

USAR Capacity Assessment Methodology User Guide

The International Search and Rescue Advisory Group (INSARAG)



*Draft – 12 March 2014*

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# Acronyms and Abbreviations

|  |  |
| --- | --- |
| BoO  CD | Base of Operations  Capacity Development |
| FCSS | Field Support Coordination Support Section |
| IEC | INSARAG External Classification |
| INSARAG | International Search and Rescue Advisory Board |
| LEMA  OCHA | Local Emergency Management Authority  United Nations Office for the Coordination of Humanitarian Affairs |
| RCA | Response Capacity Assessment |
| SOP | Standard Operating Procedures |
| Rebars | Reinforcing bars |
| TCA | Technical Capacity Assessment |
| ToR | Terms of Reference |
| UCA | USAR Capacity Assessment |
| USAR | Urban Search and Rescue |
| UOF | USAR Operations Framework |
| USF | USAR System Framework |
| UN | United Nations |
| UNDAC | United Nations Disaster Assessment and Coordination |
| UNDP | United Nations Development Programme |
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# Purpose

The purpose of this guide is to assist an assessment team in planning, executing, and reporting on an Urban Search and Rescue (USAR) Capacity Assessment.

Individuals selected to participate in USAR Capacity Assessment (UCA) missions are strongly encouraged to familiarise themselves with the contents of this guide, and Chapter G of the International Search and Rescue Advisory Group (INSARAG) Guidelines.

Any questions arising from this guide should be directed to the INSARAG Secretariat.

# Introduction



The United Nations (UN) General Assembly Resolution 57/150 of 16 December 2002 on “Strengthening the Effectiveness and Coordination of International USAR Assistance”[[1]](#footnote-1) emphasises the need to improve the efficiency and effectiveness of USAR assistance. A key factor in achieving this objective is the ongoing development of USAR capacity, especially within countries with a high risk of structural collapse from natural or technical disasters.

Countries may look to develop USAR capacity for domestic purposes only, or they may look to develop capacity with a view to becoming an international donor of USAR response assistance. Either way, countries are encouraged to develop USAR capacity in accordance with the INSARAG Guidelines. The INSARAG Guidelines, developed and practiced by emergency responders all over the world, serve to guide international USAR teams and disaster-affected countries during international USAR response operations, as well as providing guidance on how to develop USAR capacity.

A UCA aims to identify existing capacities and determine the required capacities according to the country’s USAR objectives. This provides an indication of the gaps between the current capacity and the required capacity, which in turn assists in defining the USAR capacity development (CD) strategy.

The INSARAG network provides unique access to a pool of experienced, qualified USAR experts that are able to conduct an assessment of existing capacity (mapped against needs), and who are then able to assist with the design and subsequent implementation of USAR CD initiatives.

The assessment of USAR capacity is a challenging process. This guide aims to assist assessors by providing a structured methodology to plan, prepare for, carry out, and report on a UCA.

# Scope of USAR Capacity Assessments



A country or organisation may request a UCA for a variety of reasons, examples include:

* Enhancement or further development of existing USAR capacity for domestic response purposes
* Enhancement or further development of existing USAR capacity for domestic and international response purposes
* Development of new USAR capacity for domestic response purposes
* Development new USAR capacity for domestic and international response purposes

Regardless of the underlying reasons for wanting to develop USAR capacity, the approach to the assessment is consistent although the content may vary somewhat as this is determined by the already-existing capacity.

## Why conduct a USAR Capacity Assessment?

There are several reasons why a UCA may be conducted, such as:

* It forms part of a process that supports a CD strategy
* The findings from the assessment influence the design, duration and cost of USAR CD projects
* It assists in identifying CD project priorities
* It provides a baseline of the existing capacity which enables tracking of progress as the project develops and therefore assists in project monitoring and evaluation
* It identifies the inputs or interventions required to achieve objectives
* It assists in determining the outcomes or indicators required to evaluate the project
* It serves as a catalyst for change and reform
* It promotes awareness of and support for the USAR CD initiative

## When should a USAR Capacity Assessment be conducted?

The ability of a recipient to receive aid – in this instance the development of USAR capacity – influences the scope (size, cost, duration) of a potential project. A UCA is a useful tool to assist in determining the scope of a potential USAR CD project so that it suits the environment in which it would be developed.

Sustainability of a CD initiative is always a high priority. Sustainability is influenced by ownership, and ownership is influenced by how aligned the project is to the needs of the recipient government. It is therefore important to ensure that an intended USAR CD project is aligned with the real needs of the local stakeholders as opposed to the perceived needs of well-meaning donors.

