

November 2014



STRENGTHENING REGIONAL AND
NATIONAL CAPACITY FOR DISASTER
RISK MANAGEMENT:
THE CASE OF ASEAN

AUTHORED BY:

Daniel Petz

BROOKINGS

The Brookings Institution is a private non-profit organization. Its mission is to conduct high-quality, independent research and, based on that research, to provide innovative, practical recommendations for policymakers and the public. The conclusions and recommendations of any Brookings publication are solely those of its author(s) and do not reflect the views of the Institution, its management, or its other scholars. Brookings recognizes that the value it provides to any supporter is in its absolute commitment to quality, independence, and impact. Activities supported by its donors reflect this commitment and the analysis and recommendations are not determined by any donation.

1775 Massachusetts Avenue, N.W., Washington, D.C. 20036
www.brookings.edu

© 2014 Brookings Institution

We are grateful to the Australian Civil-Military Centre – Department of Defence for providing critical research support. Brookings maintains the highest standards of quality and independence in its research, analysis and prescriptions. This publication is solely a reflection of the author views.

Front Cover Photograph: Two girls from Tacloban, Philippines, stand in front of some of the damage and debris left by Typhoon Haiyan. (UN, Evan Schneider, December 21, 2013).

THE AUTHOR

Daniel Petz is independent consultant and PhD candidate at University of Graz, Austria. Previously, he was the senior research assistant on natural disasters with the Brookings-LSE Project on Internal Displacement and has worked at Gadjah Mada University in Yogyakarta, Indonesia. His areas of research are disaster risk management, climate change, human mobility, human rights and ethics.

TABLE OF CONTENTS

ACRONYMS	i
INTRODUCTION	1
TERMINOLOGY AND CONCEPTS	2
INTRODUCING ASEAN	5
ASEAN COOPERATION ON DISASTER RISK MANAGEMENT	8
AADMER and AADMER work program	10
Institutional setup of AADMER implementation	13
Capacity building under AADMER	15
CASE STUDIES: COOPERATION BETWEEN ASEAN AND NDMOS	20
Indonesia	20
The Philippines	22
ANALYZING ASEAN’S CAPACITY BUILDING EFFORTS	26
NDMO-ASEAN cooperation on capacity building	26
Strengths of and challenges to ASEAN’s approach to capacity building	30
CONCLUDING THOUGHTS AND RECOMMENDATIONS	35
ASEAN	36
ASEAN member states	37
Donors/Dialogue Partners	37
UN/INGOs	38
Southeast Asian Civil Society	38
ANNEX I – NDMOS REPRESENTED IN THE ACDM	39

ACRONYMS

AADMER	ASEAN Agreement on Disaster Management and Emergency Response
ACDM	ASEAN Committee on Disaster Management
ACE Program	AHA Center Executive Program
ADTRAIN	ASEAN Disaster Management Training Institutes Network
AHA Center	ASEAN Coordinating Center for Humanitarian Assistance on Disaster Management
APG	AADMER Partnership Group
APRDM	ASEAN Regional Program on Disaster Management
ARDEX-13	ASEAN Disaster Emergency Response Simulation Exercise 2013
ARF	ASEAN Regional Forum
ASC	ASEAN Standing Committee
ASEAN	Association of Southeast Asian Nations
BNPB	<i>Badan Nasional Penanggulangan Bencana</i>
BPBD	<i>Badan Penanggulangan Bencana Daerah</i>
CB	Capacity Building
CCA	Climate Change Adaptation
COP	Conference of the Parties
CSO	Civil Society Organization
DiREx	ARF Disaster Relief Exercise
DMRS	ASEAN Disaster Monitoring and Response System
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
DRRM	Disaster Risk Reduction and Management
DTMIs	Disaster Management Training Institutions
ECOWAS	Economic Community of West African States

ERAT	Emergency Rapid Assessment Team
GDP	Gross Domestic Product
GIS	Geographic Information System
HADR	Humanitarian Assistance and Disaster Relief
HFA	Hyogo Framework of Action
IDPs	Internally Displaced Persons
IFRC	International Federation of Red Cross and Crescent Societies
INGOs	International Non-Governmental Organizations
NDMOs	National Disaster Management Organizations
NDRRM	National Disaster Risk Reduction and Management
NDRRMC	National Disaster Risk Reduction and Management Council
NGOs	Non-Governmental Organizations
OCHA	UN Office for the Coordination of Humanitarian Affairs
OSOCC	UN On-Site Operations Coordination Center
SAARC	South Asian Association for Regional Cooperation
SASOP	ASEAN's Standard Operating Procedure for Regional Standby Arrangements and Coordination of Joint Disaster Relief and Emergency Operations
SOPs	Standard Operating Procedures
TCG	Tripartite Core Group
UN	United Nations
UNDAC	United Nations Disaster Assessment and Coordination
USD/US \$	United States Dollar

INTRODUCTION *

In recent decades, regional organizations have become increasingly active in disaster risk management (DRM). This reflects a broader growing trend of intensifying regional cooperation. However, the role of regional organizations in DRM and of their role in capacity building at the national level has received little attention from the academic community.¹ This study attempts to address this knowledge gap by examining the Association of Southeast Asian Nations (ASEAN) which has emerged as a prime example of deepening cooperation and integration in Southeast Asia.

The ten ASEAN member states, which are very diverse in many aspects – population, size, economic development and disaster risk – have developed a legally binding and ambitious regional DRM framework in response to their experiences with major disasters in the last decade. The ASEAN Agreement on Disaster Management and Emergency Response (AADMER), which came into force in December 2009, set the foundation for regional cooperation in all areas of DRM from prevention to reconstruction. ASEAN has developed a detailed work program and created joint institutions to implement AADMER. By working closely with the national disaster management organizations (NDMOs) of member states and a wide range of other actors, these efforts seek to increase both regional and national capacities for DRM. This study analyzes both the strengths and challenges of ASEAN's approach to capacity building.

After a brief discussion of terminology and key concepts, this study begins with an overview of ASEAN and its activities in DRM, followed by two short case studies on NDMOs' cooperation with ASEAN in building DRM capacity: the Badan Nasional Penanggulangan Bencana (BNPB) in Indonesia and the National Disaster Risk Reduction and Management Council (NDRRMC) in the Philippines. The study then provides an analysis of the capacity building efforts of ASEAN and NDMOs, assesses the strengths and challenges of those efforts and closes by offering a number of recommendations.

This study augments the scarce literature that exists on DRM and regional organizations through field research undertaken in August 2014. This research included semi-structured interviews with ASEAN officials, members of national disaster management agencies in Indonesia and the Philippines, as well as experts from international organizations, NGOs and civil society organizations in the region.

While the research sought to provide a broad-stroke overview of capacity building in ASEAN, there are several important points to bear in mind: First, Southeast Asia is a

* The author would like to sincerely thank all those who were willing to be interviewed for this study.

¹ For a more detailed discussion of this aspect see Elizabeth Ferris, *Better Together: Regional Capacity Building for National Disaster Risk Management*, Brookings-LSE Project on Internal Displacement, August 2014, <http://www.brookings.edu/research/papers/2014/08/06-regional-capacity-building-disaster-risk-management-ferris>. For a more general debate on regional organization's roles in DRM see Elizabeth Ferris and Daniel Petz, *In the Neighborhood: The Growing Role of Regional Organizations in Disaster Risk Management*, Brookings-LSE Project on Internal Displacement, February 2013, <http://www.brookings.edu/research/reports/2013/02/regional-organizations-disaster-risk-ferris>.

very diverse region and countries have different experiences in disaster risk management. Thus it is difficult to generalize for the region as a whole based on the experiences of the two countries chosen as case studies for this study, Indonesia and the Philippines. Secondly, the scope of the research project did not allow comprehensive research on all issues related to DRM capacity building in the region and a number of topics are only discussed in passing, such as the full range of related civil-military relations. Capacity building in DRM is being carried out or supported by a large number of actors, including UN agencies, donor governments, national governments, research institutions, etc. Rather this study focuses primarily on activities and initiatives as they pertain to ASEAN and its members.

Terminology and Concepts

Capacity and capacity building/development

There is no uniformly accepted definition of capacity or capacity building/development.² The United Nations Office for Disaster Risk Reduction, for example, defines capacity as “the combination of all the strengths, attributes and resources available within a community, society or organization that can be used to achieve agreed goals”³ and capacity development as “the process by which people, organizations and society systematically stimulate and develop their capacities over time to achieve social and economic goals, including through improvement of knowledge, skills, systems, and institutions.”⁴

A recent literature review on the issue highlights a number of common themes among definitions on capacity building (CB):

- CB is a process that occurs over a period of time – it is not a single intervention;
- CB should be sustainable so that gains are maintained;
- CB is a broad undertaking which affects knowledge, skills, systems and institutions;
- CB occurs at several different levels – individual, organizational, institutional and societal.⁵

Capacity building or development became a core concept of development theory and practice in the 1990s and has since been seen as a key component of sustainable development. In the 2000s, it became a main concept for DRM and has been mentioned in high-level documents such as the Hyogo Framework for Action (2005), the Paris Declaration (2005) and the Busan 4th High Level Forum (2011).⁶ Perhaps surprising

² For a more detailed discussion see Zoë Scott, Roger Few, Jennifer Leavy, Marcela Tarazona and Kelly Wooster, *Strategic Research into National and Local Capacity Building for Disaster Risk Management: Literature Review: Version 1*, Oxford Policy Management, January 2014, http://www.preventionweb.net/files/39416_39416opmifrcliteraturereviewv11.pdf.

³ The United Nations Office for Disaster Risk Reduction (UNISDR), “Terminology,” <http://www.unisdr.org/we/inform/terminology>.

⁴ *Ibid.*

⁵ Scott *et al.*, op. cit., p. 6.

⁶ UNISDR defines disaster risk management as: “The systematic process of using administrative directives, organizations, and operational skills and capacities to implement strategies, policies and improved coping

given the prominent role of capacity-building in development, there has been little research on capacity building for DRM, and several authors note difficulties in applying the concept to the disaster context. A paper by Hagelsteen and Becker notes that, “the tools and methodologies for capacity development, such as capacity assessment, are generally not adapted to the context of disaster risk reduction and are often not recognized by people within the disaster risk reduction community.”⁷ However, the scope of DRR capacity building may be expanding as Amaratunga⁸ outlines.

In his view, it has focused on “building of local capacities in human skills, technology, data, models and methods to face future disasters in developing countries. [...] Early efforts of capacity building mainly focused on achieving basic institutional activities and improving ability of organizations to handle effectively donor funded projects. However, recent examples bear evidence of the broadening scope of capacity building, such as development of policies in various contexts.”⁹

Scott et al. highlight that much of the literature sees the provision of resources and training as the main emphasis of DRM capacity building and that those mostly focus on technical fields such as understanding hazard data, conducting vulnerability assessments. However, they note that there is also a clear understanding that capacity building needs a wider process to be sustainable such as paying attention to organizational issues, structures, and interactions.¹⁰

There are different models for describing the scope of capacity building. Amaratunga’s four-stage model of capacity building includes analysis, development/creation, utilization and retention. In the analysis stage, current capacities are assessed, and capacity gaps identified and prioritized. This is followed by the actual development of capacity which often requires an enormous effort. In the utilization stage, developed capacities are mobilized and deployed under realistic conditions and in the retention phase, the focus is on making capacity gains sustainable, which is most likely to occur under stable political, institutional and economic conditions.¹¹ Scott et al. review two models; the first by Crisp et al. describes four forms of capacity building (based on the health care sector):

- Top–down organizational approach that might begin with changing agency policies or practices;
- Bottom–up organizational approach involving provision of skills to staff;

capacities in order to lessen the adverse impacts of hazards and the possibility of disaster.” UNISDR, “Terminology,” <http://www.unisdr.org/we/inform/terminology>.

⁷ M. Hagelsteen, and P. Becker, “Challenging disparities in capacity development for disaster risk reduction,” *International Journal of Disaster Risk Reduction*, 3 (2013) 4-13.

⁸ Dilanthi Amaratunga, *Capacity Building Framework for Disaster Risk Reduction*, Centre for Disaster Resilience, University of Salford, undated, http://www.salford.ac.uk/_data/assets/pdf_file/0008/394532/Capacity-building-framework-for-Disaster-Risk-Reduction.pdf.

⁹ *Ibid.*, p. 2.

¹⁰ Scott et al., *op. cit.*, p. 12f.

¹¹ Amaratunga, *op. cit.*, p. 4.

