Module 4

Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities)

FACILITATOR’S NOTES

This module is part of the learning package on the Checklist: Scaling up disaster risk reduction in humanitarian action, the whole of which can be accessed here: https://www.undrr.org/publication/scaling-disaster-risk-reduction-humanitarian-action
Module 4 Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities) - Facilitator’s Note part of the learning package for implementing the Checklist 2.0: Scaling Up Disaster Risk Reduction in Humanitarian Action: Recommendations for the Humanitarian Programme Cycle

Please note: Optional module training content and/or questions are offered in red with the total time for each slide if the optional material is presented.

<table>
<thead>
<tr>
<th>Learning Module:</th>
<th>Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Time and Method</td>
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<tr>
<td>Dialogue</td>
<td>Welcome the participants to this training Module 04. If they have not already done so (in previous Modules), invite the participants to introduce themselves by name and agency – if in person, by going around the room; if online, by having participants write their info in the chat box. Tell the participants that the first part of the Module, Part A, will take approximately one hour, and that the second part, Part B, a small group exercise, will take about another hour to complete. Note that the overall objective is to ensure all participants have a clear understanding of: • the various Checklist recommendations for collaborating with H-D-P partners • the importance and value of drivers and underlying risk factors as potential entry points for DRR discussions with those H-D-P colleagues</td>
</tr>
<tr>
<td>Slide 1</td>
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</table>

It takes approximately 45-50 minutes to deliver Part A of this module using all PowerPoint slides and the accompanying small group work.

Note: Including the optional Q&As and the plenary case (Slide 17) increases the total time for Part A by an extra 20 minutes or a total of 65 minutes.

Part B, an in-depth, small group exercise, follows; it requires another 60 minutes to complete.

Plan on about 2 hours to run everything. If it is difficult to find two hours for the module, Parts A and B can be run separately.

The aim of the small group work at the end of the module is to ensure participants have a clear grasp of the underlying risk factors (the “pre-existing vulnerabilities” that characterize populations in their
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<table>
<thead>
<tr>
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<th>Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Time and Method</strong></td>
<td><strong>Content</strong></td>
</tr>
<tr>
<td>Presentation</td>
<td><strong>1 minute</strong></td>
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<td><strong>Slide 2</strong></td>
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<td><strong>Module 4.A.</strong></td>
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<td><strong>Presentation</strong></td>
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<td></td>
<td><strong>2 minutes</strong></td>
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<td><strong>Slide 3</strong></td>
</tr>
</tbody>
</table>
**Module 4 Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities)** - Facilitator’s Note part of the learning package for implementing the Checklist 2.0: Scaling Up Disaster Risk Reduction in Humanitarian Action: Recommendations for the Humanitarian Programme Cycle

<table>
<thead>
<tr>
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<th>Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Time and Method</strong></td>
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</tr>
<tr>
<td><strong>State</strong> that this section includes recommendations for:</td>
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<tr>
<td>1. Advancing DRR across H-D-P collaboration contexts</td>
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<tr>
<td>2. Enabling a principled, equitable, gender-responsive and human rights-based approach to DRR</td>
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<tr>
<td>3. Adopting a conflict-sensitive approach to DRR</td>
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<tr>
<td>4. Reducing risk at the local level</td>
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<tr>
<td><strong>State</strong> that efforts in these contexts are also critical for ensuring that DRR is a priority for all HDP stakeholders.</td>
<td></td>
</tr>
<tr>
<td><strong>Presentation</strong></td>
<td><strong>Slide 4</strong></td>
</tr>
<tr>
<td>3 minutes</td>
<td><strong>Show</strong> the slide and review the points.</td>
</tr>
<tr>
<td><strong>Stress</strong> the final point and its focus on collaborating with HDP colleagues to agree and work jointly on collective outcomes.</td>
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<tr>
<td><strong>Click</strong> to reveal and then <strong>read</strong> the text box that appears.</td>
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<tr>
<td><strong>Emphasize</strong> that producing agreement on longer-term collective outcomes represents a high level of collaboration. In agreeing on collective outcomes, agencies with short-term and longer-term</td>
<td></td>
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<tr>
<td><strong>Presentation</strong></td>
<td><strong>Slide 5</strong></td>
</tr>
<tr>
<td>2 minutes</td>
<td><strong>Show</strong> the slide.</td>
</tr>
<tr>
<td><strong>Show</strong> the slide.</td>
<td></td>
</tr>
<tr>
<td><strong>Review</strong> the main challenges reducing vulnerabilities and building resilience</td>
<td></td>
</tr>
<tr>
<td><strong>Review</strong> the proposed solutions.</td>
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</tbody>
</table>
## Module 4: Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities)

