building and tools are described as the basis for operationalising accountability in diverse institutional settings.

1.3. Definitions

Table 1. Definitions

Disaster risk reduction	<p>Disaster risk reduction is aimed at preventing new and reducing existing disaster risk and managing residual risk, all of which contribute to strengthening resilience and therefore to the achievement of sustainable development.</p> <p>Disaster risk reduction is the policy objective of disaster risk management, and its goals and objectives are defined in disaster risk reduction strategies and plans.</p>
Disaster risk governance	<p>The system of institutions, mechanisms, policy and legal frameworks and other arrangements to report, coordinate and oversee disaster risk reduction and related areas of policy.</p> <p>Good governance needs to be transparent, inclusive, collective and efficient to reduce existing disaster risks and avoid creating new ones.</p>
Accountability	<p>Accountability is an integral part of good governance. Those who are entrusted with the responsibility for handling various aspects of governance are held accountable for what they are expected to do to ensure a significant reduction in disaster risks.</p> <p>Accountability is a legal and social obligation on the part of those holding political, bureaucratic or technical positions to carry out certain clearly defined responsibilities or functions. If these functionaries neglect their obligations and fail to perform expected functions without a justifiable reason or reasons, they can be held accountable for their commissions or omissions, and legal sanctions can be imposed on them as a deterrent.</p> <p>Key elements that come together in the notion of accountability:</p> <ul style="list-style-type: none">• Answerability - the need for justification of actions• Enforcement - the sanctions that could be imposed if the actions or justification for the actions are found to be unsatisfactory• Responsiveness - the ability of those held accountable to respond to the demands made
National government	<p>National government is the government of a nation-state. The structure of national governments varies. Many countries have created autonomous regions by delegating powers from the national government to governments at a subnational level, such as a regional, state or local level.</p>

1.4. Target group

While recognising the multiple layers of stakeholders that should be involved to ensure effective accountability, the target group for this report is national governments that have overall responsibility to set up, maintain and sustain DRR policies and plans.

Government agencies play a critical role before, during and after a disaster, but the exact role of government is often unclear to other stakeholders. Even more difficult to decipher are the complex relationships between various government programmes, from national to subnational levels. Good governance most generally refers to a list of positive characteristics or principles of how government decision-making and policy implementation ought to be carried out.

Disaster risk governance at the global, regional, national and subnational levels is of great importance for the effective and efficient management of disaster risks. Clear strategies in national government, the focal point representing the national level, are needed, including a clear vision and mission, plans, competence, guidance, and coordination within and across sectors. It also requires the participation of relevant stakeholders, together with strengthening disaster risk governance, disaster response, rehabilitation and reconstruction. National governments need to facilitate collaboration and partnership across mechanisms and institutions for the implementation of instruments relevant to DRR and resilience building.

“National governments

need to facilitate collaboration and partnership across mechanisms and institutions for the implementation of instruments relevant to disaster risk reduction and sustainable development.”

Accountability in disaster risk governance is a cross-cutting and complex governance issue for which each state has the primary responsibility to ensure that the public are safe and aware of risks, and to prevent and reduce disaster risks. This includes through international, regional, sub regional, transboundary and bilateral cooperation. This also requires political and legal commitment, public understanding, scientific knowledge, careful development planning, responsible enforcement of policies and legislation, national risk assessment, disaster loss data, people-centered early warning systems, and effective disaster preparedness and response mechanisms. This guide will play a key role in promoting the subject and indeed, it may help national governments to implement capacity building around it. It seeks to provide and mobilise knowledge, skills and resources required for promoting accountability as a key enabler of disaster risk governance.

To apply the main principles of the Sendai Framework, governments need to focus on political, technical, participatory and resource mobilisation components. As suggested by the Global Network of Civil Society Organisations for Disaster Reduction (2015), these include:

- The **political** component ensures strong political commitment from the top leadership and the establishment of a national coordination mechanism (National Platform) and a national strategy for DRR with clear targets, indicators and responsibilities;
- The **technical** component involves various activities such as developing disaster loss databases, national vulnerability, risk and capacity assessments, national indicators for DRR, and knowledge bases which report decision making processes;
- The **participatory** component involves relevant groups, including various government bodies, the private sector, NGOs and academic institutions; and
- The **resource mobilisation** component obtains and allocates the resources required for implementing the Sendai Framework.



2

Accountability in the context of disaster risk governance frameworks

2. Accountability in the context of disaster risk governance frameworks

2.1. Disaster risk governance since the HFA

International communities and countries all over the world have been working together and have learnt from over 20 years of work to prevent, mitigate, prepare for and respond to natural disasters. This has been in line with the Yokohama Strategy and Plan of Action for a Safer World and the HFA. Overall, the HFA provided critical guidance in efforts to reduce disaster risk and has contributed to progress towards the achievement of the Millennium Development Goals. Its implementation has, however, highlighted a number of gaps in addressing underlying disaster risk factors, in formulating goals and priorities for action, in fostering disaster resilience at all levels and in ensuring adequate means of implementation. The gaps indicated a need to develop an action-oriented framework that governments and relevant stakeholders can implement in a supportive and complementary manner. They also helped to identify the disaster risks to be managed and provided a guide on appropriate investment to improve resilience.

Extensive documentation of progress made since HFA, by global and national institutions, show some significant achievements. These include awareness creation, institutional development, capacity building and a reduction in disaster related losses, in particular mortality. It has also become clear that the development and implementation of effective DRR strategies are far more cost effective and beneficial than management of disasters once they have occurred.

As highlighted by Aysan & Lavell (2015), at the start of the HFA implementation period in 2005, disaster risk governance was predominantly perceived in terms of outputs and normative aspects of governance (policies and laws, financing, institutional structures, decentralisation, and platforms), rather than as a complex web of context specific processes and interactions of various aspects, institutions and actors. Also, the transformation of outputs into DRR outcomes (i.e. reduced disaster impacts or vulnerability) was not adequately considered. Disaster risk governance processes and progress, opportunities and obstacles, can only be adequately and thoroughly understood when based on an integrated analysis of specific regional, country or local contexts. The same applies to the monitoring of disaster risk governance progress. Emphasis was thereby given to establishing a set of principles and standards that countries can then apply according to their particular national idiosyncrasies.

For the HFA successor arrangement, it was important to embrace and integrate these new and emerging dimensions of disaster risk governance problems that have emerged since 2005. Therefore, the lack of progress in disaster risk governance is a challenge that relates to the restrictions, blockages and obstacles that exist within the overall governance arrangements, and is influenced by government action, the citizen state relationship and the features of the particular society that is attempting to implement it. The Sendai Framework identifies disaster risk governance as one of the four key priorities, but is also constrained by the structural limitations and defining contexts of a country, region or locality. It will mirror what is already in place.

As noted by Aysan & Lavell (2015) in their thematic review of disaster risk governance during the HFA implementation period, the gaps identified during HFA indicate a need to develop more practical and action-oriented initiatives. These include those that tackle underlying disaster risk drivers such as the consequences of poverty and inequality but also, climate change and variability, unplanned and rapid urbanisation, poor land management and compounding factors such as demographic change, weak institutional arrangements, non-risk-informed policies, lack of regulation and incentives for private sector DRR investment, complex supply chains, the limited availability of technology, unsustainable uses of natural resources, declining ecosystems, pandemics and epidemics. Aysan & Lavell (2015) concluded that these drivers will only be addressed by strengthening good governance in DRR at local, national, regional and international levels.

2. 2. Accountability in the SFDRR

The SFDRR set outs seven global targets:

- Substantially reduce global disaster mortality
- Substantially reduce the number of affected people
- Reduce direct disaster economic loss
- Substantially reduce disaster damage to critical infrastructure and disruption of basic services
- Substantially increase the number of countries with national and local disaster risk reduction strategy
- Substantially enhance international cooperation to developing countries
- Substantially increase the availability of and access to multi-hazard early warning systems and disaster risk information and assessments to people

The SFDRR has a broader and a more people-centred, preventative approach to disaster risk. It builds on the understanding that DRR practices need to be multi-hazard and multi sectoral, inclusive and accessible in order to be efficient and effective. It also calls for coherence and coordination across international agendas.