- Partnerships approach that involves strengthening the relationships between organizations;
- Community organizing approach, in which individual community members are drawn into forming new organizations or joining existing ones to improve the health of community members.¹²

This paper is based on a broad definition of capacity development, in that it considers institutional and policy development in addition to skill development and training. Still, as training is usually considered to be at the core of capacity building, it will receive special attention. When analyzing capacity building in ASEAN, this paper draws on the contributions of Amaratunga's four-stage model in discussing capacity development in a DRM context as well as the categories of top-down, bottom-up and partnership capacity building, with the community building approach being of less relevance.

Disaster risk management

Disaster risk management is a concept that comprises activities within the entire disaster management cycle (from risk reduction and preparedness to response and recovery activities), and provides a comprehensive approach to managing disasters. The Global Facility for Disaster Risk Reduction defines the term as follows:

“Processes for designing, implementing, and evaluating strategies, policies, and measures to improve the understanding of disaster risk, foster risk reduction and transfer, and promote continuous improvement in disaster preparedness, response, and recovery practices, with the explicit purpose of increasing human security, well-being, quality of life, and sustainable development.”¹³

The concept has gained prominence in recent years as many countries and organizations have come to include a wide range of interventions in managing natural disaster risk throughout the disaster cycle. This has led to the development of comprehensive disaster management systems that not only focus on disaster response, but also emphasize risk reduction, preparedness and recovery. In particular, disaster risk reduction (DRR) has received increasing attention from both the international community and national governments.

¹² Scott et al., op. cit., p. 12. According to the authors, this model is based on a model by Crisp et al (2000).

¹³ World Bank Group, *Managing Disaster Risk for a Resilient Future: The Sendai Report*, September 2012, [http://siteresources.worldbank.org/DEVCOMINT/Documentation/23283830/DC2012-0013\(E\)DRM.pdf](http://siteresources.worldbank.org/DEVCOMINT/Documentation/23283830/DC2012-0013(E)DRM.pdf), p. 31.

INTRODUCING ASEAN



Table 1: Association of Southeast Asian Nations (ASEAN)

FOUNDED: August 8, 1967	SEAT ¹⁴ : Jakarta, Indonesia	NO. MEMBERS: 10
MEMBER STATES: Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, Vietnam		
WEBSITE: www.asean.org		
POPULATION: ¹⁵ 621.7 million (8.9 percent of global)	AVG .HDI: ¹⁶ 0.653	
TOTAL GDP: ¹⁷ \$3 trillion	AVG. GDP/PERSON: ¹⁸ \$4,918.02	
NO. OF DISASTER AFFECTED 2003-2013: ¹⁹ 177,813,938	NO. OF DISASTER FATALITIES 2003-2013: ¹ 355,365	
PERCENT OF GLOBAL AFFECTED: 8.83 % ²⁰	PERCENT OF GLOBAL FATALITIES: 31.2 %	

Southeast Asia is one of the most disaster-affected regions in the world. With the Indian Ocean tsunami in 2004 hitting several countries in the region and Cyclone Nargis in 2008 devastating Myanmar, the region has seen two of the world's deadliest mega-disasters in the last decade. More recently, floods in Thailand in 2011 caused over US\$45 billion in damages and the latest major disaster, super typhoon Yolanda/Haiyan was the deadliest disaster in 2013, with more than 6,000 fatalities. According to the International Disaster Database, the region accounted for over 31 percent of all global fatalities from disasters and 8.83 percent of those affected by disasters from 2003-2013. Losses related to natural disasters cost the ASEAN region, on average, more than US\$4.4 billion²¹ annually over the last decade.

¹⁴ Headquarters or Secretariat.

¹⁵ CIA World Factbook, "Country Comparison: Population," accessed August 10, 2012, <https://www.cia.gov/library/publications/the-world-factbook/rankorder/2119rank.html>.

¹⁶ UNDP, Human Development Index (HDI), 2011, <http://hdr.undp.org/en/statistics/hdi/>.

¹⁷ CIA World Factbook, "Country Comparison: GDP (PPP)," accessed August 10 2012, <https://www.cia.gov/library/publications/the-world-factbook/rankorder/2001rank.html>.

¹⁸ Total GDP/Population

¹⁹ Source: "EM-DAT: The OFDA/CRED International Disaster Database. Accessed August 23, 2014

²⁰ Source of global and regional number of disaster affected and fatalities: "EM-DAT: The OFDA/CRED International Disaster Database. Accessed August 23, 2014. Total numbers are cumulative for 2003-2013 and percentage numbers are also based on 2003-2013 cumulative numbers.

²¹ World Bank, GFDRR, ASEAN, and UNISDR, *Advancing Disaster Risk Financing and Insurance in ASEAN Countries*, April 2012, http://www.gfdrr.org/sites/gfdrr.org/files/publication/DRFI_ASEAN_REPORT_June12.pdf.

Map 1. Southeast Asia and the Ten ASEAN Member States²²



The Association of Southeast Asian Nations (ASEAN) was founded in 1967 by Indonesia, Malaysia, the Philippines, Singapore, and Thailand with the goal of accelerating economic growth, social progress and cultural development and promoting peace and stability in the region.²³ Founded during the Cold War, ASEAN supported non-intervention in internal affairs among its member states, many of which were ruled by authoritarian or semi-authoritarian regimes during that time. After the end of the Cold War, ASEAN expanded by admitting Vietnam (1995), Laos, Myanmar (1997) and Cambodia (1999)²⁴ and has since worked to deepen regional cooperation in economic issues and free trade, environmental concerns and human rights. These efforts culminated in the entry into force of the ASEAN Charter on December 2008, which gave the organization a new legal framework and a number of new organs.²⁵ One aim is the creation of an ASEAN community by 2015.

ASEAN's main institution is the Secretariat, which is responsible for coordinating and implementing ASEAN projects and activities. The secretariat is located in Jakarta, Indonesia and is led by a Secretary-General, with the current office holder being Le Luong Minh from Vietnam. It consists of four major departments: ASEAN Political and Security Community Department, ASEAN Economic Community Department, ASEAN Socio-Cultural Community Department and Community and Corporate Affairs

²² New Zealand Ministry of Foreign Affairs & Trade, "Country Profiles," April 24, 2012, <http://www.asean.fta.govt.nz/country-profiles>.

²³ ASEAN, "Overview," <http://www.asean.org/asean/about-asean/overview>.

²⁴ Brunei Darussalam had joined in 1984.

²⁵ ASEAN Secretariat, "ASEAN Charter," 2008, <http://www.asean.org/asean/asean-charter/asean-charter>.

Department. In 2012, the secretariat had a budget of \$15.7 million USD and a staff of around 260 persons.²⁶

The ASEAN Summit is a bi-annual meeting of the political leaders of the ten member countries and is the supreme policy-making and key decision-making body of the organization. The summit meetings are hosted by the country that holds the ASEAN chairmanship which rotates on an annual basis. The ASEAN Coordinating Council comprises the foreign ministers of the ASEAN countries and also meets twice a year. It is tasked with preparing the ASEAN Summit and coordinating implementation of agreements and policies passed by the summit. It also holds additional coordination functions within ASEAN. Each of the three ASEAN communities also holds ASEAN Community Councils which in turn can convene councils of sectoral ministers. Another institution is the ASEAN Foundation, which was founded in 1997 to support ASEAN community building through a range of activities, including trainings, exchange programs, etc.²⁷

ASEAN's style of going about its business is often termed the "ASEAN Way." This stands for the institutional norm that was developed as a conflict management mechanism within ASEAN. The "ASEAN Way" is based on the principles of informality, non-interference, consultation and consensus-building.²⁸

²⁶ Kavi, "Asean Secretariat must be empowered," *The Nation*, May 21, 2012,

<http://www.nationmultimedia.com/opinion/Asean-Secretariat-must-be-empowered-30182419.html>.

²⁷ ASEAN Secretariat, "ASEAN Charter," 2008, <http://www.asean.org/asean/asean-charter/asean-charter>. The ASEAN Foundation's mandates are to promoting ASEAN awareness and identity; enhancing interaction among various ASEAN stakeholders; developing human resources and capacity building; and addressing socio-economic disparities and alleviating poverty. See: The ASEAN Foundation, "The ASEAN Foundation," accessed October 4, 2014, <http://www.aseanfoundation.org/index2.php?main=about.htm>.

²⁸ Kei Koga, *The Normative Power of the ASEAN Way*, Tufts University, 2010, http://www.academia.edu/4027546/The_Normative_Power_of_The_ASEAN_Way.

Table 2: ASEAN Member States in Numbers

Country	Population/ thousands ²⁹	Per capita GDP/\$ USD, PPP ³⁰	World Risk Index 2013 Global Position (lower numbers indicate higher risk) ³¹
Brunei Darussalam	406.2	53,016.9	12
Cambodia	14,962.6	2,652.6	8
Indonesia	248,818.1	5,132.5	33
Laos PDR	6,644.0	3,127.2	102
Malaysia	29,948.0	17,540.5	90
Myanmar	61,573.8	1,834.7	42
Philippines	99,384.5	4,545.9	3
Singapore	5,399.2	65,063.5	159
Thailand	68,251.0	9,872.7	94
Vietnam	89,708.9	4,026.1	18

ASEAN Cooperation on Disaster Risk Management

Regional cooperation in Southeast Asia on DRM has existed since the 1970s, with the Declaration of ASEAN Concord 1 in 1976 and the Declaration on Mutual Assistance on Natural Disasters, which led to the establishment of an expert working group on disaster management issues.³² With increased frequency of natural disasters, ASEAN decided to intensify cooperation on DRM issues in the early 2000s. In 2003, the expert working group was transformed into the ASEAN Committee on Disaster Management (ACDM), following a decision of the ASEAN Standing Committee (ASC).³³ The ACDM consists of heads of national agencies responsible for disaster management of ASEAN member states. It was tasked with establishing the ASEAN Regional Programme on Disaster

²⁹ Data from 2013: ASEAN Secretariat, “Selected ASEAN Key Indicators,” Data as of August 15, 2014, <http://www.asean.org/resources/category/asean-statistics>.

³⁰ *Ibid.*

³¹ The World Risk Index looks at the hazards of earthquakes, floods, droughts, storms and sea level rise. The index is comprised of a calculation of indicators that includes both exposure to natural hazards and the vulnerability of a society to those hazards (which includes indicators on susceptibility, coping capacity and adaptive capacity of societies). For more details see Bündnis Entwicklung Hilft (Alliance Development Works), *World Risk Report 2013*, 2013, http://www.worldriskreport.com/uploads/media/WorldRiskReport_2013_online_01.pdf.

³² In the 1976 Treaty of Amity and Cooperation in Southeast Asia signed on February 24, 1976 in Bali, Indonesia, the then-five ASEAN member states (Indonesia, Malaysia, Philippines, Thailand, Singapore) decided to strengthen cooperation in a number of fields, including technical and scientific cooperation. This treaty was the basis for a range of further agreements and declarations, such as the ASEAN Concord I and the Declaration on Mutual Assistance on Natural Disasters.

³³ ASEAN Secretariat, *ASEAN Agreement on Disaster Management and Emergency Response, Work Programme for 2010 – 2015*, September 2012, <http://www.asean.org/resources/publications/asean-publications/item/asean-agreement-on-disaster-management-and-emergency-responce-work-programme-for-2010-2015>; see also ASEAN, “ASEAN Ministerial Meeting on Disaster Management (AMMDM),” accessed August 22, 2014, <http://www.asean.org/communities/asean-socio-cultural-community/category/asean-ministerial-meeting-on-disaster-management-ammdm/>.

Management (APRDM), which developed a broader ASEAN disaster management framework and a framework of cooperation from 2004-2010.³⁴

In 2004, the ACDM decided that ASEAN needed a response action plan and asked the ASEAN secretariat to provide policy and coordination support to the development of such a plan. During that process, the secretariat was tasked with conducting a study on trends of regional organizations and DRM, evaluating the nature and scope of DRM agreements both regionally and bilaterally and developing options for the ASEAN context. The ASEAN ministerial meeting then decided in favor of pursuing the strong option of an agreement and tasked the ACDM to negotiate it within a year. However, the issue took on a particular urgency given the massive destruction of the 2004 Indian Ocean tsunami and the preparation time for the agreement was streamlined to four months. The organization adopted the comprehensive Agreement on Disaster Management and Emergency Response (AADMER) in July 2005, which came into force in December 2009 after all ten member states had ratified the agreement.³⁵

While the AADMER framework had not yet entered into force, ASEAN faced a major test in 2008 when cyclone Nargis devastated Myanmar, resulting in at least 130,000 casualties. The involvement of the regional organization was key to mobilizing international assistance. ASEAN, which because of its non-intervention policy was frequently criticized by the West for its soft approach to the military regime in Myanmar, became the ideal interlocutor between the international community and the regime, which initially resisted international assistance as far as it included international personnel.³⁶ When the regime realized that it would not be able to deal with the scope of the catastrophe alone, cooperation with ASEAN was less of a threat than international or UN intervention. ASEAN began by providing the first international assessment through its first-ever ASEAN Emergency Rapid Assessment Team (ERAT) mission. The ERAT report was submitted to a special ASEAN ministerial meeting, in which the government of Myanmar and ASEAN agreed to an ASEAN-led process. The regional organization then helped to put into place a transparent aid mechanism, facilitate an effective needs assessment and establish follow-up recovery plans. The key to the post-Nargis model was the establishment of a two-tier structure: The ASEAN Humanitarian Task Force (AHTF) and the Tripartite Core Group (TCG). The AHTF consisted of 22 members, two from the ASEAN secretariat and two officials from each ASEAN member state. The AHTF was

³⁴ ASEAN, "ASEAN Cooperation on Disaster Management," www.ASEAN'sec.org/18444.h.