**Facilitator’s Note**

Part of the learning package for implementing the Checklist 2.0: Scaling Up Disaster Risk Reduction in Humanitarian Action: Recommendations for the Humanitarian Programme Cycle

### Learning Module:

<table>
<thead>
<tr>
<th>Time and Method</th>
<th>Content</th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>Ask</strong> a volunteer to read the statement taken from the UN Common Guidance.</td>
<td><strong>Note</strong> that the focus on collaborating on collective outcomes has become a key issue for many actors, both UN and non-UN.</td>
<td><strong>Click</strong> the blue info button to reveal the Scaling up Recommendations paper and tell participants that on page 14 are a few examples of collective outcomes that include a focus on DRR. Move to the next slide.</td>
</tr>
</tbody>
</table>

### Presentation

**3 minutes**

**Slide 6**

**Show** the slide.  
**Note** that the Grand Bargain urges collaborating on collective outcomes. Seven countries are now doing so under the guidance of the Secretary General’s Joint Steering Committee to Advance Humanitarian and Development Collaboration (JSC).  
**Click** on each of the three countries to reveal the examples that are drawn from the Scaling Up Recs paper, page 14. (Try not to get into a long discussion of how these outcomes are to be achieved – note simply that efforts are ongoing to identify them and work towards achievement.)

**Presentation**

**1 minute**

**Slide 7**

**Show** the slide and review the points.  
**Take** questions if participants volunteer them but **move** quickly to the next slide.

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### Module 4 Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities) - Facilitator's Note

*Facilitator’s Note* part of the learning package for implementing the Checklist 2.0: Scaling Up Disaster Risk Reduction in Humanitarian Action: Recommendations for the Humanitarian Programme Cycle

<table>
<thead>
<tr>
<th>Learning Module:</th>
<th>Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities)</th>
</tr>
</thead>
<tbody>
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<td><strong>Content</strong></td>
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<tr>
<td>Presentation</td>
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</tr>
<tr>
<td>1 minute</td>
<td><em>Show</em> the slide and review the points.</td>
</tr>
<tr>
<td>Slide 8</td>
<td><em>Take</em> questions if participants volunteer them but <em>move</em> quickly to the next slide</td>
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<tr>
<td>Presentation</td>
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<tr>
<td>3 minutes</td>
<td><em>Show</em> the slide and review the points.</td>
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<tr>
<td>Slide 9</td>
<td><em>Ask</em> the participants if any have worked at a local level with communities on DRR and mitigating risk? If there are positive responses, <em>ask</em> 1 or 2 participants to <em>briefly</em></td>
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<tr>
<td></td>
<td>• <em>Describe</em> the context of that work</td>
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<td></td>
<td>• What did they find to be most exciting about that DRR work?</td>
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<td></td>
<td>• What did they find to be most challenging?</td>
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</table>
## Learning Module: Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities)

<table>
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<tbody>
<tr>
<td>Presentation with Q&amp;A</td>
<td><strong>Show</strong> the slide and ask the participants individually to take a moment and reflect on the questions. After 20-30 seconds, <strong>ask</strong> if any participants have experience they would like to briefly share with the group. Take responses from 1 or 2 participants. Be sure they comment on whether or not they worked jointly with colleagues from other parts of the HDP? If they didn't, <strong>ask</strong> why. If they did, <strong>ask</strong> them how the collaboration went. Keep it to no more than 5 minutes.</td>
<td></td>
</tr>
<tr>
<td>Presentation</td>
<td>This slide is a milepost only. Note that we are going to focus now on one topic that interested nearly all HDP actors: vulnerabilities. Move on.</td>
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</table>
| Presentation  | **Show** the slide title and two text boxes. Give the participants a moment to review the boxes. **State** that humanitarian and development actors conduct many similar functions in their work with stakeholders and communities. There is no need to read each of the statements. Simply note both sets of actors:  
- Plan | |