In order to meet these challenges, there will need to be further development of sector and hazard specific risk assessments, regulations and expertise. The more complex our society becomes, the stronger is the need for increased understanding and action, both vertically (for instance between local, national, regional and global levels) and horizontally (for instance between communities, local administrations, professional and private institutions).

This increased scope means a need for increased collaboration between national governments and other sectors when dealing with issues such as health, basic services and critical infrastructure. This is essential for informed decision making, prioritising projects and planning for DRR measures (prevention, mitigation, preparedness and response). Unless national governments have a clear understanding of the risks they face, and discuss these with the public and other stakeholders, implementation of meaningful DRR measures may be ineffective. Risk assessment mechanisms need to have a strong foundation in national institutional frameworks with clearly assigned responsibilities and authority established through laws, regulations, standards and procedures (Amaratunga et al., 2016).

The values and principles of governance are equally important for achievements of the SFDRR in reducing disaster risk and understanding the changes, successes and failings in disaster risk management policy and practice. Disaster risk governance approaches need to become more DRR centric, rather than response or preparedness orientated. As Aysan & Lavell (2015) note, this would mean a more comprehensive appreciation of risks, including risks related to sustainable development, climate change, environment, economics and conflict. In this regard, disaster risk management is considered as an essential component of sustainable development that avoids the creation of new risks.

The SFDRR recognises the primary responsibility of States in DRR. The adoption of appropriate policies and effective strategies by States to reduce disaster risks has become increasingly urgent over the last decade. This is while disasters have continued to exact a heavy toll, and the wellbeing of persons, communities and countries have been adversely affected. The ability of States to discharge their responsibility in DRR varies widely due to diverse factors such as prevailing governance practices, the availability of knowledge and resources, and the nature of institutional infrastructure. For States to discharge their responsibilities under the SFDRR, it is necessary to promote good disaster risk governance at the national and local levels, as well as take various other measures needed to facilitate the process. It is only then that national governments could play their leading regulatory and coordinating role. In this regard, the governments need to integrate

both DRR and the building of resilience into government policies, plans, programs and budgets at all levels. Given the fact that DRR is a cost-effective investment in preventing future losses in material and human terms, mainstreaming DRR within the overall governance process is a logical step to take.

Good governance is widely discussed in the literature on international development. In general they refer to the process of making and implementing decisions by governments and other public or private corporate entities. Several important characteristics of good governance are widely referred to in the literature. They include: participation, consensus, accountability, transparency, responsiveness, effectiveness, efficiency, equity, inclusivity and rule of law. This wider perspective on governance is described in annex I.

These aspects of good governance are key factors that can largely determine the extent to which DRR may be achieved, both nationally and globally. This guide focuses on accountability as an entry point to establishing more effective disaster risk governance. However, accountability should not be viewed in isolation; these aspects of good governance are complementary and often reinforce each other. In other words, accountability can be established and strengthened only within a comprehensive good governance framework.

The realisation of the SFDRR targets in each country demands an unwavering commitment on the part of political leaders at all levels in policy making, planning, and implementation and follow up of actions under the SFDRR. It recognises the primary responsibility of national government in DRR. Since disaster risks pose an increasing threat to the lives and well-being of citizens in general, and vulnerable sections of the population in particular, ensuring accountability of leaders, governments and institutions has become critically important. This will ensure that they anticipate disaster risks, plan and implement appropriate policies, introduce enabling legislation where there are gaps, and carry out interventions to reduce risks and minimise losses.

“Accountability of leaders,

governments and institutions has become critically important to ensure that they anticipate disaster risks and plan and implement appropriate policies, introduce enabling legislation where there are gaps, and carry out interventions to reduce risks and minimize various losses.”

••• #Box 01

Sendai Framework requests accountability standards for national government

The Sendai Framework articulates the importance of effective accountability for disaster risk management.

It highlights that in order to enhance work to reduce exposure and vulnerability, thus preventing the creation of new disaster risks, accountability for disaster risk creation is needed at all levels.

SFDRR emphasises that DRR and management depend on coordination mechanisms within and across sectors, and with relevant stakeholders at all levels. It requires the full engagement of all State institutions of an executive and legislative nature at national and local levels. It also necessitates a clear articulation of responsibilities across public and private stakeholders, including business and academia, to ensure mutual outreach, partnership, complementarity in roles, and accountability and follow-up.



3

Defining accountability in the context of disaster risk governance

3. Defining accountability in the context of disaster risk governance

Accountability is an integral part of good governance. Those who are entrusted with the responsibility for handling various aspects of governance are held accountable for what they are expected to do to ensure a significant reduction in disaster risks. In this section, we examine different aspects of accountability, both legal and social.

Accountability usually connotes a legal obligation on the part of those holding political, bureaucratic or technical positions to carry out certain clearly defined responsibilities or functions. If these functionaries neglect their obligations and fail to perform expected functions without a justifiable reason or reasons, they can be held accountable for their commissions or omissions. Legal sanctions can also be imposed on them as a deterrent.

More innovative legal instruments, such as public interest litigation, can therefore be effective in the area of DRR. This is especially when disaster risks that affect large sections of the population are due to the absence of preventive measures or other omissions on the part of governmental or other authorities.

In modern democratic societies, governance is not confined to the State, since it functions in constant interaction with civil society and the market or corporate sector. In such a context, accountability also becomes a complex process, going beyond legal and judicial domains. Both civil society and corporate actors demand certain standards in governance and in the process, accountability also acquires a social dimension. For instance, citizens, through civil society action, demand their leaders, public institutions, corporate entities and professional groups to be responsive and answerable. However, the ability of civil society groups and others to perform a watchdog function depends on a range of factors. This includes their legal and civil rights guaranteed by enabling legislation pertaining to such areas as the right to information, social audit, public interest litigation, etc.

The ability of civil society organisations or citizen groups to act as checks and balances in the governance process also depends on participatory governance practices. These can enable them to participate in decision making processes as well as monitoring and evaluation of programs.

Each State has the primary responsibility to prevent and reduce disaster risk but the ability of the state depends on its planning, implementation and monitoring capacity. While accountability is a key ingredient to ensure state level planning, capability enhancement of implementation and follow up of DRR strategies and interventions is also critically important.

Accountability however needs to be strengthened not only at the level of the national government and national political leadership. Many decisions and actions under that responsibility are taken by functionaries and institutions to whom decision making power is delegated by higher authorities. These include relevant state institutions and officials. So, accountability also applies to such delegated authority.

There are also many state and non-state stakeholders whose actions and inactions are critical for DRR. However, this guide is confined to national governments and their actions.

3.1. Key terms and definitions

As an important pillar of good governance, there several key elements that come together in the notion of accountability:

- Answerability - the need for justification of actions
- Enforcement - the sanctions that could be imposed if the actions or justification for the actions are found to be unsatisfactory
- Responsiveness - the ability of those held accountable to respond to the demands made

Power relations between the state, civil society and market actors determine the ability to demand and deliver accountability. Governments and their national civil defence, protection or emergency management systems should accompany the efforts to empower citizens to ensure accountability and responsiveness. These accountability mechanisms can include formal top-down, vertical processes, such as effective legislation and justice. They can also include horizontal and bottom-up, social accountability strategies, such as participatory budgeting, social audit, public expenditure tracking, social mobilisation and citizen monitoring (Amaratunga et al., 2016; Kohli, 2012; World Bank, 2014).

Effective accountability approaches in DRR should be built around two key elements: (1) capacity among citizens and civil society organisations to monitor the commitment of government and service providers, and (2) an effective information and communication system which acts as a feedback mechanism between the government, service providers and citizens (United Nations, 2008). To make accountability structurally possible, the institutional designs should consist of clear lines of authority, accountability and rational delegation of roles. It must also involve the generation of better quality information and performance benchmarking that is aligned with performance.