A UCA should be conducted to analyse the capacity needs prior to the design or initiation of a USAR CD project, or when it becomes apparent that major changes are required to an existing project.

It is important to note that the assessment process is an ongoing one and should be scheduled to occur at various key points throughout the project cycle.

## Who should conduct a USAR Capacity Assessment?

The UCA team should be a multidisciplinary one composed of members from INSARAG member countries interested in supporting the UCA. Ideally the team should be composed of individuals who represent the donor community and individuals who possess the relevant technical expertise to assess the five key components of an INSARAG USAR team – i.e. management, logistics, search, rescue and medical. All team members should have a thorough understanding of the INSARAG Guidelines, specifically Chapter G which deals with establishing a national USAR capacity.

Team members should possess a good understanding of working with government and should be:

* Culturally sensitive
* Gender sensitive
* Credible and suitably technically qualified
* Objective
* Good communicators

# USAR Capacity Assessment Process

The United Nations Development Programme (UNDP) Capacity Development Process consists of five steps:[[2]](#footnote-2)

1. Engage partners and build consensus
2. Assess capacity assets and needs
3. Define CD strategies
4. Implement CD strategies
5. Monitor and evaluate CD strategies

This UCA methodology has been developed in alignment with the UNDP Capacity Development Process and focuses on Step Two – Assess Capacity Assets and Needs – of the five step process.

The UNDP Capacity Assessment Framework identifies three key dimensions:[[3]](#footnote-3)

1. Points of Entry: Three Points of Entry are identified i.e. environment (sometimes referred to as to as institutional framework), organisation and individuals. All three levels are key components to consider when conducting an assessment of existing capacity and should be evaluated when looking to undertake CD initiatives. This UCA methodology focuses on the environment and organisations and to a lesser degree, the individuals.
2. Cores Issues: It is good practice to evaluate each of the core issues described below for each point of entry.
   1. Institutional arrangements
   2. Leadership
   3. Policy and legal framework
   4. Financial resources
   5. Human resources
   6. Physical resources (e.g. equipment, transport)
   7. Knowledge
   8. Mutual accountability mechanisms
   9. Ownership
   10. In keeping with the humanitarian principles, human rights and gender equality should be kept in focus at all times
3. Cross-Cutting Functional Capacities: All levels of capacity require certain degrees of functional and technical capacity. This is required for the development and sustainability of among others policy, legislation and strategy. UNDP prioritises the following:
   1. Engaging stakeholders
   2. Analysing the situation and creating a vision
   3. Formulating a policy and strategy
   4. Budgeting, management and implementation
   5. Monitoring and evaluation

This UCA methodology focuses on identifying and engaging all relevant stakeholders, analysing the situation and creating a vision agreed to by all concerned parties.

There are several stages required to enable the effective planning, preparation, carrying-out and reporting on a UCA. The success of each subsequent stage is directly influenced by the effectiveness of the previous stage. Therefore, each stage should be addressed appropriately with adequate resourcing and realistic timelines to optimise the success of the UCA.

## Request for a USAR Capacity Assessment

The INSARAG community will not initiate a UCA in a particular country or of a particular organisation. A UCA must be requested by either the government or the local UN office in that country following consultation with, and agreement by, the country’s government. Requests for a UCA should be directed to the INSARAG Secretariat.

### How to Contact the INSARAG Secretariat

The function of the INSARAG Secretariat is provided by the Field Coordination Support Section (FCSS) of the UN Office for the Coordination of Humanitarian Affairs (OCHA). For additional information, contact the INSARAG Secretariat at:

Office for the Coordination of Humanitarian Affairs

Field Coordination Support Section

Palais des Nations

CH 112 Geneva 10, Switzerland

Telephone: +41(0)22 917 1234 (Office Hours)

Facsimile: +41(0)22 917 0023

Email: [insarag@un.org](mailto:insarag@un.org)

## USAR Capacity Assessment Cost

There are generally two options for funding a UCA:

1. Donor funded: This occurs when interested donors agree to participate in, and financially support, a UCA. In these cases there is little to no cost for the requesting country. This is most often the case when the UCA is being conducted as part of a process for a future USAR CD project, usually for domestic USAR response purposes.
2. Host funded: This occurs when a country is looking to develop or enhance its existing capacity and has the financial means to do so; however, it requires some guidance and direction from the international USAR community. The country’s objective in developing this capacity may be for domestic as well as international USAR response purposes.