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<table>
<thead>
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<th>Note</th>
</tr>
</thead>
</table>
| **Review** a few of the corresponding statements in each box and note how many of the functions that both humanitarians and development actors conduct - such as planning, preparing agreements, building capacities, conducting assessments, procuring resources – are functionally similar but differ primarily in the timing of when those actions are carried out. | | • Prepare  
• Build capacities  
• Assess situations  
• Mobilise resources |
| Then **click** once to reveal the question: **Where is the clear meeting ground here?**  **Ask** the participants to note which particular aspect of the functions shown here is clearly the same in each box? | | |
| When someone mentions "assessing vulnerabilities and capacities", **click once again** to reveal the two red boxes highlighting “vulnerabilities and capacities”. | | |
| **Stress** that humanitarians and development actors alike focus on vulnerabilities and that this is a critical element of information for planning both short-term humanitarian interventions and longer-term development programs. | | |
| **Click once again** to reveal the bridge and **state** that the focus on identifying vulnerabilities is a bridge between the two often-divided worlds of humanitarians and development actors, that vulnerabilities represent a key entry point for both sets of actors to sit at the same table and discuss what each is doing to address those vulnerabilities. | | |

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<table>
<thead>
<tr>
<th>Learning Module:</th>
<th>Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities)</th>
<th>Time and Method</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Slide 13</td>
<td>Finally, <strong>click</strong> the WFP logo and read the statement the UNDP logo and read the statement.</td>
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<td></td>
<td><strong>Note</strong> that these two agencies, one viewed as a highly-qualified emergency response agency and the other known to be a highly-qualified development agency, both highlight the importance of identifying vulnerabilities and using that knowledge to orient their activities.</td>
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<td></td>
<td><strong>State</strong> once again, as can be seen here, that humanitarian and development actors alike focus on vulnerabilities as a key part of their work, and that, in identifying those vulnerabilities, the options for addressing them – that is, for carrying out DRR actions – become much clearer.</td>
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<td></td>
<td><strong>Emphasize</strong> that this focus on a population’s vulnerabilities (and on its capacities as well) will be the focus of this module as well – for it is in identifying and addressing these vulnerabilities – what some refer to as “underlying risk factors – that real HDP collaboration can occur, and a consensus built with regard to which DRR actions are most appropriate at a given moment.</td>
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<td><strong>Option (time permitting):</strong></td>
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<td>After reviewing the slide, you might ask participants which of their organizations clearly focus activities on addressing vulnerabilities.</td>
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<td>Ask those who respond positively to provide a few actual examples</td>
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<td><strong>Workshop:</strong> Take their responses and write them on a flip chart.</td>
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<td><strong>If Online:</strong> Ask participants to enter their responses in the chat box.</td>
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<tr>
<td>Time and Method</td>
<td>Content</td>
<td>Note</td>
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<tr>
<td>Presentation</td>
<td><strong>Show</strong> the slide.</td>
<td><strong>Note</strong> that it is in designing response actions to address those “underlying factors” where DRR and mitigating actions can be discussed and agreed.</td>
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<td>2 minutes</td>
<td><strong>Emphasize</strong> that the “underlying (risk) factors” or pre-existing <em>vulnerabilities</em> (that are identified during the HNO/JIAF and in other equivalent planning processes) will be used to identify main response objectives, select the most appropriate response options and also inform decisions about collective outcomes.</td>
<td><strong>Click</strong> one final time to reveal the speaker and the second “bubble”.</td>
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<tr>
<td>Slide 14</td>
<td><strong>Click</strong> once to reveal the speaker and read the “bubble”: “<strong>DRR entry point, yes? An opportunity to discuss mitigating actions.</strong>”</td>
<td><strong>Stress</strong> that these opportunities can work only if those advocating for DRR and mitigating actions actually have “a seat at the table” – that is, at the various HCT or cluster or HRP (or equivalent) preparation meetings where actions to address existing vulnerabilities are likely to be considered.</td>
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<td><strong>Note</strong> that it up to all of the participants (“<strong>all of you</strong>”), to each stakeholder to ensure that the voices for DRR are present, “at the table”, and <em>heard</em>.</td>
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Module 4 Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities) - Facilitator’s Note part of the learning package for implementing the Checklist 2.0: Scaling Up Disaster Risk Reduction in Humanitarian Action: Recommendations for the Humanitarian Programme Cycle