This has been further emphasised through a number of studies that identified the characteristics of accountable DRR governance arrangements at the following two levels (Newbourne, 2008):

1. At the community level this includes:
 - a. Devolved structures that enable participation;
 - b. Access to information;
 - c. Capacities of communities to influence plans and actions;
 - d. Inclusion of vulnerable groups in decision-making; Participatory M&E systems; and
 - e. High level of volunteerism for DRR. (Twigg 2007)
2. At a national level this could include:
 - a. Efforts by government agencies directed and coordinated towards DRR;
 - b. Funds (e.g. from public sources) which are spent;
 - c. Information gathered by officials made more widely available;
 - d. Assets accruing to those institutions and other actors remaining under appropriate control; and
 - e. Service to the community demonstrated. Accountability becomes meaningful only under certain conditions or prerequisites.

Governments need to create these necessary conditions in order to make accountability a living reality. These conditions are appropriate policies, enabling legislation, necessary institutional arrangements or reforms, allocation of sufficient resources, definition of clear roles and responsibilities, and effective enforcement mechanisms.

Pre-requisites for accountability

Each state will need to ensure that there is an established base of policies and mechanisms. These pre-requisites for accountability in DRR may include:

- Effective legislation to protect rights of vulnerable communities and making people aware of their rights.
- A national level emergency management agency to establish and maintain national standards and legislation, clear definition of roles and responsibilities for disaster relief organisations (governmental and non-governmental institutions and business sector organisations).
- A national level Integrated Financial Accountability Framework (IFAF) (IOSAI, 2015), quality control, audit mechanism, and other official structures and systems to evaluate DRR, relief and recovery efforts.
- Institutionalised service quality indicators and performance benchmarking to track performance on these indicators for service providers of DRR and recovery.
- National and state level expert committees with independent civil society representatives on board to foresee a disaster relief and recovery process.
- Laws to establish specific social accountability tools, such as social audit and public expenditure tracking surveys mandatory at regular intervals during the implementation of DRR, relief and recovery projects.
- Set up social accountability tools for process monitoring, e.g. participatory planning and budgeting, public expenditure tracking surveys and social audit.
- Civic engagement in DRR through information sharing.
- Capacity building of local governments and community based organisations by providing funding support and training on DRR.
- Popular participation in policy development and implementation and citizen demands for action to reduce disaster risk.

Knowledge, information and public awareness are critical ingredients of DRR. Availability of up to date knowledge is necessary for evidence based decision making. Promotion of research and exchange of knowledge are indispensable for rational and timely decision making at all levels.

Effective dissemination of that information is key to creating public awareness. Proactive measures in this regard are critically important. Making information and data available in the public domain – such as websites, mass media and regular publications – can fill the existing knowledge and information gaps. Right to information legislation can facilitate this process, as can making disclosure a legal obligation on the part of accountability holders. Making hazard maps and multi-hazard early warning information available to citizens and other stakeholders in a timely fashion should be made a clear and unambiguous responsibility of relevant institutions and functionaries.

Conventional indicators used to measure good governance in general are inadequate to monitor accountability compliance on the part of decision makers. It is necessary to develop and incorporate specific indicators of accountability into the national disaster risk governance framework.

Institutional and individual performance depends as much on availability of necessary resources as on other factors. Governments need to take all possible measures to provide both human and financial resources to relevant institutions so that resource constraints do not hamper performance. It is also necessary to explore various ways of cost sharing and resource pooling in situations of serious resource constraints.

Good practices of self-reporting and self-certification on the parts of institutions, corporates and

Accountability standards for national government

Each state is ultimately responsible for the activities of service providers involved in DRR, relief and recovery, and is accountable to its citizens in the following ways:

Pre-disaster preparedness and short-term recovery

- Develop appropriate regulations, policies, program requirements and processes to protect natural resources and vulnerable communities.
- Develop a pre-disaster natural and cultural resources action plan to identify and communicate priority actions.
- Monitor and make necessary adjustments to government assistance programs and their delivery to more appropriately and timely address recovery needs of the affected local communities.
- Provide financial assistance and advice for local government and other disaster relief agencies to successfully carry out disaster relief activities.
- Lead and coordinate state recovery planning and assistance.
- Ensure transparency and accountability of government expenditures and funds that aid disaster recovery.
- Participate in and support local recovery planning and mitigation efforts through technical assistance, expertise or other assistance.
- Maintain robust and accessible communications (and information) throughout the recovery process between the national government, partners and public to ensure ongoing dialogue and information sharing.
- Implement formal monitoring and social accountability evaluation, e.g. social audit, expenditure tracking surveys and citizen report card surveys in the disaster relief programs.

Preliminary accountability processes

- Incorporate mitigation measures into re-development following a disaster to build the community back stronger to minimise future risk
- Introduce strict rules as for new building permission and establishing sustainable livelihoods.

Precautionary approaches for accountability

- Establish mechanisms and procedures for disaster relief organisations to team up with other professionals such as quantity surveyors (cost engineers) and environmental agencies when making proficiency in re-construction and costing under disaster and resources scarce conditions.

Contingency plans for accountability under special conditions

- Establish an efficient budgetary mechanism for disaster relief by introducing rolling quarterly budget cycle formalised within a medium-term expenditure framework.
- Making sure all local reporting of accountability, each disaster relief agency in the field should be established as a "reporting entity", preparing general purpose and special purpose financial reports, such as IFAT tables.

professionals can be more cost effective ways to ensure institutional or professional accountability. Tools to facilitate such practices could be developed with the participation of national and international experts.

The governance of DRR can be expected to develop over time with increasing exchange of ideas, learning from past experience, and new learning by doing. We should therefore expect continuous improvement, in governance in general, and accountability in particular.



4

Theories, process building and tools

4. Theories, process building and tools

4.1. Lines of accountability

Accountability requires agreement on clear roles, tasks and responsibilities of organisations, as well as individuals, and reporting on the actions taken. This is the basis on which stakeholders may monitor if their views and needs have been considered, and whether agreed standards of performance have been complied with. In this sense, accountability and transparency are closely interwoven. Accountability cannot be enforced without transparency and rule of law.

According to Polak, Luna, and Bercilla (2010), for greater transparency in development planning, and greater compliance and responsiveness amongst governments to obligations to ensure the safety and resilience of communities, three interrelated components of an enabling environment are important:

1. **Opportunities or strategies for participation and citizen action:** Establishing genuine forms of participation is a fundamental pathway to accountability. Citizens are taking a proactive role in engaging and claiming spaces, and developing meaningful forms of representation. This helps to ensure that their views and needs, as they relate to risk reduction, are heard. This pertains to the democratic space and support for citizen-led initiatives and equitable partnerships. For example, formal accreditation and membership on local decision-making bodies improves transparency in local planning. Freedom of association allows collective action that increases the chances that participation can be citizen-led.
2. **Recognised legitimate standards as the measurement against which actors are held to account:** The enactment of relevant legislation and implementation frameworks provides for institutional mechanisms, financing, and capacity development relating to DRR, ensuring a more responsive state for DRR delivery. Often referred to as the enabling legislative environment.
3. **High numbers and capacity of citizens claiming their rights and holding their government to account:** Maximising (and expanding) opportunities for participation in DRR and making demands on government institutions. This occurs through high capacities of claimants based on access to information, awareness of rights and standards relating to risk reduction, notions of citizenship and responsibilities to selves and others. It also occurs through the ability to mobilise others, knowledge of advocacy and policy influence through multiple, strategic pathways.

Accountability also lies at the heart of many of the potential benefits expected from decentralisation of disaster risk management (e.g., citizen participation in local affairs, improved service delivery, and transparency). Furthermore, it should offer protection against 'elite capture' of resources made available for DRR, though this is not easy and requires strong formal and informal systems in place to hold local power-holders accountable. This risk can be contained by developing effective self-governance structures at the community level that many of the community-based disaster risk reduction programs have been promoting (de Guzman, 2003). In this sense, civil society has a critical role to play in establishing the necessary conditions and mechanisms, not only at the community level, but also for ensuring 'downward accountability' of local authorities towards their constituencies.