## Selection of USAR Capacity Assessment Team

The Team will be selected by the INSARAG Secretariat in consultation with interested stakeholders. The team members should provide for a balance of experience and expertise to assess the following two key areas:

1. USAR System Framework (USF): This takes into account stakeholders, government structures, legislation and policy; inter-ministry and inter-agency relationships; financial resources and budgeting; human resources, accountability, executive management and ownership of the USAR asset.
2. USAR Operational Framework (UOF): This takes into account the response and technical aspects of USAR operations and focuses on the five key components of an INSARAG USAR team i.e. management; logistics, search, rescue and medical.

The team may also include donor representatives as associate members who serve to ensure that the intended project is in line with their organisations’ CD objectives. The team may also include associate members from the local UN offices, host government and other relevant organisations.

Once the team has been identified, the INSARAG Secretariat will, in consultation with relevant interested stakeholders, select the UCA Team Leader.

Members of the UCA represent INSARAG and, as such, must uphold the principles and standards established by INSARAG. The UCA is to be conducted in an objective and non-biased manner.

# USAR Capacity Assessment Methodology

Chapter G of the INSARAG Guidelines serves as a reference to guide the development of national USAR capacity and, therefore, forms the basis of this UCA methodology.

Sustainable USAR capacities cannot be developed in isolation. USAR is a highly specialised, manpower- and equipment-intensive resource that is costly to develop and maintain. Therefore, it must form part of an integrated response system. In order for it to be sustainable, it requires a solid emergency response framework (Figure 1)[[4]](#footnote-4) on which it can be developed.

The USAR Development Cycle (Figure 2)[[5]](#footnote-5) recommends that countries should follow this development cycle when looking to develop USAR capacity.



Figure 1: The INSARAG response framework.



Figure 2: The USAR Development Cycle.

UCA team members should ensure they are well versed with the contents of Chapter G prior to commencing the assessment.

## Pre-USAR Capacity Assessment Activities

### USAR Capacity Assessment Terms of Reference

Once the UCA team has been selected and the UCA Team Leader identified, a draft Terms of Reference (ToR) will be developed. This draft ToR will be developed in close consultation with the local counterparts who will host and support the UCA.

Once the team arrives in country, one of the first orders of business will be to review the draft ToR, amend as necessary and finalise the ToR.

For an example of a generic UCA ToR, refer to Annex A.

### USAR Capacity Assessment Design

UCAs usually support local stakeholders. This enables local stakeholders to collect information on their existing capacity mapped against their objectives, and to understand what is required to achieve their objectives. Similarly, this enables the international representatives to conduct external assessments and develop an understanding of the strategic objectives and how this would influence potential future CD projects.

Within the context of the UCA, there are two broad categories of assessment which is determined by the recipient of the UCA.

* Donor Supported UCA: This occurs when the recipient country is reliant on the international donor community for the funding to develop USAR CD activities including among others, the design and delivery of training programmes, the procurement and supply of equipment and the establishment of a USAR system which will house the capacity once the project has reached the end of its lifespan.
* Expert Supported UCA: This occurs when the recipient country has the financial means to develop its USAR capacity however it lacks the expertise to do so and therefore, calls upon the international USAR community to provide this expertise, guidance and strategic direction on how best to proceed.

Regardless of whether the UCA is donor supported or expert supported, it should be designed in such a manner that it encourages and promotes local stakeholders participation as this will ultimately influence local ownership of the process which has a significant influence on sustainability. The design should also cater for the needs of assessors, potential project planners, managers and implementers.

The following key elements should be included in the design of the UCA:

* Identification of key stakeholders that need to be involved as team members, as associate team members, and as supporting staff
* Both institutional and operational elements of USAR should be catered for
* Assessment objectives should be determined and expectations should be clarified with the primary recipient and its sponsoring organisation
* The information collection and analysis method should be determined
* Realistic assessment limitations should be set based on resource availability and duration
* Critical areas should be identified for assessment in order to ensure mission success
* The required duration of the in-country assessment should be determined
* Roles and responsibilities should be assigned
* The required resources should be identified
* The funding mechanism should be identified

It is good practise to involve national stakeholders in the design of the UCA as this promotes awareness and encourages support and ownership of the process.

### USAR Capacity Assessment Scheduling

Taking into account local custom, religious and or other holiday obligations, the in-country assessment needs to be scheduled according to the pre-determined duration. A contingency of an additional few days should be included as it is always more efficient to extend the in-country assessment, if required, than to have to return at a later date.