Learning Module: Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities)

<table>
<thead>
<tr>
<th>Time and Method</th>
<th>Content</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Presentation</td>
<td>Show the slide title and remind the participants that working collaboratively with H-D-P colleagues offers a unique opportunity to understand more fully the root causes of disaster impacts in their countries. Click to reveal the first bulleted point and note that a key part of this collaborative process is the identification of the main risk drivers and “underlying factors” conducted in order to set intervention priorities and make strategic decisions about collective outcomes. Note that the terms “underlying factors” and “pre-existing vulnerabilities” are more or less synonymous; they refer to “The conditions determined by physical, social, economic and environmental factors or processes which increase the susceptibility of an individual, a community, assets or systems to the impacts of hazards” – the definition of vulnerabilities that was covered in Module 1. Click once again to reveal the second bulleted point and note that it is through working collaboratively with HDP colleagues that we can being to understand the “interlinkages” or “cross-sectoral” impacts that may be compounded by the various sectoral needs and underlying factors. Emphasize that the effort to get interlinkages is an approach that highlights the importance of systems thinking and considers issues as a whole, across sectors, to understand the full range of underlying factors that collectively influences humanitarian conditions and how situations in one sector can influence or impact other sectors as well. State that a major aim of this approach is to build synergies across sectors so as to tackle complex issues using inter/cross-sectoral...</td>
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<table>
<thead>
<tr>
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<th>Content</th>
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</tr>
</thead>
</table>
| **interventions and achieving inter-related humanitarian/development goals and targets.**  
**Click** once again to reveal the third bulleted point and **note** that the output of collaborating on risk analysis and of the identification of drivers and pre-existing vulnerabilities is intended to inform critical decisions such as:  
**What collective actions could help prevent occurrence of needs or mitigate risks?**  
**Stress** that this is, perhaps, one of the most opportune points in the HNO/HRP process (and equivalent processes) for enabling dialogue about DRR among HDP collaborators, and for the key question to be posed: how can we mitigate risks?  
**Click** again to reveal the DRR Entry Point arrows. **Stress** that in collaborating on this critical part of the disaster risk management process, there are ample opportunities for dialogue about DRR, mitigating action, and reaching consensus about desired, collective outcomes. | | |
| **Presentation with Q&A**  
3 minutes  
8 minutes with option Slide 16 | **Show** the slide title and definition of risk drivers.  
**Note** that in the HPC, “risk drivers” are those processes or conditions that impact the level of disaster risk by increasing a population’s vulnerabilities (or by decreasing that population’s capacities).  
**Click** to reveal the list of drivers.  
**Note** that the list can include both negative and positive drivers. | |
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<table>
<thead>
<tr>
<th>Time and Method</th>
<th>Content</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Option (time permitting):</strong></td>
<td>After reviewing the slide, you might ask participants which of the risk drivers shown here apply to their countries – or if there are other drivers that they believe should be added to the list.</td>
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<tr>
<td><strong>Workshop:</strong></td>
<td>Take their responses and write them on a flip chart.</td>
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<tr>
<td><strong>If Online:</strong></td>
<td>Ask participants to enter their responses in the chat box. (This option will likely add an extra 5 minutes to the session.)</td>
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<tr>
<td><strong>Presentation with Q&amp;A</strong></td>
<td>Show the slide title and table of underlying factors.</td>
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<tr>
<td><strong>3 minutes</strong></td>
<td><strong>Note</strong> the table lists factors that commonly influence humanitarian outcomes and needs. <strong>Tell</strong> participants that the table is from the HNO JIAF process and is the JIAF’s way of categorizing underlying factor, grouping them into the 5 categories shown here.</td>
<td></td>
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<tr>
<td><strong>Slide 17</strong></td>
<td><strong>Explain</strong> briefly that the various categories. <strong>Note</strong> that:</td>