However, roles and responsibilities between different levels of government (vertically) and across the various local actors (horizontally) are not always clear or monitored for DRR to ensure an effective system of accountability. Coskun (2015) warns that the involvement of multiple institutions and actors in DRR - including technical, political, administrative, national, local, formal, and informal - further diffuses the lines of accountability when faced with the consequences of various disaster risks, or the failure for their reduction.

4. 2. Three lines of accountability (Transparency Accountability Initiative, 2014)

Table 2. Three lines of accountability

Downward accountability of local governments to citizens	Political accountability is at the core of democratic decentralisation and a direct line of responsibility. Most countries do not have formal mechanisms of accountability specific for DRR, while in contrast the pressure to be accountable is expectedly higher for post disaster response.
Horizontal accountability within local governments and administrations	Administrative accountability of local civil servants and locally-elected officials, and traditional representatives to each other. This is also relevant across parallel institutional structures that have a role in DRR. DRR committees are one of the mechanisms that serve this purpose, but where they function, they seldom have a comprehensive mechanism for accountability.
Upward accountability of local authorities to national government	Enables upper layers of government to verify that local institutions are complying with major policy goals and statutes, and to monitor or track local government actions and expenditure. This happens more in relation to DRR plans and programs, and monitoring of finance. It is a mixture of administrative, financial and performance accountability

A majority of government officials tend to realise the political necessity of being seen to respond, and thus an understanding of the importance of the social contract with citizens and the legitimacy it endows. However, this social contract does not seem to extend to situations in which DRR is not politically rewarding. For example, politicians do not often prioritise DRR over citizens' demands for socioeconomic development, including other pressing needs such as access to employment, health services or clean water.

Disasters that result in large-scale physical damage and/or loss of life, and have the potential to result in reputational losses for authorities, often prompt a high public demand for accountability. In many ways, responses to a disaster can highlight the functioning (or failing) of institutions and standards, in particular the relationship between states and citizens in a country. It provides an 'acid test' on the degree to which a given government is open and accountable to its citizens. The press, and, where international assistance is provided, donors, international media and increasingly the citizens (through social media), demand high levels of openness from the state after disasters, including revealing the causes of disaster risks and why they have not been mitigated. However, despite decades of public awareness raising by governments, the United Nations and non-governmental organisations, demand for accountability related to existing risk levels has been limited. The reasons for this are complex and little understood.

At the international level, there have been some attempts (generated by a major disaster event, i.e. the Indian Ocean Tsunami) to establish international standards for auditing accountability. The International Organization of Supreme Audit Institutions (INTOSAI), which operates as an umbrella organisation for the external government audit community, set up the Accountability for Audit of Disaster Related Aid Working Group to deal with issues concerning disasters, including risk reduction. This was done in order to enhance good governance and accountability, and promote transparency and efforts related to anti-corruption through collective experience in the field of disaster risk management. In this context, auditing guidelines for disaster risk reduction (ISSAI 5510) were prepared and endorsed to provide guidance for Supreme Audit Institutions to improve their auditing (Coskun, 2014). INTOSAI supports a citizen-oriented perspective to enhance public accountability for a mutual relationship between the SAIs and citizens.

However, Coskun (2014) points out that performing an audit of disaster risk reduction from a citizen perspective will be a challenge for the SAIs. First, an audit mandate does not encompass all or most of the activities and organisations involved in DRR. Second, access to reliable and complete information to prepare a comprehensive audit report will be restricted. In addition to these challenges, Supreme Audit Institutions do not have sufficient tools to strengthen their cooperation with citizens. A more engaged citizenry is certainly key for achieving a higher level of cooperation and to make government more accountable.

Linked to accountability is the right of individuals and groups to appeal to the courts, including legislative provisions for disaster risk management if rules are violated. The institutions responsible for ensuring accountability, and realising and upholding existing DRR standards and principles (such as anticorruption commissions, judicial bodies, ombudsmen's offices, and parliaments), need to have the required standing and capacity to fulfil these responsibilities. A number of countries include rights of enforcement or remedies for breaches of constitutional rights (IFRC/UNDP, 2014).

••• #Box 04

Accountability in action: public interest litigation in India

An example of enforcement of constitutional rights by citizens comes from India where constitutional rights can be enforced in the Supreme Court. Using a specific mechanism, termed 'public interest litigation', it is possible for a group of citizens to initiate a claim in the Supreme Court of India, as was done in 2013 concerning states' inaction on establishing disaster laws to properly implement India's Federal Disaster Management Act 2005. Although many countries do not have specific public reporting or parliamentary oversight mechanisms in their disaster risk management laws, there are other forms of general public accountability for government performance of their statutory and other obligations.

Source: IFRC/UNDP, 2014

When in place, transparency can encourage civil engagement and public accountability by rendering the public decision-making process more accessible. This, in turn, strengthens confidence in governments and public agencies. However, there are very few tools to ensure transparency in DRR. Transparency is understood as sharing the knowledge of risks and how to reduce them, though it is often limited to disaster preparedness only. Such information needs to be audited to obtain the confidence of national and international actors involved in the process, and to determine whether the activities contribute to reducing disaster risks and whether the financial resources allocated have been used in an effective and efficient manner.

Although the national HFA reports include examples of efforts to increase DRR transparency, it appears that many national public information sharing programmes were one time efforts with no follow up, and that the DRR activities were not audited for their effectiveness. They mostly report on specific measures to increase public awareness and national outreach campaigns on DRR. The key challenge, stated in the national reports for achieving lasting impact from these outreach activities, is the lack of financial and human resources to implement such measures.

The establishment of a more transparent deliberation process will not automatically ensure the attainment of the ultimate goals of reducing uncertainty in policy-making and increasing safety. The ownership and legitimacy of controlling risks may reside with certain professionals or the government, and conflicting views and interests still need to be reconciled. With more public access to data and more actors in the policy making arena, the lines of accountability need to be made clearer.

4. 3. Innovative elements of accountability

Table 3. Innovative elements of accountability

Broadly defined	Given the increasing significance of DRR today, accountability needs to be defined in broader rather than narrower terms in order to ensure that state and non-state actors live up to public expectations with regard to vulnerability reduction and preparedness improvement at all stages of disaster management.
Long term process	DRR is a long term process covering pre-, during and post disaster situations. Effective accountability must also be present in all three periods.
Responsibility	It is important to identify the institutions and authorities that can be held accountable. This also needs to be carefully examined in order to apportion responsibility, including to establish a clear understanding of the state's legal and moral obligations, and capacity to deliver all components of Sendai Framework.
Stakeholders	Accountability for DRR is an obligation on the part of many stakeholders from national government downwards. These include state institutions, business organisations, various professional groups, local government, media institutions and civil society organisations. Availability and accessibility of data and timely information can create an enabling environment to promote accountability on the part of many actors.
Collaboration	<p>Given the diversity of potential actors and institutions involved in DRR, accountability is often a joint responsibility. In the case of slow onset disasters like sea level rise and pollution, scientific data can be critical for planning but sharing of such information is not common. Collaboration between actors, including effective communication mechanisms, is vital.</p> <p>An accountability systems approach emphasises the need to move beyond a narrow focus on supply-side versus demand-side accountability support, or a focus only on formal institutions, and instead to look more closely at the linkages among actors and how these can be strengthened over time.</p>
Penalties and incentives	The lack of accountability on the part of governments, state institutions and public officials, as well as diverse private sector stakeholders, tends to magnify the material and human costs of disasters. While it is necessary to find effective ways to ensure accountability, these may include both penalties as well as incentives. Accountability is not about pinning responsibility on one centralised body like a national disaster management agency but enlisting multiple actors to take responsibility, both individually and collectively. It is important to ensure that their failure to do so is not inconsequential, in terms of both penalties and rewards.
Regulatory bodies	The role of regulatory bodies, in particular those relating to coastal resources, human settlement, construction and social and physical infrastructure, is critically important to ensure accountability on the part of many stakeholders such as land developers, industrialists, construction firms and state institutions.
External actors	While large-scale disasters such as tsunamis and earthquakes usually draw responses from institutions across a wider field, most of them naturally withdraw from the disaster zone over time, leaving behind newly built settlements, vital infrastructure and other arrangements, but also their responsibilities. The upkeep and maintenance of these often become the responsibility of national and local government institutions.