The following factors need to be considered with regard to the UCA scheduling:

* The arrival date of the UCA team
* An internal meeting with the UCA team who will most likely be meeting-up for the first time
* Setting-up a meeting schedule with the relevant stakeholders. The importance of meeting the right person within the various stakeholder groups cannot be over-emphasised and, therefore, their availability should weigh heavily with regard to the scheduling. An example of potential stakeholders to meet with is included in Annex B. Local support staff are invaluable in assisting with this key element of assessment planning
* The scheduling of site visits to planned or existing operational bases, logistics support bases and training venues. Again, local support staff are invaluable in assisting with this key element of assessment planning
* The scheduling of a demonstration of existing capability, if such a capability already exists
* The inclusion of an extra day or two to be utilised as a part of a contingency plan should the need arise
* Departure date of the UCA team
* Draft UCA Report submission
* Final UCA Report submission

### USAR Capacity Assessment Support

In order to maximise the limited time available during the in-country assessment it is important to ensure there is local support to assist with the following:

* Transport to and from the point of entry and within the country, as required
* Hotel accommodation
* Access to office support (e.g. internet, printers, work stations)
* Scheduling of meetings, site visits and skills demonstrations
* Scheduling of follow-up meetings or rescheduling meetings with local stakeholders
* Local communications and internet access
* Providing insight into the local circumstances
* Translation (if required)

## USAR Capacity Assessment Activities

In order to ensure the UCA provides a realistic overview of the environment, it is imperative that the team review both the USF as well as the UOF. While it is generally easier to conduct the assessment of the operational capacity, the USAR system or intended USAR system, provides the environment in which the USAR asset will be developed, housed and maintained. Without an effective USF in place which is endorsed and supported at the appropriate political level, no USAR asset can be effectively sustained.

### Document Review

It may be possible to conduct a document review prior to arriving in country. The availability of documents is determined by the current state of development of the capacity and, therefore, in certain instances there may be very little existing documentation to review. If available, the type of documentation worth reviewing includes:

* The legislative framework providing the mandate for the delivery of USAR
* Financial support documents
  + Capital expenditure provision
  + Operational budgets
* Standard Operating Procedures (SOP)
* Incident risk analysis (e.g. earthquakes, landslides, tsunamis)
* Historical activity records
* Deployment and demobilisation plans
* Communications plans
* Personnel selection criteria
* Personnel training programmes
* Equipment cache inventories
* Equipment maintenance and repair plans
* Transport plans
* Any other documentation available that is deemed relevant

### USAR System Framework

The focus of the USF assessment is primarily the environment and the organisation. As previously mentioned, this component takes into account stakeholders, government structures, legislation and policy; inter-agency relationships; financial resources and budgeting; human resources, accountability, executive management and ownership of the USAR asset.

To assist in carrying-out the USF assessment, a USF Assessment Tool has been developed. While this tool is not all encompassing and neither will all elements always be relevant, it is intended to provide some guidance to the assessor. The USF Assessment Tool is available in Annex C.

### USAR Operations Framework

The UOF takes into account the response and technical aspects of USAR operations and focuses on the five key components of an INSARAG USAR team – i.e. management, logistics, search, rescue and medical.

The Response Capability Assessment (RCA) will ascertain a USAR team’s ability to deploy consistent with a response mission cycle, including:

* Receive notification of an emergency
* Decision process of “to deploy” or “not to deploy”
* Activation of the team
* Mobilise its resources and respond in a timely fashion
* Demobilise its resources
* Rehabilitation

The Technical Capacity Assessment (TCA) focuses on the teams’ actual technical ability to carry-out USAR operations. This may vary depending on whether the assessment is being conducted of an established team or of another response entity earmarked to develop USAR capacity.

The most effective way to carry-out this assessment is to conduct a site assessment of the logistics base and equipment cache and to observe a demonstration of the current technical capacity by way of a simulated exercise or practical skills stations.

The five key components of an INSARAG USAR team will drive this part of the UCA, namely:

1. Management
2. Logistics
3. Search
4. Rescue
5. Medical

## USAR Capacity Assessment Checklists

As has been previously mentioned, USAR capacity may be developed for domestic purposes only, or for domestic as well as international response purposes. The requirements of the two, particularly with reference to the RCA component, varies somewhat and, therefore, two separate checklists are offered to provide guidance to UCA team members. It must be noted that these checklists are not all encompassing and neither will all elements always be relevant.