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</tbody>
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- **“Availability”** refers to the status of material goods or services that are needed to survive and thrive. The physical lack of essential goods and services implies a higher level of vulnerability.
- **“Access”** refers to both “physical” access (e.g. can the affected reach higher ground in a flood zone) and “purchasing power” (e.g., can the affected buy/borrow/procure critically needed goods?). Lack of access implies a higher level of vulnerability.
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<table>
<thead>
<tr>
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<tr>
<td>“Quality” refers to whether or not needed skills are present and adequate, critical inputs (water, medicines, etc.) are in acceptable condition, essential services are reliable and functioning properly, etc. Lack of quality implies a higher level of vulnerability.</td>
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<tr>
<td>“Use” refers to whether or not the population has the appropriate knowledge, skills, and attitudes to develop or make use of available goods or services. The inability to make use of these goods or services implies a higher level of vulnerability.</td>
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<tr>
<td>“Awareness” ability to receive and understand critical messages about the situation at hand. Populations unable to receive and/or understand warnings or other messages are more vulnerable.</td>
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<tr>
<td><strong>Click</strong> once to reveal the red rings and the footnote. <strong>State</strong> that the categories used in the JIAF table are similar to the pillars of the food security framework used by WFP and FAO (which focuses on Availability, Access and Utilization (or “use”). Both frameworks focus on what goods and services are available in an affected area, can the affected population fulfill (“access”) its essential needs, and is that population capable of making use of those goods and services.</td>
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<tr>
<td><strong>Click</strong> once again to reveal the green ring and the footnote. <strong>State</strong> that the JIAF table’s “Quality” factor is similar to the 4th pillar of FAO’s food security framework: “stability”.</td>
<td></td>
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<tr>
<td><strong>Emphasize</strong> that in identifying which factors tend to increase a population’s vulnerability, humanitarian and development actors can have a credible</td>
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<thead>
<tr>
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<tr>
<td>Optional Exercise with Feedback</td>
<td>dialogue about which actions would be most appropriate to reducing or even eliminating negative underlying factors.</td>
</tr>
<tr>
<td>10 minutes</td>
<td>Optional Exercise</td>
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<tr>
<td>Slide 18</td>
<td><strong>Show</strong> the slide and read the title and instructions.</td>
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<td></td>
<td><strong>Tell</strong> the participants to read and reflect on the list health risk factors (which have been drawn from a country’s 2021 HNO). Give them a moment to do so.</td>
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<td></td>
<td><strong>After 30-45 seconds, ask</strong> participants the key question: “What collective actions would you propose to help prevent reoccurrence of needs or mitigate risks?” Remind them that this is one of the key questions that the HNO/JIAF (and other equivalent planning processes) aims to answer.</td>
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<td></td>
<td><strong>Workshop:</strong> Take quick responses from a few participants and write their responses on a flip chart.</td>
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<td></td>
<td><strong>If Online:</strong> Ask participants to enter their responses in the chat box.</td>
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<td></td>
<td><strong>Highlight</strong> those responses that aim at actual long-term risk and/or vulnerability reduction.</td>
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<td></td>
<td><strong>Note</strong> that an HRP based on this HNO would hopefully include not only actions to address short-term emergency health needs but also include proposals to address these underlying factors.</td>
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<td></td>
<td>Try to keep the time to about 10 minutes.</td>
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### Module 4 Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities) - Facilitator’s Note

**Part of the learning package for implementing the Checklist 2.0: Scaling Up Disaster Risk Reduction in Humanitarian Action: Recommendations for the Humanitarian Programme Cycle**