Broad participation

It is important to identify the characteristics of the community and characteristics of the enabling environment, including how to encourage broad-based participation, strengthening the political involvement of citizens in decision-making processes, and in mechanisms for legitimacy and control. There is also a need to strengthen downward accountability by supporting feedback channels from the community and civil society to sub-national and even national government to articulate local needs and preferences.

There is a need to support citizens, particularly those most vulnerable to disasters, to understand relevant rights, policies and possible accountability pathways. This includes citizen involvement in monitoring DRR progress based on locally conceived priorities at every scale, including policy formulation and implementation.

Monitoring

Monitoring processes are critically important. This includes the need to provide a basket of indicators, providing clarity on the 'nuts and bolts' of monitoring, focusing on data management, improving systems to track and gauge disaster risk, and ensuring an alignment with the monitoring systems of the Sendai Framework.

(Source: Hettige, Amaratunga and Haigh, 2015)



5

Implementing accountability

5. Implementing accountability

5.1. Who should be involved in accountability?

Governments hold primary responsibility to safeguard the lives, livelihoods and health of people, vital services that people need and the interests of other stakeholders like businesses. Yet, disaster risk governance is a wide-ranging process that demands the involvement of multiple stakeholders such as political leaders at different levels of government, state institutions, private businesses, professional groups, civil society organisations, academics and researchers, and the media. In other words, a substantial reduction of disaster risk demands a coordinated and collaborative effort. But, it is necessary to identify functions and responsibilities of different actors so that it is possible to hold them accountable for their actions and inactions.

“disaster risk governance

is a wide-ranging process that demands the involvement of multiple stakeholders such as political leaders at different levels of government, state institutions, private businesses, professional groups, civil society organisations, academics and researchers and the media.”

Given the multiplicity of actors involved in disaster risk governance, it is necessary to develop a comprehensive governance framework indicating the diverse tasks to be performed at different levels of government, definitive roles and functions of institutions, and statutory obligations of different stakeholders. While a comprehensive national DRR plan can define diverse functions and responsibilities of various stakeholders, new legislative enactments might be required to ensure legal enforceability of accountability obligations.

5.2. How to create accountability

There is a wide variation across the world with respect to governance structures. In many countries, there are three tiers of governance, namely, national, sub-national and local. In others, there is often a dual structure characterised by a division between national and local government. These divisions do not always display a clear division of responsibility, authority, function, resources or labour. Nevertheless, it is important to engage all layers of government, however imperfect they may be in actual practice of governance. On the other hand, a clear division of labour and authority across different tiers of governance from national to local can contribute greatly to implementation of accountability in DRR.

The need for enhancing good governance of disaster risks in all countries under the SFDRR is an opportunity that countries, citizens and other stakeholders can make use of to develop optimal governance strategies in collaboration with partners outside their own countries.

Revamping existing governance structures

Revamping the existing governance structures to cope with the challenges of effective DRR could potentially involve a comprehensive review of the prevailing development and other policies, laws, rules and regulations. It may also require a review of existing priorities in budgetary allocations, and the current levels of knowledge and awareness among different segments of the population and educational practices. Such a wide ranging review can point to the changes that are necessary to prepare the ground for formulating and implementing effective DRR strategies. These changes may include:

- Formulating appropriate development and other relevant policies such as sustainable natural resource management, planned urbanisation, voluntary and involuntary resettlement, industrial and agricultural development, land development, etc.
- Introducing enabling legislation, a right to information, a citizen's charter, public interest litigation, etc.
- Devolving of power from the centre to sub-national and local levels.
- Developing hazard maps at different levels, i.e. national, regional and local.
- Introducing participatory systems of governance, decision making, planning and implementation, participatory budgeting at all levels, public consultations, participatory planning at the community level such as community action plans, etc.
- Institutionalizing social audit systems to ensure accountability of institutions and decision makers, citizen's report card, empowering citizens to participate in performance appraisal, and budget tracking involving civil society organisations at national and other levels.

The member countries that have agreed to work within the Sendai Framework will have great diversity in terms of their present governance structures as well as the resources available to them. Yet, given the urgency and necessity of DRR for all countries, each country has to make every effort to develop their capabilities to respond to the challenges in the best possible manner, often in partnership with other regional and global players.

Not all countries are at the same level of preparedness with respect to DRR or their level of exposure to natural and man-made hazards, and related environmental, technological and biological hazards and risks.

This report provides a general framework for action by governments. What is outlined below are key steps that governments need to take in order to ensure their accountability for DRR.

1. Mainstreaming DRR into overall national policies

In many countries, disaster management has long been relegated to a particular line Ministry or an agency coming under a particular Ministry. Coordination with other relevant Ministries and agencies has often been minimal. Moreover, coordination with different tiers of government has also been minimal or non-existent. It is an imperative to mainstream DRR into national development and other policies, and to demand governments to play a clear and leading regulatory and coordination role. Development and other relevant sectoral policies of the State need to contribute to DRR. In many cases, existing policies might have to be reviewed in order to ensure that State policies do not obstruct the achievement of national and global DRR targets.

2. Enabling legislation

Beside State policies, a comprehensive review of existing legislation in relevant areas might be necessary in order to determine legal obstacles to DRR. Such a review is more than likely to indicate the type of new enabling legislation required to facilitate DRR.

3. Institutional development

The development, implementation and review of a comprehensive DRR strategy demands efficient institutional arrangements. The first step in this regard is an overall institutional mapping in order to identify the institutional gaps, deficiencies, weaknesses and requirements, including technical capabilities. Given the enhanced regulatory and coordination role of the State in the new DRR framework, the development of the necessary institutional infrastructure is a critical step in ensuring that governments and other accountability holders live up to public expectations with respect to DRR. It is important to clearly define each institution's responsibility and also how and when each institution should connect to each other. It is also important to emphasise the legislative enactments and action plans to hold to account the institutions exposed to litigations.

4. Adequate resources

The implementation of a comprehensive DRR strategy would require unprecedented mobilisation of human, technical and financial resources. Given the resource and other constraints that many countries face, meeting this challenge would require careful thinking and planning. While reallocation of public finances in favour of DRR might help overcome some of the resource limitations, other strategies such as mobilisation of resources through partnerships can also be effective. Avoiding duplication of function and promoting resource sharing among institutions can be effective ways to overcome some of the resource constraints.

5. Empowerment of stakeholders

Complexity and the wide ranging nature of disaster risks make it an imperative that governments promote effective coordination across diverse actors, both vertically and horizontally. But coordination is of limited value unless other stakeholders are empowered and given opportunities to play an active and responsible role in DRR. While enabling legislation can define the lines of authority and distinct responsibilities of different sectors and levels of government, allocation of required resources to different authorities with clear responsibilities is necessary to ensure timely actions. The importance of academic contributions through multi disciplinary research should be emphasised, together with stakeholder consultations at various levels such as government, non-government organisations, academics, community and other local level officials.

6. Regular monitoring, evaluation and review

Given the diversity of actors and actions involved in DRR (i.e. political leaders, Ministries, national institutions, sub-national and local authorities, private sector, professional groups, civil society organisations), regular monitoring, evaluation and review of DRR processes and outcomes is critically important. This should be seen as part of an overall continuous improvement process. The assignment of this overall responsibility to a national body with the necessary resources and capabilities is important. This requires a clear demarcation of responsibilities with respect to generation and transmission of information in an efficient and timely fashion.



6

Illustrations

6. Illustrations

••• #Box 06

6.1. Joint responsibilities and collaboration - Post-earthquake reconstruction in Christchurch, New Zealand

Christchurch and the surrounding Canterbury region experienced a series of earthquakes over 2010 and 2011. The first earthquake in September 2010 prompted a local state of emergency. The estimated cost of damage was in the order of \$NZ 4 billion. While New Zealand had a relatively well-established framework for disaster risk management, the country was not well prepared to manage the long-term recovery process after a major event. The national government responded by creating the Canterbury Earthquake Recovery Commission (the Commission) via the Canterbury Earthquake Response and Recovery Act 2010. The Commission was to act as a point of contact between local and national government in managing the recovery and to provide advice for prioritising resources and allocating funding. However, it was not given any special authority to make decisions.