³⁵ ASEAN Secretariat, *ASEAN Agreement on Disaster Management and Emergency Response, Work Programme for 2010 – 2015*, 2012 and interview with high-level ASEAN representative.

³⁶ See, for example, Alan Collins, *Building a People-Oriented Security Community the ASEAN Way*, Routledge, 2013; Yves-Kim Creach and Liliane Fang, "ASEAN's Role in the Cyclone Nargis Response: implications, lessons, and opportunities," Humanitarian Exchange, Issue 41, December 2008, <http://www.odihpn.org/humanitarian-exchange-magazine/issue-41/aseans-role-in-the-cyclone-nargis-response-implications-lessons-and-opportunities>; Julio Santiago Amador III, "Community building at the time of Nargis: The Asean Response," Journal of Current Southeast Affairs, 28 (4) 2009, <http://journals.sub.uni-hamburg.de/giga/files/journals/4/articles/168/public/168-168-1-PB.pdf>. Also see Jeffrey Wright, "Wherefore art thou ASEAN? Typhoon Haiyan's Teachable Moment," November 30, 2013, <http://www.cfr.org/philippines/wherefore-art-thou-asean-typhoon-haiyans-teachable-moment/p31920>. Also see AlertNet, "ASEAN finds new purpose with Cyclone Nargis response," May 1, 2009, www.trust.org/alertnet/news/asean-finds-new-purpose-with-cyclone-nargis-response/.

tasked to advise the TCG, a Yangon-based structure made up of ASEAN, the United Nations and the Myanmar government.³⁷ Together with international stakeholders, including the UN and development banks, ASEAN organized a large Post-Nargis Joint Assessment (PONJA). Following the PONJA, ASEAN created a monitoring unit to measure the progress of the humanitarian response and dispatched ASEAN personnel to pre-established UN hubs in the field.³⁸ In addition, the TCG produced three Post-Nargis Periodic Reviews, three Post-Nargis Social Impacts Monitoring (SIM) reports and a Post-Nargis Recovery and Preparedness Plan (PONREPP). The TCG's mandate expired in July 2010 and after two years ASEAN's involvement in responding to cyclone Nargis ended.

Collins highlights an important shift in ASEAN through the Nargis response, where despite ASEAN's success, it was obvious that ASEAN did not have the expertise nor the human resources to coordinate such a large response and therefore relied heavily on secondment from member states, development banks and UN agencies. He notes that prior to Nargis, member states were generally wary to develop capacity at ASEAN level that could be seen as superior to national capacity and therefore could possibly criticize national policies. Seeing those gaps in capacity during the Nargis response, member states seemed to change their minds by allowing, once AADMER was in place, ASEAN to develop a strong technical institution for DRM in the AHA Centre.³⁹

AADMER and AADMER Work Program

The objective of AADMER is to “provide effective mechanisms to achieve substantial reduction of disaster losses in lives and in the social, economic and environmental assets (of member states), and to jointly respond to disaster emergencies through concerted national efforts and intensified regional and international co-operation.”⁴⁰

AADMER is a proactive regional framework for cooperation, coordination, technical assistance, and resource mobilization in all aspects of disaster management.⁴¹ It is tasked with supporting ongoing and planned national initiatives of member states and with supporting and complementing national capacities and existing work programs. While programs are developed at the regional level, the primary responsibility for implementation lies with the member states. An important aspect of AADMER is, while being a comprehensive DRM agreement, it puts particular emphasis on prevention and mitigation of disasters and the work program is strongly oriented toward the priorities of the Hyogo Framework of Action (HFA). For the implementation of AADMER, ASEAN developed a 6-year work program (2010-2015), with two phases (phase 1: 2010-2012, phase 2: 2013-2015). This is a rolling plan, allowing for activities to be carried over from one phase to the next if necessary.

³⁷ For a more detailed account see Collins, *op. cit.*

³⁸ Creach and Fang, *op. cit.*

³⁹ Collins, *op. cit.* p. 144.

⁴⁰ ASEAN Secretariat, *ASEAN Agreement on Disaster Management and Emergency Response, Article 2, Objectives*, December 2010, p.4.

⁴¹ AADMER Work Programme, p. 6.

AADMER Work Program

The AADMER Framework and work program for 2010-2015 covers a detailed road map for four strategic components:

- 1) Risk Assessment, Early Warning and Monitoring;
- 2) Prevention and Mitigation;
- 3) Preparedness and Response; and
- 4) Recovery.⁴²

Implementation of those strategic components is facilitated by six building blocks:

- 1) Institutionalization of AADMER;
- 2) Partnership Strategies;
- 3) Resource Mobilization;
- 4) Outreach and Mainstreaming;
- 5) Training and Knowledge Management Systems; and
- 6) Information Management and Communication Technology.⁴³

The main aims of the work program are to:

- 1) Improve the capacities of ASEAN for regional risk assessment, effective and efficient regional early warning activities and continued monitoring that require inter-country collaboration to support disaster mitigation efforts of Member States as well as effect well-targeted response and recovery activities;
- 2) Assist Member States in mainstreaming disaster risk reduction into national development policies, plans, and sectoral programs and in formulating and implementing risk reduction measures that link climate change adaptation and key sectors to ensure sustainable development;
- 3) Enhance disaster preparedness of Member States and improve ASEAN's responsiveness to major disasters in a manner that is collective, fast, reliable and in line with humanitarian standards through common operational procedures and mechanisms and rapid mobilization of resources;
- 4) Develop technical and organizational capacities of Member States to lead, coordinate, and manage post-disaster recovery process through proactive recovery planning for early and long-term recovery, competency building in damage and loss assessment, strengthen mobilizing resources, and fostering partnerships;
- 5) Technical and institutional capacities of Member States through the provision of capacity development and training programs on disaster management and emergency response through active exchange of knowledge, experience, and expertise using various sharing and learning modes and through the facilitation of risk and disaster information/data sharing for more effective disaster management and emergency response;
- 6) Foster closer partnerships and more collaborative initiatives with partner organizations, international organizations, civil society, academia, and the military, among others, to promote disaster resilience in ASEAN from regional to local levels; and
- 7) Enhance disaster consciousness of the peoples in ASEAN to instill a culture of safety and resilience.⁴⁴

⁴² *Ibid.*, p. 9.

⁴³ AADMER Work Programme, p. 73.

⁴⁴ AADMER Work Programme, p.7.

14 priority flagship programs for 1st phase of AADMER work plan (2010-2012) and 17 priorities for 2nd phase (2013-2015)

ACDM identified 14 flagship programs to be implemented in phase 1 of the work plan (2010-2012):

- ASEAN Disaster & Emergency Response Logistics System
- Fully-functional Emergency Rapid Assessment Team (ERAT)
- Finalization and institutionalization of SASOP
- ASEAN-wide disaster risk assessment
- Satellite-based disaster monitoring system
- GIS-based disaster information-sharing platform for early warning
- Building disaster-resilient ASEAN cities
- Capacity-building for community-based DRR
- Set-up mechanisms for risk financing
- Production of a disaster recovery toolkit
- Building a culture of disaster-resilience in ASEAN
- Identifying priority training needs
- Training of ASEAN trainers and subject matter experts for AADMER
- Setting up of an “ASEAN Resource Centre” as part of the AHA Centre⁴⁵

17 priorities were determined for the second phase of AADMER implementation (2013-2015):

- Further develop systems and capacities in conduction ASEAN-wide disaster risk assessments
- Strengthen disaster monitoring and response system
- Build disaster resilient ASEAN cities
- Strengthen institutional and policy framework and enhance planning for DRR through implementation of development and action plans that integrate DRR and climate change adaptation and supporting community-based DRR through capacity building and partnerships
- Further strengthen ASEAN’s response mechanisms
- Strengthen civil-military coordination in HADR
- Strengthen working mechanisms in responding disasters with other humanitarian actors in the ASEAN region
- Produce a disaster recovery toolkit
- Strengthen ASEAN’s role and capacity in mobilizing resources for post-disaster recovery
- Set up teams of AADMER advocates in member states to serve as champions in institutionalizing AADMER at the national level
- Develop partnership frameworks
- Implement AADMER’s resource mobilization strategy
- Strengthen information and communication technology connectivity and interoperability between AHA Centre and NDMOs
- Put in place communication systems and tools and test them through regular exercises
- Promote a culture of disaster resilience in ASEAN
- Establish ASEAN Network of Disaster Management Training Institutes, certification system and trainer’s pool
- Strengthen AHA Centre’s website⁴⁶

⁴⁵ ASEAN Secretariat, “AADMER Work Programme: Overview and Updates,” 2011, http://www.preventionweb.net/files/globalplatform/entry_presentation~aadmer2011.AA.

The AADMER framework also requests by member states for international cooperation, including from UN agencies. One outcome of the cooperation between ASEAN and the UN was the development of a joint strategic plan on disaster management in 2010

Institutional setup of AADMER implementation

Three ASEAN institutions have key roles in implementing AADMER (for an illustration, see Graph 1 below). First, the ASEAN Coordinating Centre for Humanitarian Assistance on disaster management (AHA Centre) is the main operational engine for the implementation of AADMER. The center which became operational in November 2011 carries out a wide array of functions including management of stand-by arrangements, risk assessment, information and knowledge management, and the facilitation of joint emergency response.⁴⁷ The center houses the ASEAN Disaster Monitoring and Response System (DMRS), which provides the emergency operations center with streams of hazard data from all over ASEAN.⁴⁸ To avoid overstressing the AHA Centre's capacity in the first stage of AADMER implementation, the center has been primarily tasked with monitoring and emergency response. The center currently has a staff of 17 from three ASEAN countries, the majority of whom are local staff from Indonesia although positions at the center are open to all ASEAN members. In its annual report for 2013, the center reported a budget of almost US\$5.8 million, most of which was provided by international donors (called dialogue partners in AADMER). ASEAN member states contribute equal annual contributions of US\$30,000 to support the center. In addition, member states can provide funding through voluntary contributions to the AADMER fund.⁴⁹

Second, the ASEAN Secretariat serves as the secretariat to the AADMER agreement and provides policy coordination support as well as monitoring and evaluation of the program. It fulfills the functions of the secretariat of the ACDM and the Conference of Parties. It also serves as the custodian of the AADMER fund, which was created to support AADMER implementation and is tasked with providing support for 1) the operational budget of the AHA Centre, 2) emergency funds for rapid needs assessments and other emergency activities and 3) activities under the AADMER work program.⁵⁰ The Humanitarian Assistance and Disaster Management Division of the secretariat that is responsible for AADMER has ten staff members, of which five are core staff and five project and seconded staff.⁵¹ The Secretary-General of ASEAN also plays an important

⁴⁶ ASEAN Secretariat, *AADMER Work Programme, Phase 1: Accomplishment Report*, 2013, pp. 55ff.

⁴⁷ Larry Maramis, "ASEAN Regional Cooperation on Disaster Management," UNHCR eCentre 2012, Symposium on Humanitarian Coordination in Asia and the Pacific, May 9-11, 2012, www.the-ecentre.net/resources/workshop/index.cfm?fuseaction=view&id=349; AHA Centre, "Based on AADMER, AHA Centre shall perform the following functions," accessed August 10, 2012, www.ahacentre.org/.

⁴⁸ United States Mission to ASEAN, "U.S. Supports State-Of-The-Art Disaster Monitoring and Response System for ASEAN," April 12, 2012, <http://asean.usmission.gov/pr4122013.html>.