<table>
<thead>
<tr>
<th>Time and Method</th>
<th><strong>Learning Module:</strong> Foundations for HDP collaboration on DRR (with a Focus on Underlying Factors and Pre-existing Vulnerabilities)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Module 4.B.</strong> Small Group Exercise with Reports to Plenary</td>
<td><strong>Content</strong></td>
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</table>
| **Slide 19** | **Show** the slide and note that the rest of the Module – Part B – is dedicated to an in-depth exercise/  
**Note** that participants will now join small groups to work on a brainstorming exercise focused on proposing DRR actions for their own country/countries.  
**Review** that the aim is to recommend DRR actions based on actual underlying risk factors in a selected area of their country.  
**Divide** the participants into small groups of 3-5. If possible, organize small groups by country. If there are many more participants from a single country, form multiple groups each with participants from that country.  
**Tell** the groups they should each nominate a small group facilitator whose responsibilities are to:  
1. Encourage participation of all group members  
2. Be aware of the timing/deadline  
3. Ensure results are achieved by the deadline.  
**Tell** them they should also identify a reporter whose job it will be to report results back to plenary. (Reports should follow the instruction on the slide.)  
**Tell** them they will have about 25 minutes to discuss and then return to plenary to present their reports.  
**Ask** if there are questions on procedure. If so, answer them. If not, send them to their small group rooms or spaces. |
| **Note** | The exercise will work best if all members of each small group are from the same country. If they are from different countries, tell them they may “combine” the hazards and underlying factors that characterize various countries (as if working on one country) and suggest responses and DRR actions accordingly.  
If you find they need more time, give them an additional 5 minutes but do not surpass 30 minutes in total for the discussions. |
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<td><strong>Check</strong> in with the group facilitators at around the 30 minute mark to see if they are finished or nearly so. Adjust the exercise close accordingly – if they don’t need the full 40 minutes, close the exercise and <strong>bring them back</strong> to the plenary session for the group reports.</td>
<td></td>
<td><strong>Ask</strong> each small group reporter to present the underlying factors and the DRR actions that were identified by his/her group (i.e., their responses to tasks #2 and #4).</td>
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<tr>
<td><strong>Have all group reporters present</strong> before you take questions or comments from other participants as you will have only about 20-25 minutes for this feedback session.</td>
<td></td>
<td>As they report, <strong>take</strong> note of similar underlying factors reported by different groups and whether or not their proposals for DRR actions to mitigate those factors are similar or very different.</td>
<td></td>
</tr>
<tr>
<td>After all groups have reported, <strong>note</strong> clear similarities in DRR actions proposed for similar underlying factors.</td>
<td></td>
<td>Then <strong>highlight</strong> the cases where DRR actions proposed for similar underlying factors are significantly different.</td>
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<tr>
<td><strong>Ask</strong> the groups that proposed those differing actions for the same underlying factors what they believe are the reasons for those differences. Ask them to comment on the different actions proposed by the other groups: Would the the other groups’ actions also make sense in their selected hazards/situations? Why or why not?</td>
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<td><strong>End</strong> the feedback sessions by reminding the participants that identifying the vulnerabilities jointly with other HDP colleagues will greatly help all to collaborate on the identification of agreed collective outcomes and adjust strategic response priorities.</td>
</tr>
<tr>
<td><strong>Encourage</strong> them to review the HNO (or equivalent) in their country and determine if it clearly identifies the underlying risk factors – the vulnerabilities – that could lead to negative impacts should hazards occur.</td>
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<tr>
<td><strong>Thank</strong> the groups for their work and move to the next slide.</td>
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#### Presentation

1 minute

Slides 20-21

Briefly **present** the tools, noting their purpose.

**Presentation**

**Review** the wrap-up notes and thank participants for their work.
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<tr>
<td>1 minute</td>
<td>Slide 22</td>
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**Wrap-up**

1. HDP collaboration in DRR is built on the assumption of shared interests and mutual benefits.
2. Collaboration should aim to achieve common objectives.
3. Effective collaboration may include conflict-resolution in the identification of underlying factors and pre-existing vulnerabilities.
4. Collaboration should facilitate information sharing, transparency, and accountability.
5. Collaboration can enhance the capacity of areas within a country to address disaster risks.
6. Collaboration can lead to increased effectiveness and efficiency in addressing disaster risks.