Amongst ongoing aftershocks from the September event, a second major earthquake struck in February 2011, prompting a national state of emergency. This required a larger scale recovery effort with estimated costs of \$NZ 40 Billion (approximately 20% of national GDP). In response to this event the national government took the opportunity to address the inadequacies of the Commission. The government believed that the advisory capacity of the Commission was not sufficient to contribute to an effective recovery process given the increased scale of recovery activity required. There was also a need for an entity to be responsible for facilitating coordination across national and local government, local residents, Ngāi Tahu (the local Maori tribe), NGOs, businesses and the private sector. As such, the Canterbury Earthquake Recovery Authority (CERA) was established under the State Sector Act 1988 and was subsequently given powers under the Canterbury Earthquake Recovery Act 2011 (which repealed the Canterbury Earthquake Response and Recovery Act). CERA had five operational units to oversee the recovery, covering community well-being, economic recovery, infrastructure, operations and the redevelopment of the national business district. It had overall responsibility for establishing recovery processes, managing the implementation of a new city plan and for overseeing the use of public funds.

The implementation of the reconstruction required CERA to coordinate with other organisations. In one example, CERA, alongside the New Zealand Transport Agency (the national highway authority) and the Christchurch City Council, became the clients of a temporary organisation called the Stronger Christchurch Infrastructure Rebuild Team (SCIRT). SCIRT was responsible for rebuilding Christchurch's wastewater, water supply, stormwater and road networks. It operated via an alliance with five major civil construction companies. The critical element of an alliance contract is that it is founded on the principle of collaboration, based on the concept that profits or losses are shared across the contracted parties. This was particularly useful early in the recovery process as it allowed for the reconstruction activities to commence before the true extent of damage and the associated costs were firmly established.

While SCIRT worked well in many respects, an official audit of its programme in 2013 identified two major risks that could disrupt the reconstruction process (see: Office of the Auditor-General, 2013). The first was a lack of clarity over roles resulting from limited involvement of CERA in planning the infrastructure rebuild programme. The second risk was a lack of

common understanding across the client organisations regarding what constituted appropriate infrastructure repair strategies. This was ultimately due to a debate over eligibility for funding. The debate arose from ambiguity in the national government's pre-existing commitments to financially support local government in the event of a disaster. Emergency management guidelines stipulated that the national government would contribute to 60% of a local government's infrastructure rebuild costs. But, due to the major costs involved in rebuilding Christchurch, there was greater scrutiny over what costs were eligible for this contribution. A final agreement on this contribution was confirmed in December 2015, almost five years after the February 2011 earthquake. Throughout the protracted debate, design guidelines were subject to ongoing review and some projects had several design revisions to ensure that the projects met the requirements of revised criteria.

Tensions between national and local government over available funding and lack of involvement of CERA as a client (an issue addressed subsequent to the audit) were key sources of strain on the collaborative principles of the alliance. Despite this, through ongoing efforts to respond to the dynamic environment of recovery, the alliance was able to progress its programme. As of August 2016, it is on track to complete by its scheduled date in December 2016.

Where to find more information

MacAskill, K. (2016), *Rebuilding with resilience? A case study of post-disaster infrastructure reconstruction in Christchurch, New Zealand*. PhD Thesis, University of Cambridge

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The Treasury, 2011. *Budget 2011 Information Release June 2011*. Available at: <http://www.treasury.govt.nz/downloads/pdfs/b11-2035181.pdf>

Further info: www.scirt.co.nz; <http://www.quakecentre.co.nz>; <http://ceraarchive.dpms.govt.nz>

6. 2. Structured chain of accountability – DRR in Algeria

Algeria's context is characterised by exposure to several major disaster risks; some of these risks are inherent to the country physiography whereas others are a consequence of human action, such as increased and unplanned urbanisation, unchecked expansion into agricultural areas, and shocks induced by climate change. The high level of vulnerability to major disasters and the hard lessons learned from major disasters, such as the flash floods in Algiers in 2001, the 1980 El Asnam earthquake, and the most recent earthquake in Boumerdes in 2003 that caused thousands of deaths, led to decisive action to improve disaster risk reduction's governance.

In the past decade, Algeria has established the legal basis for the creation of a DRR management national organisation. By the Law 04-20, the Government established the National Delegation for Major Risks (NDRM) as a national DRR coordination platform, and has also invested in strengthening and modernising its civil protection structure.

The most important DRR Governance achievement has been the launching of a multi-sectoral platform for the prevention and mitigation of major disaster risks, both at central and local levels. The NDRM was established within the Ministry of Interior. The National Delegate was nominated by Ministerial Decree with a mandate to develop a national prevention and protection plan. The NDRM is putting in place new instruments for inter-sectoral DRR planning and management, along with multi-sectoral information management system from national to local levels commensurate with a structured chain of accountability and command necessary for rapid intervention in case of disaster. Today, Algeria counts on one of the most advanced and well-equipped civil protection organisations in the continent. Providing a DRR coordination mechanism at the central level, the National Delegation for Major Risks has a clear prevention and preparedness mandate covering all major risks from earthquakes to biological and radiological risks.

The NDRM is putting in place new instruments for inter-sectoral DRR planning and management. This includes a multi-sectoral information management system from the national level to the local level, in a top down approach commensurate with a structured chain of accountability and command necessary for rapid intervention in case of disaster. The establishment of a multi-sectoral platform in the NDRM aims at promoting integrated plans and inter-sectoral risk analysis. The Delegation initiated a long administrative process to recruit dedicated staff and nominate sector representatives. It has now reached a stage where it has the means to start working.

The economic and social reforms of the last decades saw the extinction of many public enterprises that provided services and means in case of disasters. It was therefore necessary to review the governance structure. In addition, developing capacities for information management and risk assessment and analysis, as well as establishing processes for real time information, became necessary to monitor threats, and have preparedness and prevention plans in place. Further, there was a need for community participation and public awareness as part of the DRR culture. Local actors, as first respondents in case of disasters, needed to be adequately trained as well as be able to provide immediate response to save lives and promote accountability.

The UN system is supporting the Ministry of Interior, and expects to put in place a project for local governance to establish "model municipalities" that will be interacting with its citizens in a participatory manner. One of the expected results is to build mutual accountability as part of good governance practices, where local elected bodies and local Government representatives will promote an economic and social development model that will incorporate risk management as a pillar for sustainability and resilience.

Where to find more information

<http://www.joradp.dz/jo2000/2004/084/FP20.pdf>

http://www.unicri.it/news/article/2012.09.12_CBRN_Risk

http://www.un-algeria.org/images/CdCS_Algerie_2016-2020.pdf

6.3. A local governance and accountability model for territorial and community resilience: Province of Potenza, Italy

The Province of Potenza placed DRR in close connection with its **territorial governance and planning** institutional duties. This has transformed DRR and resilience to disasters into real “structural” policy-making and actions. These are being implemented by coordinating territorial and urban development and land-use, with a wide area vision and approach. This new concept of **territorial governance** provides for the structural introduction of “resilience” - to disasters and climate changes - into territorial development policies to be implemented through specific actions at local and urban levels.

Accountability is an integral aspect of the **governance** and the strategy outlined by the Province of Potenza in performing DRR and resilience implementation. By networking with Municipalities, relevant stakeholders and major groups, and also for monitoring the effectiveness of the whole action, the Province of Potenza is adopting a wider accountability system including, but going beyond, a financial perspective.

One of the main components of the Province's accountability approach is through knowledge acquisition and sharing. The information produced and/or collected by other parties has been cataloged, elaborated for scenario building, mapping and consultation purposes, and provided for wide dissemination and public access using open sourced IT tools.

The information is also used for specific territorial analysis aimed at defining sustainable and resilient development policies and actions to be performed all over the territory.