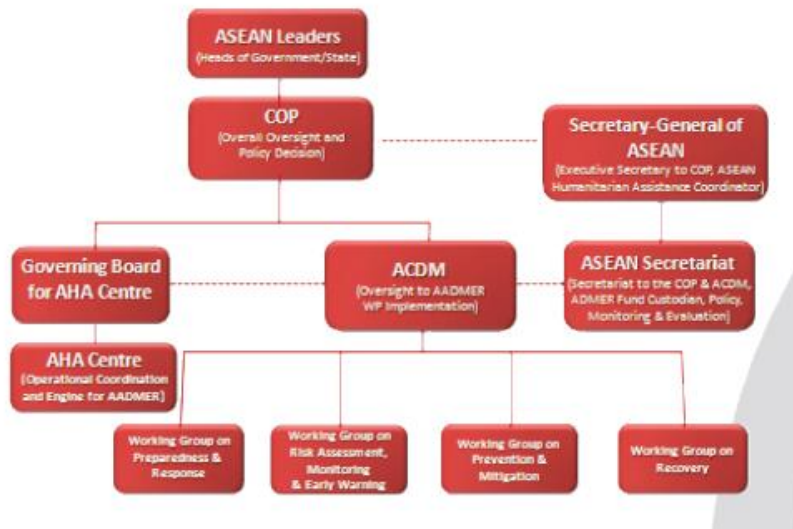
⁴⁹ AHA Centre, *Annual Report 2013*, 2013; and interview with high-level ASEAN representative, Jakarta, August 2014.

⁵⁰ ASEAN, "15th Meeting of the ACDM," March 11-12, 2010, Singapore, [file:///C:/Users/Daniel/Downloads/15th%20ACDM%20Report%20as%20of%2018%20March%20\(2\)%20\(2\).pdf](http://file:///C:/Users/Daniel/Downloads/15th%20ACDM%20Report%20as%20of%2018%20March%20(2)%20(2).pdf).

⁵¹ Interview with high-level ASEAN representative, Jakarta, August 2014.

role in AADMER since he functions as humanitarian assistance coordinator in case of a major disaster in the ASEAN region.

Graph 1: AADMER Implementation Arrangements*



*ASEAN, AADMER Work Programme 2010-2015, page 94

Third, the ASEAN Committee on Disaster Management (ACDM), which represents the national disaster management agencies of the ten member states, provides the link between national and regional institutions and is responsible for coordinating and implementing regional activities. It also provides policy oversight and supervision for the AADMER implementation program. To facilitate AADMER implementation, the ACDM has four working groups which correspond to the strategic components of the AADMER treaty (see Box 1 above). One or two member states take over the function of ‘lead shepherd’ to coordinate the tasks and responsibilities of the members of the working group. In addition, each of the six building blocks also has a lead shepherd among the ASEAN countries. For example, Singapore is responsible for training and knowledge management.

In addition to the AHA Centre, ACDM and ASEAN secretariat, the Conference of Parties also plays an important role in AADMER. It consists of the relevant ASEAN ministers in charge of disaster management, who meet at least once a year and provide oversight over the implementation process. The Conference of Parties is also responsible for any amendments and changes to the treaty, if required.⁵²

AADMER’s institutional structure and work program implementation strategy is based on a strong interplay between the three core institutions – the ACDM, the ASEAN secretariat and the AHA Centre. While member states have clear decision making power,

⁵² ASEAN Secretariat, *ASEAN Agreement on Disaster Management and Emergency Response*, 2010 and ASEAN Secretariat, *ASEAN Agreement on Disaster Management and Emergency Response: Work Programme 2010-2015*, September 2012.

the role of the Secretariat should not be underestimated. In providing policy recommendations and being responsible for monitoring and evaluation, the Secretariat is in a unique position to give important inputs regarding the AADMER process, such as providing proposals for activities and securing external support. Although the AHA Centre plays a key role in the institutional set-up, given the relatively long process of setting up and staffing the center, its role has been scaled back from what was originally envisioned. Instead, some of its activities and responsibilities are now housed under either the secretariat or ACDM working groups (and lead shepherd countries).

Broadly, AADMER can be analyzed as having two different levels of commitments. One is establishing a regional capacity to support member states in preparedness and response capacities, coupled with a regional system of rules (SASOP) between member states that expedites collaboration in case of a disaster. Two, AADMER's wider function is supporting member states' governments and NDMOs to improve their DRM systems through all stages of the disaster management cycle.

Capacity building under AADMER

It is not an understatement to say that capacity building is at the core of AADMER, which can be seen clearly from its mission statement (see Box 1 above). A closer look at the work program shows that capacity building initiatives play an important role in all four strategic components, which are modelled on the disaster management cycle. To systematize the aims of DRM capacity building, we can distinguish three levels of capacity building under AADMER:

1) Institutional capacity building for ASEAN:

To implement AADMER, ASEAN first needed to build its own institutional capacity. This is particularly true for the AHA Centre. The center plays a key role in AADMER implementation and in the ASEAN DRM structure. However, it had to be set up and staffed to become operational and serve as a driver of AADMER implementation. In addition, the ASEAN secretariat needed to scale up staffing in the Disaster Management and Humanitarian Affairs Division to deal with policy coordination and monitoring of AADMER implementation. ASEAN has developed strong partnerships with many actors, including civil society. For example, both the AADMER partnership group, (made up of international NGOs to support AADMER implementation) and UNISDR seconded staff to support the development of the AADMER work program.

2) Intra-ASEAN capacity building:

The implementation of AADMER leads to the development of new systems and procedures to facilitate information sharing, disaster response, etc. One example is the development of *ASEAN's Standard Operating Procedure for Regional Standby Arrangements and Coordination of Joint Disaster Relief and Emergency Operations* (SASOP), which facilitates the movement of humanitarian assistance within ASEAN. Therefore intra-ASEAN capacity building also has an important role in the implementation of AADMER. Member states and, in particular, the national disaster management organizations of member states need to be aware of,

and trained in, regional systems and procedures as this will not only improve regional support networks in case of a disaster, but will also strengthen early warning and emergency communication within the region.

The intra-ASEAN area of capacity building also includes the coordination of ASEAN DRM mechanisms with other ASEAN entities, with the international humanitarian system, including the UN system, IFRC, international and national NGOs, the business community, and others.

3) Capacity building in ASEAN member states:

While the regional component of AADMER usually gains the most visibility internationally, AADMER aims at disaster-resilient nations and safer communities and therefore affirms the primary responsibility of ASEAN member states to identify, prevent and reduce risks arising from hazards. Article 6.2 of AADMER states that: “Each Party shall undertake measures to reduce losses from disasters which include:

- a. Developing and implementing legislative and other regulatory measures, as well as policies, plans, programs and strategies;
- b. Strengthening local and national disaster management capability and co-ordination;
- c. Promoting public awareness and education and strengthening community participation; and
- d. Promoting and utilizing indigenous knowledge and practices.”⁵³

Therefore, AADMER implementation requires a good deal of capacity building on the national and local levels, which should at least partly be supported and facilitated by ASEAN.

While AADMER is legally binding for member states, it does not set any exact targets that member states must fulfill nor does it include any enforcement mechanisms if members do not comply with the agreement. This weakens AADMER’s strength as an agreement and is likely problematic in terms of capacity building for member states. However, this weakness is partly mitigated by the AADMER work program’s relatively clear formulation of activities for member states in the different areas of the program, which can be monitored by the secretariat.

The following section presents a broad overview of several capacity building and training initiatives that ASEAN has undertaken or is in the process of undertaking, based on the AADMER work program. Section 4 presents a more detailed look at capacity building cooperation between ASEAN and two member states: Indonesia and the Philippines. This, in turn, will serve as the basis for a discussion of the strengths and weaknesses of ASEAN’s approach to capacity building in disaster risk management.

⁵³ ASEAN Secretariat, *ASEAN Agreement on Disaster Management and Emergency Response*, July 2006, p. 7.

Training and Knowledge Management Systems

Training and knowledge management systems are one of the building blocks under the AADMER working program, with Singapore being the lead shepherd for this area. In 2010, ACDM identified three flagship projects under training and knowledge management which were:

- a. *Identification of priority training needs through a regional training and knowledge management assessment covering the needs of NDMOs, local governments and civil society within the region.*⁵⁴

ASEAN conducted a training needs assessment in 2011, which developed a list of 19 priority training courses, of which several have been completed, including:

- AADMER national orientation courses involving governments and civil society in ASEAN member states;
- Series of ASEAN-ERAT (emergency rapid assessment team) courses;
- Regional training course on urban DRR and climate change adaptation involving local government representatives from 24 cities of 8 member states;
- ASEAN exercise design course in Singapore;
- Training activities through AHA Centre's ACE Program (see details below).⁵⁵

Training courses and workshops were largely designed and conducted in close cooperation with partners (such as the AADMER Partnership Group, donor governments, UN agencies) or by the lead shepherd Singapore and most of the courses targeted government and NDMO officials of member states. After reviewing the progress of the first phase of the work program, ASEAN decided to prioritize the following training courses for the second phase of the work program (until 2015):

- Community-based DRR and DRM and climate change adaptation;
- Risk assessment and early warning;
- Damage and loss assessment.

- b. *Training of ASEAN trainers and subject matter experts for ASEAN, including formation of AADMER trainer's pool:*

Singapore, in cooperation, with the APG and the ASEAN secretariat conducted a mapping of disaster management training institutions (DTMIs) in 2012 and organized a workshop which led to the creation of an ASEAN network of DTMIs. The network, called ASEAN Disaster Management Training Institutes Network (ADTRAIN), initially comprises four states that have existing DTMI institutions: Indonesia, the Philippines, Singapore and Thailand. It also includes the ASEAN secretariat and the AHA Centre who hosts the network.⁵⁶ Throughout the second phase of the work program, ADTRAIN will become a center of excellence in training and knowledge management in ASEAN with the following aims:

- Establish the AADMER Trainers' Pool. Trainers will be identified through nominations from member states through the ACDM. Members will undergo a 'Training of Trainers' program and will be expected to develop the syllabi and for

⁵⁴ ASEAN Secretariat, AADMER Work Programme, Phase I, Accomplishment Report, November 2013, p. 34.

⁵⁵ *Ibid.*

⁵⁶ *Ibid.*, p. 35.

- delivering priority training courses;⁵⁷
 - Develop an ASEAN-wide certification system for training courses;
 - Strengthening the network by supporting other ASEAN member countries to set-up or designate national DRM training institutions.
- c. *Setting up of the online ASEAN Resource Centre within the AHA Centre.*

ACE Program

One of the main capacity building programs that the AHA Centre administers directly is the AHA Centre Executive (ACE) Program. It offers a maximum of two officers from ASEAN member state's national disaster management offices the opportunity to attend a half-year training program. The program includes work at the AHA Centre, coupled with both technical and soft skill training courses, study visits and deployments. The program was conceived with a number of aims. One is to familiarize officials from member states NDMOs with the function and systems of the AHA Centre. Further, it should allow officials to develop deeper knowledge and understanding of other member states' disaster management systems and to build networks among disaster management officials from different countries. The first batch of trainees of the ACE program which took place in the first half of 2014 was made up of thirteen disaster management officials from seven ASEAN member states. The 21-week course provided over ten different workshops and trainings, including:

- ASEAN introduction workshop;
- On the job training at AHA Centre;
- ASEAN socio-culture and disaster management workshop;
- Incident command system training;
- Emergency operation center training;
- Communication training;
- Camp coordination and camp management plus shelter workshop;
- Civil-military coordination;
- Leadership in crisis training;
- Exercise planning and management training;
- Humanitarian logistics and supply chain management training;
- ASEAN customs clearance procedures workshop;
- ERAT training.⁵⁸

In addition, the program included study visits to New Zealand and Japan. The AHA Centre plans to have two more cohorts of trainees in 2015 and 2016 and by the end of the program will have trained around 60 NDMO officials.⁵⁹

⁵⁷ APG, "The ADTRAIN gets rolling," January 28, 2014, <http://www.aadmerpartnership.org/the-adtrain-gets-rolling/>.

⁵⁸ AHA Centre, *AHA Centre Executive Programme: First Batch Completion Report*, 2014

⁵⁹ Interview with senior ASEAN official.

Simulations and exercises

Another area where ASEAN develops DRM capacity is through joint exercises and simulations. The most recent simulation exercise was the ASEAN Disaster Emergency Response Simulation Exercise 2013 (ARDEX-13), held in Vietnam and organized in cooperation with the government of Vietnam and the AHA Centre. The four-day simulation, in which all ten ASEAN member states participated, aimed at practicing, assessing and reviewing disaster emergency response mechanisms under ASEAN's SASOP.⁶⁰

The ASEAN Regional Forum, which includes the ten ASEAN member states, also conducted an exercise in 2013. The third ARF Disaster Relief Exercise (DiREx) was held in Thailand with a focus on inter-agency coordination and civil-military coordination. The AHA Centre provided an onsite coordination center, co-located with the United Nations On-Site Operations Coordination Centre (OSOCC). ASEAN-ERAT was also deployed together with the UN Disaster Assessment and Coordination (UNDAC) Team managed by the UN OCHA.⁶¹

⁶⁰ ASEAN Secretariat News, "ASEAN Disaster Emergency Response Simulation Exercise Begins in Hanoi Today," October 21, 2013, http://www.asean.org/news/asean-secretariat-news/item/asean-disaster-emergency-response-simulation-exercise-begins-in-hanoi-today?category_id=27.

⁶¹ ASEAN Secretariat News, "ASEAN Regional Forum Gears Up for a Stronger Civil Military Coordination and Disaster Relief Operation," May 13, 2013, http://www.asean.org/news/asean-secretariat-news/item/asean-regional-forum-gears-up-for-a-stronger-civil-military-coordination-and-disaster-relief-operation?category_id=27.

CASE STUDIES: COOPERATION BETWEEN ASEAN AND NDMOS

Indonesia

Indonesia is one of the most disaster-prone countries in the world. This was particularly illustrated by the massive loss of life and destruction in Aceh and North Sumatera provinces from the Indian Ocean tsunami in 2004. The lessons learned from the tsunami response (as well as other major disasters happening around the same time) have since led to the reform of the Indonesian disaster management system, which culminated in a new disaster management law (law 24/2007) and the establishment of the National Disaster Management Authority (Badan Nasional Penanggulangan Bencana – BNPB) by Presidential Decree No. 8/2008).⁶² BNPB is directly under the authority of the president and organized in four departments:

- 1) Prevention and preparedness
- 2) Emergency management
- 3) Reconstruction and rehabilitation
- 4) Logistics

BNPB is staffed by 300-350 persons, with the emergency management department being the largest unit. Below the central government level, Indonesia has a decentralized system, with provincial and district levels having their own regional disaster management units, called Badan Penanggulangan Bencana Daerah (BPBD). The BPBDs are under the ministry of the interior and therefore not subject to a direct chain of command from BNPB.

In terms of capacity building, BNPB is fully involved in ASEAN capacity building initiatives, which were generally seen as very positive. Particularly highlighted were training and capacity building on monitoring and information sharing done by the AHA Centre, with the AHA Centre and BNPB using an integrated system and database. Training was provided on both the technical and managerial levels. BNPB staff members were also trained to become members of ERAT and UNDAC teams, with the impression that deployed Indonesia's ERAT team members would bring an added benefit of being able to communicate needs on the ground to BNPB, which would facilitate the provision of assistance to other ASEAN countries by Indonesia. Also, simulation exercises, such as ARDEX and DiREx were seen as very useful in training ASEAN-wide SOPs for an integrated response.

BNPB is also strongly engaged in ADTRAIN. This program and particularly the creation of an ASEAN-wide roster of DRM trainers was seen as one of the priorities for capacity building in ASEAN. BNPB is currently working to develop a certification program for disaster managers that would also be open for civil society, businesses and other stakeholders and which could be an example for the ASEAN training certification program that is envisioned under ADTRAIN.

Additionally, BNPB just opened a state-of-the-art DRM training center in Sentul, near

⁶² BNPB, "History of the Agency," accessed September 16, 2014, <http://bnpb.go.id/profil/sejarah-visi-misi>.

Jakarta where it provides a range of training programs and courses for its own staff, as well as for BPBDs and other stakeholders. One core capacity building program is the provision of field training exercises to provincial level and district level disaster management staff.

Trainings have a workshop component that frequently takes place at BNPB's training complex while the exercises are conducted in the provinces/districts. The agency also organized training exercises for the tsunami master plan.⁶³ Another part of the training program is the provision of community preparedness trainings which focus on evacuation exercises and the training of volunteers. Additionally, BNPB provides national level training courses which are open to officials from provincial or district levels. There is also training cooperation with other countries, for example, there is currently a training cooperation with Japan. Together with the ministry of foreign affairs, BNPB prepares a program of technical assistance to partners in the region, focusing on contingency planning and damage and loss assessment, with ASEAN members Laos and Myanmar being some of the cooperation partners.⁶⁴

Assessing ASEAN-Indonesian cooperation on capacity building

Overall, the relationship and cooperation between BNPB and ASEAN in terms of DRM capacity building seems to be good. With the AHA Centre being based in Jakarta and mostly staffed with Indonesians, communication between the partners is good and the services that the AHA Centre and ASEAN in general provides are seen as useful by the NDMO. In terms of capacity building, the impression is that BNPB mostly sees AADMER as a tool to develop regional capacity and strengthen DRM cooperation between ASEAN member states, rather than a tool to increase domestic DRM capacity in Indonesia. Still, there was acknowledgement that the skills conveyed through training provided by ASEAN might also be useful on the domestic level. Indonesia's engagement with ADTRAIN also shows that there is a strong vision for an integrated ASEAN DRM training system and more than one respondent highlighted the vision that all training needs within ASEAN could be provided by institutions within ASEAN. There was broad agreement in Indonesia that national DRM capacity was at a good level and that the biggest capacity gaps in DRM in Indonesia were on the provincial and district levels. Given that BNPB, CSOs and international actors are doing a lot of work to bridge those gaps, it is questionable on which level ASEAN could usefully engage in those efforts, given its mandate and capacities.

⁶³ The master plan, which has been put into place for the 2013–2019 period, was prepared after Indonesia's president Susilo Bambang Yudhoyono instructed the BNPB in April 2012 to prepare a master plan on tsunami risk reduction. The plan includes strengthening the early warning chain, building vertical evacuation shelters, strengthening preparedness and mitigation more broadly, and building capacity to manage effective earthquake and tsunami monitoring systems. See: AusAID, "Disaster Risk Management Program Indonesia – Cover Note," undated,

<http://aid.dfat.gov.au/countries/eastasia/indonesia/Documents/drm-conceptnote.pdf>; also see The Jakarta Globe, "RI needs Rp 15t for tsunami master plan: Agency," April 23, 2013, <http://www.thejakartapost.com/news/2013/04/23/ri-needs-rp-15t-tsunami-master-plan-agency.html>

⁶⁴ Interview with BNPB officials.

The Philippines

Like Indonesia, the Philippines is one of the countries with the highest disaster risk in the world, from both geophysical and hydrometeorological hazards. In 2013, the strongest recorded storm, Haiyan/Yolanda, caused massive destruction across much of the country. In September 2014, high levels of volcanic activity at Mt. Mayon caused the evacuation of thousands of people and major floods in Manila have displaced tens of thousands.⁶⁵

The Philippines has responded to the constant occurrence of major natural hazards by building an ambitious and modern disaster management framework. The Disaster Risk Reduction and Management Act of 2010 that was adopted on 16 June 2011 and the NDRRM Plan 2011 - 2028 changed the disaster management paradigm from reactive to proactive and gave significant responsibilities to the local level.⁶⁶ Under the new provision, each level of government, including the local level, has a designated DRM authority/council. Moreover, no less than 5 percent of estimated revenues from regular sources are to be allocated for DRM with 30 percent for quick response and standby funds. On the national level, the National Disaster Risk Reduction and Management Council (NDRRMC) was established under the overall leadership of the Department of Armed Forces. Within the council, the Office of Civil Defense has the major coordinating role in DRM and manages the revolving National DRRM Fund. Within the NDRRMC, certain ministries take the lead for different areas of DRM. Responsibility for disaster prevention and mitigation lie with the Department of Science and Technology; prevention and mitigation with the Department of Interior and Local Government while disaster response is the responsibility of the Department of Social Welfare and Development and rehabilitation and recovery is led by the National Economic and Development Authority.⁶⁷ The council has between 300-400 staff. The NDRRMC also has four civil society representatives, representing NGOs, academia, religious communities and the business community. Prior to the DRM law, the Philippines also passed a Climate Change Act in 2009. This was supplemented in 2012 with the creation of the People's Survival Fund which aims at providing long term finance to address the issue of climate change. The Climate Change Commission and the NDRRMC work closely together to promote knowledge management and develop local action plans.⁶⁸

The Philippines, within the NDRRMC system, has several avenues for DRM capacity building. There is a pool of DRM trainers from ministerial agencies of the NDRRMC. The Department for Social Welfare and Development, for example, conducts trainings and other capacity building initiatives related to preparedness and response. Additionally,

⁶⁵ See: Time, "A Philippine Volcano May Be About to Blow and 12,000 Have been Evacuated," September 15, 2014, <http://time.com/3380893/philippines-volcano-mount-mayon-12000-evacuated/>; BBC News, "Manila floods: Thousands evacuated," September 19, 2014, <http://www.bbc.com/news/world-asia-29270518>.

⁶⁶ For a more detailed discussion of the law see IFRC, *Background Report Law and Regulation for the Reduction of Risk from Natural Disasters in the Philippines: A National Law Desk Survey*, July 2012, <http://www.drr-law.org/resources/Philippines-Desk-Survey.pdf>.

⁶⁷ Government of the Philippines, National Disaster Risk Reduction and Management Plan (NDRRMP) 2011-2028, 2011.

⁶⁸ ASEAN, *Regional progress report on the implementation of the Hyogo Framework for Action (2011-2013)*, 2014, http://www.preventionweb.net/files/39137_39137ASEAN'subregionalreport20112013.p.

there is a DRR Academy at the National Defense College led by the armed forces.

Respondents acknowledged that ASEAN's capacity building initiatives, and particularly those led by the AHA Centre, have helped to advance capacity overall and in particular response capacity, and that AADMER integration⁶⁹ was working well. ASEAN's activities through AADMER lead to a better understanding of DRM systems between ASEAN member states and contribute to relationship building between NDMOs – activities which were seen as very useful, especially during emergencies.⁷⁰

In the interviews about DRM capacity building in Southeast Asia, the Philippines' recent experiences, particularly with Haiyan, overshadowed a more structural debate. A comprehensive discussion about the Haiyan response is beyond the scope of this report.⁷¹ However, drawing important lessons regarding regional and national capacity shed light on DRM capacity building in Southeast Asia.

For ASEAN and particularly the AHA Centre, as its operational engine, Haiyan was the biggest test so far of its capabilities. If we look at Amaratunga's four-stage model of DRM capacity building,⁷² we see that at stage three, actually putting capacity to use demonstrates the success of capacity-building initiatives. ASEAN was active on a number of levels during Haiyan, from monitoring the development of the storm, pre-positioning staff and communication equipment on the ground before the storm made landfall, sending ERAT team members to support damage and needs assessment, provision of operational support to the NDMO by supporting the Office of Civil Defense in Tacloban, sharing information among member states, facilitating the entry of relief goods from ASEAN member states, providing relief goods from its own relief stockpile, and garnering financial and political support for reconstruction in the affected areas.⁷³

Overall, the range of activities carried out by ASEAN is testament to how far ASEAN has come in developing regional capacity in only a few years. In many of those areas, those interviewed felt that ASEAN had responded quite well to the emergency. However, there were also some question marks and criticism, discussed in more detail in the next section, which offer insights into the strengths and challenges of ASEAN's capacity and capacity building approach.

⁶⁹ AADMER integration/institutionalization is the process of integrating the provisions of AADMER into national laws and policies.

⁷⁰ Interview with high level government official, Quezon City, August 2014.

⁷¹ For additional sources on the Haiyan response, see: Mariko Hall & Adam Ashcroft, *Connecting and communicating after Typhoon Haiyan*, Forced Migration Review, Vol. 45 (February 2014), <http://www.fmreview.org/en/crisis/hall-ashcroft.pdf>; Tessa Kelly & Lucio Cipullo, *Typhoon Haiyan: Shaping the future of legal preparedness for international disaster relief*, Human Rights Defender, Vol. 23:1 (August, 2014), <http://search.informit.com.au/documentSummary;dn=258355963100808;res=IELHSS> and DSWs, IDMC, IOM and SAS, *The Evolving Picture of Displacement in the Wake of Typhoon Haiyan: An Evidence Based Overview*, May, 2014, <http://www.iom.int/files/live/sites/iom/files/Country/docs/The-Evolving-Picture-of-Displacement-in-the-Wake-of-Typhoon-Haiyan.pdf>.

⁷² See the section on concepts and terminology, pp. 1ff.

⁷³ Sources: AHA Centre, "Annual report 2013," 2013, pp. 28f.; Interviews with high-level ASEAN and Philippines government officials, August 2014.