Another important aspect is **social** accountability. In the Resilience implementation path performed so far, most of the efforts have been devoted to setting-up a complex system of progressive social involvement. The main purpose is to entrust and engage social groups and citizens in the institutional policy-making regarding territorial and urban sustainable and resilient development. Actions to support this include:

- Setting-up of a “permanent platform” with major groups for discussing problems and possible solution to be adopted;
- Setting-up of IT communication tools for providing wide evidence of the actions performed and the progresses made;
- Organisation and implementation of specific capacity building activities, mostly addressed to institutional actors but with the enlargement also to civil society representatives;
- Implementation of specific awareness-raising and information campaigns;
- Co-working with non-government organisations, civil society associations, volunteering and social groups for applying to dedicated financing programs, such as the regional, national and EU programs;
- Raising support (not only financial) by the private sector, by means of specific engagement programs and initiatives;
- Setting-up of empirical processes of progressive confidence/trust building, outlined and calibrated on the specific and contingent needs of the different social components, and on reciprocal cooperation and assistance.

The last component is **political** and **public** accountability. A lot of work has been done for building and/or raising public support and political will. DRR and resilience building are comprehensive

and multidisciplinary processes where the role of the governments (at all levels) is pivotal for transforming good intentions into actions. The accountability system has been calibrated to include this fundamental component.

Actions include setting-up a permanent network with all the Municipalities and of a set of activities similar to those related to civil society, but more politically and institutionally addressed. Data collection and elaboration for the Local Government Self Assessments was performed jointly by the Province of Potenza and all 100 Municipalities. Empirical processes were set up for progressive confidence/trust building, outlined and calibrated on the specific and contingent features of the different political/public actors, and on reciprocal cooperation and assistance. Examples include:

- Evidence and visibility provided to the relevant political representatives for having contributed to finalisation of the SFDRR and the 2015 Paris Climate Agreement;
- Active engagement in the application process for the UNISDR Championship, where Province of Potenza – together with its 100 Municipalities – has been acknowledged as a World Role Model for “Inclusive Resilience and Territorial Safety” in January 2015).

A similar process to that for **public** accountability has also been set up for multi-stakeholder engagement.

Where to find more information

<http://www.unisdr.org/campaign/resilientcities/home/cityprofile/City%20Profile%20Of%20Provincia%20di%20Potenza/?id=3757>

<http://www.provincia.potenza.it>

Twitter: <http://www.twitter.com/provpzresilient> - @provpzresilient - #weResilient

Facebook: <http://www.facebook.com/provpzresilient>

Any other relevant details

Dr Alessandro Attolico, Head of Territorial Planning and Development and Civil Protection Department at the Province of Potenza, SFDRR-SustDevAgenda2030-ParisClimateAgreement Local Focal Point, UNISDR Advocate of the Making Cities Resilient Campaign, Promoter and Facilitator of the Province of Potenza's path towards Inclusive Resilience to Disasters (alessandro.attolico@provinciapotenza.it; provinciapzresiliente@gmail.com)

6. 4. Accountability in disaster mitigation: the case of post-tsunami reconstruction and resettlement in Sri Lanka

In the aftermath of a major disaster, the challenge of reconstructing the built environment is formidable. The vital role of the built environment in serving human endeavours means that when elements of it are damaged or destroyed, the ability of society to function – economically and socially – is severely disrupted. Disasters have the ability to severely interrupt economic growth and hinder a person's ability to emerge from poverty. The protective characteristics of the built environment offer an important means by which humanity can reduce the risk posed by hazards, thereby preventing a disaster. Conversely, post-disaster, the loss of critical buildings and infrastructure can greatly increase a community's vulnerability to hazards in the future. Finally, the individual and local nature of the built environment, shaped by context, restricts our ability to apply generic solutions. After a disaster, there tends to be a greater emphasis on developing a more resilient built environment. This will only occur when we design, develop and manage context sensitive buildings, spaces and places that have the capacity to resist or change in order to reduce hazard vulnerability, and enable society to continue functioning, economically and socially, when subjected to a hazard event.

A large-scale disaster demands an equally large response to deal with its aftermath in terms of rescue, relief, resettlement and rehabilitation. The 2004 Indian Ocean tsunami, which struck the coastline in Sri Lanka and several other countries in the region, resulted in a massive destruction in the affected areas in terms of deaths, injuries, loss of property, and displacement of people. Although there was a massive and unprecedented response from local people, the government, the international community and civil society organisations, the scale of the interventions needed to cope with the situation was very large. Moreover, the process of resettlement and rehabilitation involved a sustained and long-term effort involving numerous institutions and stakeholders, both local and foreign. This naturally makes issues of accountability, of people and institutions involved in the effort, highly complex. Nevertheless, all efforts have to be made to ensure accountability of stakeholders towards the people and communities affected. However, unless, effective accountability mechanisms are in place, lapses are bound to occur.

This is what emerged out of a study, conducted ten years after the tsunami, in a number of resettled communities in southern and eastern Sri Lanka. It looks at some of the glaring examples from the field with respect to evident accountability lapses on the part of institutions.

The absence of an effective accountability mechanism and procedures has resulted in many shortcomings in the recovery process, adversely affecting the well-being of the communities affected by the disaster. People who are adversely affected cannot hold any individual or agency accountable for the lapses. Consequently, many people continue to suffer and live with many problems and do not see any possibilities for redress.

Given the scale of the Tsunami disaster, central government agencies played a dominant role in the recovery process, often at the expense of local institutions such as the local councils and community organisations.

When the central government agencies pulled out following the resettlement of affected people, local institutions often did not replace the central government institutions.

Most of the non-governmental organisations were not locally based. They naturally moved out after the resettlement process came to an end. These external NGO's were not succeeded by locally based NGO's in order to fill the void.

Community groups that were either pre-existing or emerged during the post- disaster period were active when external support from state and non-state sources was available, but became weak when such support came to an end. There are numerous instances where disaster victims experiencing various hardships in the years following resettlement found no agency or official was accountable for the shortcomings in various aspects of the recovery process. While many tried to find individuals remedies to their problems, other continued to suffer in silence.

Shortcomings in governance means that: agencies and officials involved in disaster mitigation cannot be held accountable for the lapses; the lack of accountability adversely affects the quality and reliability of work; and, citizens who are adversely affected have no access to grievance redress mechanisms.

There was evidence to show that there are no credible and enforceable accountability mechanisms to guide institutions and actors involved in disaster mitigation. There is a need to develop and institutionalise a social accountability mechanism that can persuade external and local agencies to be accountable to communities they serve during the resettlement and rehabilitation process. This situation has serious implications for the well-being of disaster victims and accordingly, there is an urgent need to adopt an explicit policy on social accountability. The formulation, adoption and implementation of an evidence based policy can be the basis for remedying the above situation. This policy needs to cover all stages of the disaster cycle and the responsibility for adhering to the policy needs to be shared by all stakeholders. This policy should guide the development and use of social accountability tools by both state and non-state actors.

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8

Appendix

8. Appendix 1 – Disaster risk governance

The Sendai Framework has a strong emphasis on governance. It identifies “Strengthening disaster risk governance to manage disaster risk” as one of the four priorities where focused action is needed across sectors, by authorities at local, national, regional and global levels. Compliance and enforcement of regulations and standards are easier where legal obligations are in place. The importance of establishing a strong legal basis for DRR, supported by transparent monitoring and compliance mechanisms, has been recognised and clearly stated in this priority area.

“A substantial proportion

of the challenges and solutions outlined in Sendai Framework are related to the need to invest and strengthen governance capabilities.”

There is a need to strengthen governance, and institutional, legal and policy frameworks to manage existing and future risk scenarios with a clear vision, plan, competence, guidance and coordination within and across sectors, including the participation of relevant stakeholders. This, in turn, fosters collaboration and partnership across mechanisms and institutions for the implementation of instruments relevant to achieving sustainable and resilient development.