Issues raised about ASEAN's response were its limited resources/manpower in comparison to the UN surge capacity and questions about of ASEAN's ambition to take over the roles of the international community in disaster response, particularly in terms of information management and coordination. Some respondents noted the fact that much of the humanitarian assistance from ASEAN countries had still come to the Philippines via bilateral channels, rather than through ASEAN and questioned the coordination function of ASEAN in that respect.⁷⁴

After Haiyan, ASEAN initiated a process of self-evaluation about its role during Haiyan, and the AHA Centre is working on a lessons learned document to analyze its response and improve its performance in the future. As capacity development theories describe, a real-world test of capacities is a good opportunity to assess which capacities work and how they can be retained, and to identify existing gaps, which need to be tackled in future capacity building initiatives.⁷⁵

The Philippines is also working on incorporating the lessons learned from Haiyan and other recent disasters. Some issues highlighted by respondents were challenges with logistics given the magnitude of the disaster; gaps in coordination, in particular civil-military coordination in the field; and capacity gaps on the local level in dealing with large-magnitude disasters. Based on experiences with Haiyan, the disaster management law itself is currently under review. The NDRRMC and the ministries involved are also currently working on developing national response plans for particular hazard scenarios and on developing a pre-disaster risk and damage assessment working group that models the principal impacts of specific hazards to enable pre-positioning of relief supplies.⁷⁶

Although not directly related to Haiyan, the Philippines is also on the verge of passing a law on internal displacement. The Act Protecting the Rights of the Internally Displaced is a comprehensive IDP law that also includes persons displaced by natural disasters and will likely strengthen focus on a rights-based approach to disaster risk management. The Commission on Human Rights will be responsible for institutionalizing the bill and is currently conducting capacity building by organizing 13 training courses for the commission staff as well as field testing monitoring systems for IDPs.⁷⁷

Given the large number and variety of disasters that both Indonesia and the Philippines have confronted in the last decade, both countries have invested in and built DRM capacity in significant ways. Capacity building seems to have borne the most fruits at the national level and respondents in both countries highlighted the positive developments in the NDMOs, while also pointing out challenges in mainstreaming capacity gains to the

⁷⁴ Interviews with UN, civil society, donor representatives and government officials in Manila and Jakarta, August 2014. For critical articles about ASEAN's Haiyan response, see for example Jeffrey Wright, "Wherefore Art Thou ASEAN? Typhoon Haiyan's Teachable Moment," *Council on Foreign Relations*, November 20, 2013, <http://www.cfr.org/philippines/wherefore-art-thou-asean-typhoon-haiyans-teachable-moment/p31920> and Stephen Keithley, "ASEAN Slowly Gets Up to Speed on Haiyan," *The Diplomat*, November 23, 2013, <http://thediplomat.com/2013/11/asean-slowly-gets-up-to-speed-on-haiyan/>.

⁷⁵ See Amartunga, op cit.

⁷⁶ Interview with high level government official, Quezon City, August 2014.

⁷⁷ Interview with Human Rights Commission official, Quezon City, August 2014.

regional and local levels. From the NDMO's structure, the Philippine model sees a stronger leadership function for the military, with the Office of Civil Defense leading the NDRRMC, while BNPB is a civilian agency. In the NDRRMC, different slices of the disaster management cycle are then led by different line ministries, while BNPB is responsible for all DRM functions within the cycle. As NDRRMC includes civil society representatives, civil society seems better integrated within DRM decision and policy making, while in Indonesia, civil society seems rather to have a support and consultative function, mainly through the National Platform on DRR (Planas DRR).

In terms of capacity building, both agencies have functioning training management systems to provide DRM training and organize exercises for all levels of stakeholders. These trainings are supplemented by other capacity building initiatives carried out by international and regional actors, so ASEAN is one of a number of training providers. Still, the strong interest and support for ASEAN's training activities, in particular for the development of ADTRAIN shows that NDMOs see the benefits of consolidating ASEAN-wide DRM knowledge and skills. Particularly in Indonesia, the impression was that BNPB felt it could make important contributions to an ASEAN-wide training network, so training was not necessarily seen as a one-way road from ASEAN to the NDMOs.

As both Indonesia and the Philippines have state of the art disaster management laws and policies which already incorporate many of the aspects highlighted by AADMER, AADMER institutionalization is not seen as too much of a challenge by the NDMOs, which may not be the case in all ASEAN member states.

ANALYZING ASEAN'S CAPACITY BUILDING EFFORTS

NDMO-ASEAN cooperation on capacity building

There is no question that AADMER is a highly ambitious framework. It is legally binding for ASEAN member states, comprehensive in terms of incorporating all stages of DRM, and timely as it acknowledges latest frameworks and developments in DRM, such as the Hyogo Framework for Action. This section assesses some strengths and weaknesses of ASEAN's capacity building approach, with a focus on the cooperation of ASEAN institutions and NDMOs in building DRM capacity in Southeast Asia.

The NDMOs play an important role in the shaping and implementation of AADMER. They are represented in both the ACDM and in ministerial role at the COP and have decision making authority on the AADMER framework, programming and priorities. Given ASEAN's principles of consensus-based decision making, every program under AADMER needs to have backing from all ten member states (or at least not be vetoed by any of them). Under AADMER, each member state needs to designate a focal point and one or more competent authorities for the implementation of AADMER, which in all ASEAN countries are NDMOs or relevant authorities/ministries with responsibilities for disaster risk management.⁷⁸ The NDMOs therefore bear responsibilities for all levels of AADMER implementation, both domestically and regionally.

AADMER expects member states to institutionalize the agreement at the national level. Institutionalization is defined as: "the process of absorbing or embedding AADMER within the disaster management systems in the ASEAN region and the society as a whole to implement and internalize AADMER towards reducing disaster losses and enhancing regional cooperation in disaster response."⁷⁹ After establishing a national focal point for AADMER implementation, member states are encouraged to create an enabling environment, for example, through establishing supportive policy and legal frameworks. The work program suggests as one of the first steps an analysis of challenges or gaps in implementation of AADMER and SASOP through a review of existing DRM policies, procedures and regulations. Second, it advises that member states integrate relevant activities of the work program into their DRM programs and action plans.⁸⁰ While national authorities are at the forefront of national AADMER institutionalization, ASEAN institutions provide support for implementation and monitor the implementation process. To do so, the ASEAN Secretariat with assistance of the AADMER Partnership Group (APG) and the IFRC developed a checklist to identify good practices, review the needs and identify specific support required.⁸¹ In addition, in cooperation with APG and NDMOs, ASEAN recruited AADMER Advocates from civil society within member

⁷⁸ For a list of NDMOs in ASEAN member states, see Annex I of this paper. In several cases the DRM activities are part of a wider ministerial bureaucracy and not an independent agency. In these cases we follow ASEAN's lead and designate the entire ministry/agency as NDMO.

⁷⁹ ASEAN Secretariat, *AADMER Work Programme Phase 1: Accomplishment Report*, 2013, p. 26.

⁸⁰ AADMER Work Programme 2010-2015, op. cit. pp. 74ff.

⁸¹ ASEAN Secretariat, *AADMER Work Programme Phase 1: Accomplishment Report*, 2013, p. 26.

states to serve as resource persons,⁸² and developed a framework for AADMER institutionalization in 2013 which supports the advocates with options and strategies to institutionalize and operationalize AADMER at the national level.⁸³

To facilitate implementation, ASEAN is also promoting partnership strategies with different actors, from the international community to civil society actors to support AADMER implementation. One partner that was formed by seven international NGOs to support AADMER implementation, is the AADMER Partnership Group (APG).⁸⁴ On the national level the APG worked particularly on raising awareness among government and CSO stakeholders about AADMER. Among other activities, this included the translation of the agreement into several local languages and the organization of AADMER orientation workshops in most ASEAN countries in cooperation with NDMOs.⁸⁵

NDMOs also play an important role in capacity building on the intra-ASEAN level, such as the development and socialization of SASOP, the training of ERAT members, and disaster simulations and exercises. Much of the work for NDMOs in this area also falls within the institutionalization processes discussed above. But compared to the national level, capacity building activities performed by ASEAN during the first phase of the work program (2010-2012) mainly focused on intra-ASEAN efforts. A range of institutions, from the AHA Centre to ACDM working groups, implement the training and capacity building activities which are supported by and/or carried out in partnership with donors and/or international humanitarian and development actors. Although these programs aim to increase the capacity of NDMOs and national DRM systems, they also focus on building DRM capacity within ASEAN. This does not mean that capacities built through those trainings might not be useful on the domestic level. Most of the intraregional training and capacity building initiatives have so far focused on preparedness and response, which is not surprising, given that the operational engine of AADMER, the AHA Centre, mainly focuses on those areas at the moment and regional capacities are mostly utilized in that area.

DRM is also a major issue outside of AADMER in ASEAN, particularly when it comes to issues of military engagement in disaster response and civil-military coordination. While a full discussion of these issues is beyond the scope of this report, it is important to highlight that AADMER and the ACDM play a key role in these efforts. ASEAN leaders in several ASEAN Summits encouraged military and civil-military sectors and mechanisms to synchronize their policies using AADMER as the common platform.⁸⁶ In

⁸² AADMER Partnership Group, “CSO AADMER Advocates: Your Friendly Regional Champions,” January 28, 2014, <http://www.aadmerpartnership.org/cso-aadmer-advocates-your-friendly-regional-champions/>.

⁸³ ASEAN Secretariat, *AADMER Work Programme Phase 1: Accomplishment Report*, 2013, p. 26.

⁸⁴ ChildFund International, HelpAge International, Mercy Malaysia, Plan, Oxfam, Save the Children, World Vision.

⁸⁵ AADMER Partnership Group, *Evaluation Report 2013*, 2014, http://www.aadmerpartnership.org/wp-content/uploads/2014/02/APG-Ph.2-Eval-Report_Final.pdf.

⁸⁶ Other platforms and mechanisms that deal with Humanitarian Assistance and Disaster Relief (HADR) are the ASEAN Regional Forum, ASEAN Chiefs of Defence Forces Informal Meeting, ASEAN Defence

regard to civil-military coordination, aside from the simulations and exercises already mentioned, ASEAN held ASEAN Military HADR table-top exercises in 2011 and 2013. ASEAN Chiefs of Defense Informal Meeting adopted the SOP for the Utilization of Military Assets for Humanitarian Assistance and Disaster Relief (HADR) under the Framework of AADMER.⁸⁷ Nonetheless, the full integration of these various mechanisms is still seen as a major issue within ASEAN, with several respondents remarking that civil-military coordination within ASEAN needed to be improved. The SASOP Chapter VI that was to deal with the facilitation and utilization of military assets was deleted by the ACDM in 2011, as it considered that all other chapters were relevant for both civil and military assets (although the opportunity to add Chapter VI at a later point was not precluded by the ACDM.)⁸⁸

The ACE program seems to be an interesting hybrid case that both aims to directly equip NDMOs and also to develop intra-ASEAN capacities. The program offers trainings on technical as well as soft skills and seeks to develop future leaders of NDMOs and ASEAN DRM institutions. Certainly one of the most interesting features of the ACE program is that NDMO professionals from all ASEAN countries participate in the program for half a year, during which time they also work at the AHA Centre. As a result, participants develop strong relationships and networks with ASEAN disaster managers and their counterparts from other NDMOs. During the program, they also learn about the DRM systems of the other ASEAN countries as well as about ASEAN's systems work, which is very useful in helping to improve regional DRM integration once they have returned to their posts.

There seems to be a strong interest by both NDMOs and ASEAN institutions to move forward and intensify cooperation on training and capacity building through the formation of ADTRAIN, the creation of a roster of trainers and the planned review of training certification systems.⁸⁹ Through these efforts, ASEAN might also include actors, such as universities, think tanks or other regional training institutions such as the Asian Disaster Preparedness Center that have so far been left out of the training process. Through creating and expanding ADTRAIN, ASEAN also has the opportunity to support member states that have little DRM training capacity as they establish new and improve existing DRM training capacities.

Ministers' Meeting Plus, ASEAN Defence Ministers' Meeting, East Asia Summit. ASEAN Secretariat, AADMER Work Programme Phase 1: Accomplishment Report, 2013, p. 43.

⁸⁷ *Ibid.*, p. 23.

⁸⁸ *Ibid.*, p. 23.

⁸⁹ The core members of ADTRAIN are the following institutions: Disaster Management Education and Training Center, National Disaster Management Agency; (BNPB), Indonesia; Research Center for Disaster Mitigation (RCDM), Bandung Institute of Technology (RCDM-ITB), Indonesia; Office of Civil Defense-Department of National Defense (OCD-DND), Philippines; Singapore Civil Defence Force (SCDF), Singapore; Civil Defence Academy (CDA), Singapore; Disaster Prevention and Mitigation Academy, Department of Disaster Prevention and Mitigation (DDPM), Thailand; ASEAN Centre for Humanitarian Assistance on disaster management (AHA Centre); ASEAN Secretariat; and the AADMER Partnership Group (APG). See AADMER Partnership Group, "The ADTRAIN gets rolling," January 28, 2014, accessed September 30, 2014, <http://www.aadmerpartnership.org/the-adtrain-gets-rolling/>.

Support for capacity building of ASEAN institutions, particularly for the AHA Centre seems to have come mostly from international actors, such as UN agencies, INGOs and donors (ASEAN calls them dialogue partners) with relatively little capacity building support from NDMOs. This could largely have to do with the fact that many of the technical systems that ASEAN employs are different than those used by NDMOs, and that the Centre is mainly oriented toward replicating international best practice. Still, it could also be part of a mindset that sees capacity building as a one-way road from the regional to the national. NDMOs' strong interest in developing ADTRAIN and integrating more fully in the training and capacity building domain shows that at least some NDMOs see that they have important future contributions to make. The impression is that ASEAN, in the first phase of implementing AADMER, tried to get the regional systems surrounding response capacity and the AHA Center running and for that purpose considerable outside support was needed. Once that knowledge base and skills have been created within ASEAN and NDMOs, those trained early on can become resource persons for future training and capacity building activities. Thus, the creation of a pool of trainers is an important initiative. It will be interesting to see what contributions NDMOs make when training shifts to other strategic areas of the work program such as prevention, mitigation and recovery during the second phase of the work program implementation.

ASEAN's egalitarian capacity building approach towards NDMOs means that trainings and workshops include and are provided for all member states. While this certainly creates buy-in from all member states with regard to ASEAN's activities, given the differences in capacity of NDMOs in the region, it would be interesting to see more creative ways of giving particular support to NDMOs with less capacity from ASEAN (or facilitated by ASEAN) in the future.

On the global level, ASEAN can also be an important partner to other regional organizations that might be interested in either learning from ASEAN's experiences or sharing their own experiences with ASEAN. ASEAN is already engaged with a number of regional actors, including the European Union, ECOWAS and SAARC. The EU system is further developed than ASEAN's and is therefore an interesting point of comparison for ASEAN. The EU has supported experience sharing efforts with ASEAN, including a visit of ASEAN disaster managers to EU DRM facilities. ASEAN's development in DRM, particularly the AHA Centre has become of interest for other regional organizations-. ASEAN and ECOWAS engaged in an exchange program, with an ECOWAS delegation visiting Jakarta in April 2014.⁹⁰ A SAARC delegation will visit ASEAN in December 2014.⁹¹

In terms of Crisp et al.'s model of capacity building we can see that capacity building within ASEAN and between ASEAN and NDMOs is utilizing three of the four approaches outlined.⁹² The top-down organizational approach (changing agency policies

⁹⁰ King's College London, Humanitarian Futures Program, "ECOWAS-ASEAN Exchange," accessed October 21, 2014, <http://www.humanitarianfutures.org/forewarn/ecowas-asean-exchange/>.

⁹¹ Interview with high level ASEAN representative, August 2014.

⁹² Crisp B.R., Swerissen H., Duckett S.J., "Four approaches to capacity building in health: consequences for measurement and accountability," *Health Promotion International*, 2000, S 15(2):99-107.

or practices) is used within ASEAN through the creation of the AHA Center and wider AADMER DRM structures. In terms of NMDOs and national policies, AADMER institutionalization might necessitate a number of changes in laws and policies of member states. ASEAN has worked with a number of partners, including the IFRC and APG to support the process of institutionalization.

The bottom-up organizational approach (where skills are provided to staff) has also been successfully used by ASEAN, with most training programs and exercises targeting national DRM agencies and systems. As the initial focus was on getting ASEAN's regional systems up and running, training activities have mostly focused on preparedness and response.

An important part of capacity building in ASEAN under AADMER is also the partnerships approach (strengthening the relationships between organizations), both through joint work in ACDM and ACDM working groups as well through joint training courses (in particular the ACE program) which supports collaborative relationships and knowledge sharing between ASEAN NDMOs.

Given the way AADMER and its work program are organized, DRM capacity building has thus far mostly focused on the ASEAN-NDMO axis. This does not mean that ASEAN is not encouraging civil society involvement, but the community organizing approach is not yet a significant part of ASEAN's repertoire of capacity building. Beyond raising awareness about regional DRM activities and the importance of DRM, (which ASEAN does) it is also questionable how far the limited resources of a regional organization can engage with community organizing on the level as this seems to be an area where national governments and civil society actors are more invested and suitable for this task.

Strengths of and challenges to ASEAN's approach to capacity building

Strength: A common vision for DRM in a diverse region

Challenges: Diverse member profiles; different capacities among NDMOs

One issue that makes development in the DRM sector in Southeast Asia challenging is the sheer diversity of ASEAN member states in term of their size, population, economic power and disaster risk. As we can see from table 1, population ranges from 400,000 (Brunei Darussalam) to almost 250 million (Indonesia), GDP ranges from US\$2,600 per person to US\$65,000 per person, with most of the countries with larger populations being low to middle income countries. In terms of disaster risk, Southeast Asia has some of the most at-risk countries in the world (Philippines, Cambodia, Brunei Darussalam, Vietnam, Indonesia, Myanmar) and others that are relatively safe (Singapore, Laos, Malaysia). There are also large differences with respect to national DRM capacities in the region and while ASEAN has helped to create a common vision for DRM, it could probably play a stronger role in facilitating capacity building for those NDMOs with weaker capacities in ASEAN.

Strengths: Ambitious with strong political backing

Challenge: Gap between realities and expectations

As previously noted, AADMER is a very ambitious framework which reflects the acknowledgement among ASEAN member states that DRM is an important area for regional integration and the strong commitment to action. The structure of AADMER implementation, whereby member states' NDMOs play an important role, certainly contributes to buy-in from member states. The overall impression, shared by several respondents, was that there is strong backing for AADMER on both the technical level of NDMOs as well as at the political levels. This might reflect ASEAN member states' general distaste for intervention into internal affairs with a vision of the regional response being at the frontline in major disasters – possibly able to supplant international actors at some point in the future. An ASEAN response is seen as being culturally more appropriate, and given that Southeast Asians are very diplomatic regarding direct criticism, is also seen as more acceptable politically. It is no surprise that Article 3 of AADMER puts a strong emphasis on the respect of the sovereignty of the parties as it clearly states that any assistance can only be given upon request of the affected party.⁹³

Still, it will be a long time before ASEAN will be able to supplant international humanitarian actors, as the experience from Haiyan has shown. To exemplify this we just need to look at the amount of support provided after Typhoon Haiyan: By December 28, 2013, the AHA Centre reported that cash donations to the Philippines by ASEAN member states were less than US\$4.5 million (although member states provided additional in-kind donations, personnel and logistics support) while UN OCHA reports overall funding of US\$538 million for the humanitarian response in the same period. The total value of AHA Centre support to the Haiyan response was US\$600,000 according to the 2013 Annual Report of the AHA Centre.⁹⁴

At this point it is not ASEAN's aim to supplant international humanitarian actors and the fact that this came up in the interviews suggests a gap between expectations on the part of some countries and the realities of the regional DRM framework.

Strengths: Building up wide-range of capacities in short time; professionalism

Challenge: In the middle of capacity building process

ASEAN's response to Haiyan also demonstrated that the organization was quite successful in building up a wide-range of regional capacities within a relatively short time-frame. Its relief goods stockpile in Malaysia, ERAT assessment teams, state-of-art disaster monitoring and information system and operational AHA Centre, demonstrate how much has been achieved during the first phase of AADMER implementation. Respondents were very positive about the commitment and professionalism of ASEAN Secretariat and AHA Centre's team. Obviously, given the rapid development of ASEAN's capacities, this is accompanied with certain growing pains. One respondent

⁹³ AADMER, Article 3.

⁹⁴ AHA Centre, Annual Report 2013, p. 29, UN OCHA, "Philippines, Typhoon Haiyan, Situation Report No. 27," December 26, 2013, <https://www.unhcr.org/hk/files/2014%20Emergency/Philippines/jan%208/OCHAPhilippinesTyphoonHaiyanSitrepNo27.27December2013.pdf>.

called this the ‘teething’ stage, yet ASEAN institutions are also aware that they are still in the process of building regional capacity.

Strength: Providing strong support to build regional, intra-regional and national DRM capacity

Challenge: Capacity building mostly seen as needed on regional and intra-regional level by NDMOs

Although ASEAN regional institutions are still in the process of developing their own capacity, they have already made important contributions to improving and building intra-regional and national DRM capacities. ASEAN’s capacity building programs for NDMOs seem to be well received and there was positive feedback from the national levels during our inquiry about the utility of capacity building initiatives under AADMER. Disaster managers found exercises and simulations particularly useful as they allowed NDMOs and military forces to familiarize themselves with SASOP and other regional standards and procedures. Respondents perceived the greater familiarity with ASEAN technology and procedures as well as solid knowledge about other member states’ DRM systems and capacities favorably. Nonetheless, training was seen as most useful when it pertained to introducing and streamlining regional procedures and mechanisms. Managers in NDMOs consulted for this study felt that most training needs for domestic disaster response could be addressed domestically. That being said, this assessment’s limitation in surveying Indonesia and the Philippines, which are both generally seen as possessing good national DRM capacity is not generalizable to countries with capacity challenges that might view ASEAN’s role in this regard differently). Nonetheless, the expansion of training activities, and creating a regional pool of DRM training institutions, trainers and a certification process for DRM skills were seen as a very positive initiative. Participants were hopeful that ASEAN and member states would create sufficient capacity to be able to fulfill most of the region’s DRM training needs.

Challenges: Resources and sustainability

Several of the challenges that ASEAN faces in developing DRM capacity are the result of the ambitious nature of AADMER. ASEAN does not yet have the resources to implement a work program of that scale and so far, the willingness of member states to financially support AADMER has not been sufficient. This has partly to do with ASEAN’s system of equal contributions which means that each member state provides the same financial contribution for a project. In terms of the AHA Centre, member states agreed on a meager US\$30,000 per country, which certainly falls far short of the ambitious goals that member states have for its institutions. However, this principle of equal contributions can be circumvented through donations by member states to the AADMER fund or by in-kind donations. This has occurred in the case of Malaysia, which contributed storage facilities for ASEAN’s emergency stockpiles and Indonesia which provided the facilities for the AHA Centre. Still, given the fact that the AHA Centre alone had a budget of over US\$5 million in 2013, it is obvious that most of ASEAN’s activities were funded by external donors. This indicates the significant good-will and support from the international community towards AADMER. Without this general financial and technical support, most of the successes of AADMER implementation would not have been possible. Nevertheless, this funding pattern raises questions – which were voiced by

interviewees – about the possibility of donor-centeredness of activities and the long-term sustainability of the program.

Strength: Strategic prioritization within the broad work program

Challenge: Communicating ASEAN's role to stakeholders

While ASEAN has shown a clear penchant for prioritization within the AADMER work program, some respondents felt that ASEAN was doing too much overall, while others thought it was doing too little, showing the importance of managing stakeholder's expectations. Much of the critique of ASEAN's response to Haiyan (limited resources/manpower, assistance more bilateral than via ASEAN, limited aid coordination function – see discussion about the Philippines above for more details) can be attributed to a lack of clear understanding and communication about ASEAN's role. Participants in a roundtable described this dynamic in saying, "ASEAN and the AHA Centre were not intended to comprise a traditional aid agency, involved in distributing assistance on the ground. Instead, ASEAN's humanitarian institutions are intended to provide information and, as appropriate, support the government of the affected ASEAN and humanitarian action where it is requested and able to do so."⁹⁵

Challenge: Intersectoral cooperation

DRM is a field that affects many different sectors, including security, health, finance, etc. While there is no question that AADMER is the leader on DRM in ASEAN, there are many issues where cooperation is needed between different sectors, both in ASEAN and within the governments of member states. AADMER implementing institutions have tried to bring together different sectors in ASEAN on certain projects. For example, ASEAN's initiative on disaster risk finance and insurance successfully brought together three sectors to adopt a joint roadmap. Still, there are more than 20 sectors in ASEAN that should be engaged in the implementation of the AADMER work program. It is a large task for existing institutions to engage and coordinate all sectors and this challenge was identified in the mid-term review of the AADMER work program.⁹⁶

AADMER can play a particularly important role in highlighting the importance of integrating DRM and climate change adaptation policies and plans, as there are multiple intersections between those issues and integration in the member states is still in the early stages. ASEAN recognizes this role and has applied it to the AADMER work program, however, the mitigation and prevention component has been delayed, possibly due to the AHA Centre's focus on response.

⁹⁵ Steven A. Zyck, Lilianne Fan and Clare Price, *ASEAN and humanitarian action: progress and potential: Jakarta expert roundtable*, Humanitarian Policy Group and Center for Strategic and International Studies, 2014, <http://www.odi.org/sites/odi.org.uk/files/odi-assets/events-documents/5081.pdf>.