Such a system can be effectively applied to the management and oversight of disaster risk reduction for resilience and residual risk management strategies. According to GNDR (2015), good disaster risk governance is the single most important factor in reducing disaster risk, particularly risk governance at the point of implementation (i.e. sub-national, local levels). In view of its importance, a substantial proportion of the challenges and solutions outlined in Sendai Framework are related to the need to invest and strengthen governance capabilities, particularly at sub-national and local levels.

“Good disaster risk governance

is the single most important factor in reducing disaster risk, particularly risk governance at the point of implementation.”

Key considerations for DRR governance based on the Sendai Framework

These are some of the key considerations that can be used by governments in enhancing DRR governance based on the Sendai declaration

- The need to tackle underlying disaster risk drivers such as persisting poverty and inequality, unplanned and rapid urbanisation and climate change.
- The measures should be taken with a people centric perspective.
- Devolution of power and responsibility to lower layers of government such as local government.
- The decisions to be evidence based and evidence to be derived from both research and well documented field experience.
- Research based knowledge and understanding to guide key decisions with respect to DRR.
- DRR to be given high priority in the allocation of resources.
- The need to prevent the poor and vulnerable groups in society from bearing greater disaster risk through effective risk sharing mechanisms across society.

Key aspects of disaster risk governance

This guide focuses on accountability as an entry point to establishing more effective disaster risk governance. However, accountability should not be viewed in isolation; aspects of good governance are complementary and often reinforce each other. In other words, accountability can be established and strengthened only within a comprehensive good governance framework.

These key aspects of good governance include participation, consensus, accountability, transparency, responsiveness, effectiveness, efficiency, equity, inclusivity and rule of law. While these are generally applicable principles that are applied in diverse institutional settings, it is necessary to determine how they can be operationalised in the context of disaster risk governance.

Participation

Disaster risk governance involves multiple stakeholders and actors. The adoption of a participatory approach to DRR can ensure the participation of all stakeholders, including vulnerable sections of the population. Tools such as public consultations, participatory budgeting and participatory planning can be effective ways to ensure participation of citizens in the governance processes. Social audit tools like the Citizen's Report Card can provide an effective feedback mechanism for decision makers and institutions so that they are able to take remedial action.

Consensus

It is almost natural for democratic societies to tolerate a diversity of views, ideas and interests. Yet, on certain critical issues, there is a need to build broad consensus in order to pursue shared societal goals. DRR is such an issue that demands consensus across diverse stakeholders. An inter-institutional coordinating mechanism like an inter-ministerial steering committee can help build the necessary consensus on contentious issues.

Accountability

Accountability is a way of ensuring adherence to a set of common principles, values and objectives. If those in positions of power and authority take responsibility for their actions and inactions, and certain unambiguous sanctions follow in the case of neglect of responsibility, it is easier to ensure responsible decision making. However, a prior institutional mapping might be required to identify issues with respect to lines of authority, assignment of responsibility, etc. so that accountability holders can be identified with a high degree of accuracy.

Responsiveness, effectiveness and efficiency

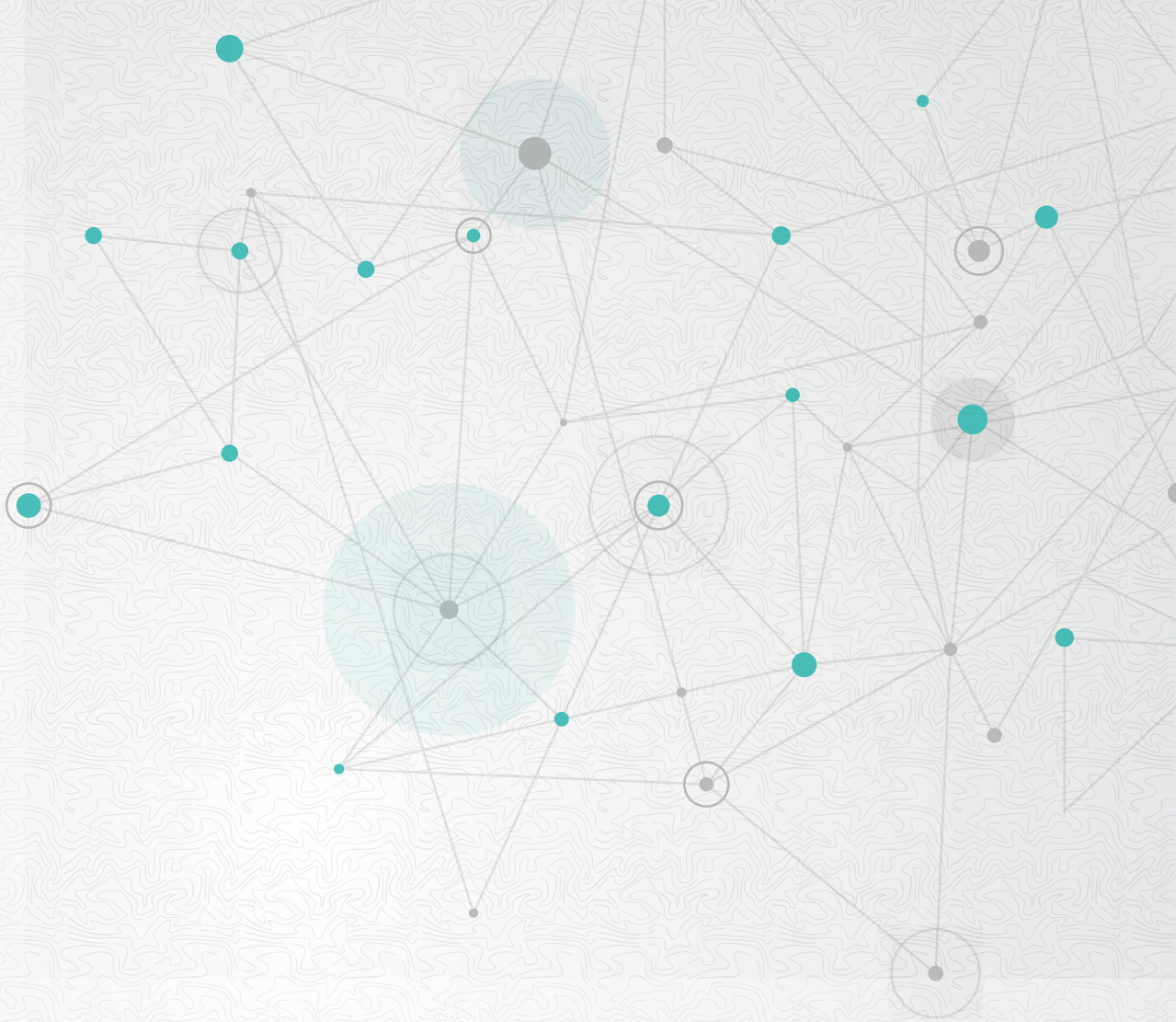
Responsiveness, effectiveness and efficiency are necessary to ensure timely action with respect to DRR. Certain institutional reforms might be necessary to improve individual and organisational performance based on measurable performance indicators. Periodic surveys can collect the data necessary to analyse the experience of users or citizens, and provide an effective feedback tool to facilitate corrective action.

Equity and inclusiveness

Disasters, both human induced and natural, have traditionally affected vulnerable sections of the population more than the others. This is not an acceptable situation within a good governance framework. So, policies and interventions are required to ensure equity so that the poor and other vulnerable groups are not worse off during and after a disaster. Moreover, marginalised groups enjoy equal rights and protection in situations of natural and human induced disasters. No segment of the community should be marginalised from the governance processes. Identification of vulnerable areas and groups through hazard mapping could facilitate the development of appropriate risk insurance policies and programs.

Rule of Law

If good governance prevails in a country, rule of law applies to all citizens equally, including those who are in authority. Both personal and official actions of various stakeholders need to adhere to the Rule of Law. If decision makers violate the laws, sanctions need to follow after due legal process. Appropriate legislation can be enacted to provide legal redress, i.e. public interest litigation, in case a certain section of the population is unduly affected by actions or inactions of an institution or a responsible public or private actor.



Accountability in the Context of Disaster Risk Governance

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