⁹⁶ ASEAN Secretariat, *AADMER Work Programme, Phase 1: Accomplishment Report*, 2013, p. 41.

Strength: AHA Centre

Challenge: Becoming the engine of AADMER

A significant determinant of AADMER's success will be the development of the AHA Centre, which has already started to become one of the key institutions in AADMER implementation. Respondents felt that after a slow start in getting it sufficiently staffed to fulfill its core functions, it has since developed very well. ASEAN was wise to give it a more narrow focus than the initial work program envisioned. Still, some respondents felt that the AHA Centre needs clearer terms of reference to prevent either overstretching of capacities through too many activities or opportunistic use of the center by ASEAN member states. On the other hand, while there is a risk of overstretch, ASEAN might benefit from stronger linkages between the AHA Centre and areas of the work program other than the preparedness and response component which is currently the most dynamic area in AADMER implementation. As an institution that is responsible to the ASEAN member states, the center could also profit by more effectively representing ASEAN's diversity in its staffing priorities, which might be feasible through stronger support by regional governments. Finally, through its unique role as a communal institution within ASEAN, the center can also become not only the operational engine, but an engine of technical excellence and leadership within DRM integration in the region.

Strength: Good monitoring of the AADMER work program

Challenges: Monitoring of national progress; supporting shift from response management to disaster risk management

The area where the effectiveness of AADMER implementation is the most difficult to assess is the national level. While the implementation of AADMER includes a large body of institutionalization work to be done at the national level, there are little to no data about how that process is going. Discussions with NDMO professionals in Indonesia and the Philippines suggested that AADMER is perceived as a regional program rather than one having strong domestic components. In 2011, the ACDM decided to use the Hyogo Framework for Action Monitor as the outcome-based indicators to evaluate the achievements of AADMER, particularly in assessing the program on reduction for disaster losses which pertains to the national level.⁹⁷ Using these indicators seems to forestall regular AADMER-specific reporting requirements on national progress. Feedback delivered via the ACDM makes it very difficult for outsiders to assess in-country AADMER institutionalization. This does not mean that the ASEAN Secretariat does not strive to provide good monitoring and evaluation support for AADMER – as exemplified by the mid-term review – but it focuses the monitoring more on the regional and intra-regional aspects of the AADMER work program rather than on directly assessing national-level progress on AADMER implementation.

⁹⁷ AADMER Work Programme, Phase 1, Accomplishment Report, p. 36.

CONCLUDING THOUGHTS AND RECOMMENDATIONS

ASEAN has come a long way in building regional DRM capacity and supporting national DRM capacity building since the ratification of the AADMER treaty. AADMER is one of the most ambitious and comprehensive regional DRM treaties in the world. In a diverse region such as Southeast Asia, we can see what a multi-layered and complex process DRM capacity building is. ASEAN and member states have the opportunity to build a unique regional DRM system that is tailored to the needs of ASEAN member states and the people of Southeast Asia and to significantly reduce disaster losses.

In a world of rising number of disasters and changes in the quality of hazards linked to climate change, regional efforts to improve capacity for reducing risk and managing disasters are very important. Several people interviewed during the research for this report noted that even as the capacity of disaster managers was increasing in Southeast Asia, it was likely that the next disaster would be worse than any predictions and, would again overwhelm capacities. And for that reason, it is important to have international solidarity and capacities that can assist national and regional response. Having those capacities available regionally means that the response may be faster, cheaper and culturally more acceptable. It might even improve regional relationships and strengthen cooperation on issues beyond DRM.

This paper aimed at painting a broad-stroke overview of DRM capacity development in ASEAN with a particular focus on the cooperation of ASEAN and NDMOs in building DRM capacity. Its focus on only two out of ten ASEAN member states is just a partial picture of the full dynamics of DRM capacity building in a diverse region.

In conclusion, ASEAN has embarked on an ambitious DRM program through AADMER, which is one of the few binding single-issue DRM treaties in the world. The region's experience with major natural disasters and the successful role of ASEAN in the Nargis response have led ASEAN member states to take a significant step out of their 'comfort zone' to build capacity at the regional level. We have seen that capacity building in ASEAN is a multi-level process that includes a large number of stakeholders other than ASEAN institutions and NDMOs, but nonetheless, both are strong drivers of the capacity building process and their cooperation will go a long way in ensuring that gains are sustainable.

The achievements of capacity building are a question of perspective and timeline. While regional and intra-regional capacities have certainly increased since AADMER entered into force, many programs and initiatives are still in their early stages and remain at a small scale. For ASEAN to become a powerful humanitarian actor, it will need to grow and expand, requiring among other things, a larger financial commitment by its members. There was wide agreement among respondents that AADMER is a worthwhile program and that it deserved further support to fully develop its vision.

AADMER's parallels with international frameworks, standards and practices, hold the promise of improving DRM systems in ASEAN member states. Even given the 'Asian way,' it would be good to see ASEAN also take a stronger stance in guiding member states towards those frameworks, standards and practices, especially in terms of a rights-based approach to disaster risk management.

Unfortunately, it is difficult to assess the impact AADMER makes in building capacity in the member states as there are no quantifiable targets in the treaty and the monitoring process does not allow for any country to country comparisons. Therefore it is difficult to judge if AADMER really fulfills its aim of reducing losses from disasters in Southeast Asia.

Given the regional political constraints to successful DRM integration, ASEAN has come a long way in recent years. ASEAN's successes and challenges are important considerations for other regions that are in the process of developing regional DRM integration. Moreover, ASEAN makes an important contribution to a global discussion about regional integration in DRM and speaks to the added benefit that regional organizations bring to DRM.

To close, this paper will build on some of the discussion points in the previous section to formulate recommendations for a range of actors that play important roles in making AADMER a success. The author hopes that these recommendations will make the lively discussions that surround AADMER and its implementation even livelier and thereby make a tiny contribution to the success of the treaty and work program.

ASEAN

1. *ASEAN should continue to facilitate DRM capacity building on the national and local levels in partnership with a range of stakeholders, from NDMOs to civil society.* The development of ADTRAIN is an important first step to bundle regional DRM training capacity. ASEAN should keep an open mind to include actors that can contribute training expertise such as universities, think tanks, training institutions, and civil society actors. ASEAN should also facilitate the creation of national DRM training institutions in member states that have not yet developed those institutions. Special steps could be taken to support capacity building for member states that have weaker DRM systems. This could be done through linking national capacity building programs to AADMER institutionalization. For example, ASEAN could function as a bridge between donors and member states or facilitate exchange programs between institutions with stronger and weaker DRM capacity.
2. *ASEAN should strongly support the shift from reactive to proactive disaster management.* As most nations in Southeast Asia are currently working to institutionalize a shift from a response-based disaster management approach to a comprehensive disaster risk management philosophy, the components of risk reduction and prevention need to be strengthened throughout the region. ASEAN, as a champion of the HFA can play an important role to support that process and should facilitate member states to engage more in peer learning on those issues. Climate

change means that the integration of DRM and adaptation policies is increasingly important.

3. *ASEAN institutions should be more assertive on their mandates – and limits to those mandates – in terms of DRM.* As some of the critique to ASEAN's Haiyan response shows, some actors have unrealistic expectations on what ASEAN's mission and capacities are. While this might be hard to avoid, ASEAN institutions need to continue to engage in careful expectation management with AADMER's stakeholders. Setting clear boundaries of what ASEAN institutions are tasked for and able to deliver should be an important part of AADMER implementation.

ASEAN member states

1. *ASEAN member states should increase resources for AADMER implementation.* If ASEAN member states are really serious about developing a high-quality and sustainable regional DRM system, they need to provide sufficient resources for it to do so. The principle of equal contributions should not be an excuse to forego sufficiently funding regional mechanisms. With some creativity, considering options like in-kind support, contributions to the AADMER fund or funding of certain trainings/projects, countries which possess more resources or have a stronger interest in AADMER should be more able to support ASEAN's AADMER implementation.
2. *ASEAN member states should consider secondment of DRM professionals to the AHA Centre and/or ASEAN secretariat.* While the ACE program is a good first step toward bringing together DRM professionals to familiarize them with ASEAN's regional efforts, secondment to ASEAN institutions for longer periods (1-3 years) would further help to improve capacity of both regional institutions and NDMOs by increasing the interaction and communication between DRM professionals from different ASEAN countries.
3. *ASEAN member states should work together to establish a clear mid to long-term vision for DRM on the ASEAN level.* With the AADMER work program ending in 2015, member states and ASEAN institutions should come up with a mid to long-term vision for regional DRM. Specifically, this should include a discussion on how capacity gains can be made sustainable, on limitations of regional integration on DRM and the role ASEAN sees for itself within the international humanitarian community.

Donors/Dialogue partners

1. *Donors/dialogue partners should give additional support to peer learning activities among ASEAN NDMOs.* This could be done through supporting initiatives like the ACE program, experience sharing workshops, simulation exercises or even staff exchanges between NDMOs.
2. *Donors/dialogue partners should support the development of DRM training centers in ASEAN member states.* With the vision of an ASEAN-wide DRM training network and certification system in the starting blocks, this is a good time to support capacity building in those countries that don't have DRM training institutions yet.
3. *Donors/dialogue partners should give additional support to peer learning activities among regional organizations that engage in DRM.* The experiences of ASEAN might be very useful for other regional organizations that also engage in DRM

activities. On the other hand, ASEAN could benefit from engaging with other regional organizations working on DRM issues.

UN/INGOs

1. *The UN/INGOs should continue to support ASEAN's capacity building efforts.* In a world of overstretched international humanitarian capacities, regional actors could fill important gaps in the DRM system. Support in building capacity at this stage might pay back with dividends in the future.
2. *The UN/INGOs should continue their dialogue of where ASEAN and other regional organizations fit in the humanitarian system and how their capacities can be utilized best.* Most regional organizations are relatively new actors in the humanitarian community and it might take time and efforts to integrate them in the international system. Developing a shared understanding about the complementarity of roles and strengthening cooperation will help to increase effectiveness and forestall the possible creation of parallel structures.

Southeast Asian civil society

1. *Civil Society should support and monitor the AADMER implementation process on both national and regional levels.* Civil society actors should stay engaged or even become more engaged with ASEAN and the AADMER implementation process. They can be particularly helpful on the national level in supporting national AADMER implementation via national platforms or networks. They also can play an important role in monitoring NDMOs and other government institutions' efforts to institutionalize AADMER and might consider to develop mechanisms that provide for a clearer monitoring and reporting of the progress of member states in attaining the goal of minimizing disaster losses.
2. *Civil Society should consider holding a dialogue with ASEAN on how AADMER can bring tangible benefits for reducing disaster losses at the local level.* With AADMER having at its goal the reduction of disaster losses in Southeast Asia, civil society actors should engage with ASEAN and NDMOs on how AADMER plans and priorities can be translated to tangible changes on the local level.

ANNEX I – NDMOS REPRESENTED IN THE ACDM

Brunei Darussalam

NATIONAL DISASTER MANAGEMENT CENTRE

Ministry of Home Affairs, Berakas BB 3610 Bandar Seri Begawan, Brunei Darussala

Cambodia

NATIONAL COMMITTEE FOR DISASTER MANAGEMENT

Rue. 516 Sangkat Tuol Sangke, Khan Ruseykeo, Phnom Penh, Cambodia

Indonesia

NATIONAL DISASTER MANAGEMENT AGENCY

Ir. Juanda No.36 Jakarta 10110, Indonesia

Lao PDR

NATIONAL DISASTER MANAGEMENT OFFICE DEPARTMENT OF SOCIAL WELFARE

Ministry of Labour and Social Welfare Phangkham Road, PO BOX 374 Vientiane, Lao PDR

Malaysia

NATIONAL SECURITY COUNCIL

Perdana Putra Building Putrajaya 62502, Malaysia

Myanmar

RELIEF AND RESETTLEMENT DEPARTMENT

Building No. 23 Special Development Zone Naypyidaw City, Myanmar

Philippines

NATIONAL DISASTER RISK REDUCTION AND MANAGEMENT COUNCIL AND ADMINISTRATOR

Office of Civic Defense Camp General Aguinaldo, Quezon City, Philippines

Singapore

SINGAPORE CIVIL DEFENSE FORCE

Singapore Civil Defense Force 91 Ubi Avenue 4

Thailand

DEPARTMENT OF DISASTER PREVENTION AND MITIGATION

3/12, U-Thong Nok Rd Dusit, Bangkok, Thailand

Vietnam

DIRECTORATE OF DEPARTMENT OF DYKE MANAGEMENT AND FLOOD, STORM CONTROL

Ministry of Building A4, No 02 Ngoc Ha Str., Ba Dinh District Hanoi, Vietnam