### National USAR Capacity

An inter-regional meeting on “organizational and operational standards for capacity building of national USAR teams” took place in Geneva in 2010. An output of this meeting was the “Recommendations for organizational and operational standards for capacity building of national USAR teams.” These suggested organisational and operational standards for national USAR teams serve to guide to the CD of national teams to ensure common operational standards throughout the world. Also, this will assist in interoperability of national and international teams.

These recommendations serve as the UCA Checklist and are available in Annex D.

### International USAR Capacity

Although the INSARAG External Classification (IEC) Checklist has been designed for IEC classifier to conduct a classification of an international USAR team at either a Medium or Heavy capability, it is a useful tool to employ when conducting a UCA for a team looking to develop its USAR capacity for domestic as well as international response purposes.

A copy of the IEC Checklist is available in Annex E.

# Analysis and Reporting

## Analysis

Once the assessment has been completed, the UCA team are required to analyse the results. The UCA is designed as a qualitative rather than a quantitative analysis. Therefore the analysis requires the respective team members to utilise their knowledge and experience to provide the interpretation. The starting point for the analysis is the comparison of the existing capacity mapped against the required capacity. The team should attempt to group findings in thematic areas, e.g. management, financing.

It may occur that the analysis of results from different sources produces conflicting results. It is then up to the team to determine how best to deconflict this information, bearing in mind that this can be a sensitive task as the reasons behind the conflicting results may be due to conflicting agendas or priorities. In order to get a balanced overview, however, it is useful to obtain a variety of perspectives from varied sources. The Team Leader plays an important role in this regard as it must be determined which opinions carry more weight.

The combined use of the USF Assessment Tool and the UCA Checklists will provide an objective, logical and comprehensive overview of the baseline capacity and will assist in identifying the inputs and interventions required to meet the objectives. Furthermore, it will assist in determining the relevant outcomes and indicators that may be used to further evaluate capacity in future.

## Reporting

The United Nations Disaster Assessment and Coordination (UNDAC) Handbook, in its chapter on UNDAC Disaster Assessment Missions provides guidance on the preparation of a mission report. The following is an excerpt from Section 1.7 of that chapter:[[6]](#footnote-6)

* Division of duties should be made from the outset to cover the different chapters
* Report should be updated on a daily basis, especially on the less dynamic areas in chapters where data should be readily available
* When photos or illustrations are used, ensure they are relevant to the issues discussed and each must be captioned and the source cited
* Writing should be in a positive style; avoid being over-critical
* Whenever a recommendation is made in the body of the report it should be written after the relevant paragraphs, in italics and clearly numbered
* One person should be assigned to type the report on one pre-designated laptop
* Regular backups on an independent storage device – e.g. floppy disk, CD-ROM, memory stick – must be made to avoid loss of data in case of computer failure
* Before finalising the report, a consultation with local stakeholders is recommended to ensure that the recommendations that the team have reached are understood and foster local ownership. This will engender the required follow-through
* The whole team should be encouraged to take an active role in the preparation and final review of the report

The output of the UCA is a report. A template of the report layout is available in Annex F.

# Analysis and Reporting

The UCA and the needs identified by the UCA provide the starting point for identifying and designing CD projects. A UCA is not intended to be a stand-alone process. If this were the case, it would increase the risk of raising unrealistic expectations with regard to project deliverables, timelines and costs. The UCA should be considered as an intervention in itself and one of the key outputs of a UCA can be the raising of awareness and engendering buy-in and ownership for subsequent interventions. This all positively influences sustainability.

Any CD initiative, or UCA for that matter, is a challenging process. It is important that expectations and deliverables remain realistic and obtainable. The EuropeAid concept paper on Aid Delivery Methods[[7]](#footnote-7) suggests looking at your own organisation and how easy or difficult it is to understand how it works and how easy or difficult it would be to change it. This may provide a sense of realism regarding the feasibility of change implementation in the recipient organisation.

# Annexes

## Annex A: Generic USAR Capacity Assessment Terms of Reference

**INSARAG**

**USAR Capacity Assessment**

**[Insert country]**

**[Insert date]**

**Terms of Reference (ToR)**

**Background**

In furtherance of the UN GA Resolution 57/150 of 16 December 2002 on “Strengthening the Effectiveness and Coordination of international USAR Assistance,” and within the framework of regional USAR capacity building, the Government of [Insert name] has requested the INSARAG network to carry-out a USAR Capacity Assessment of its USAR capacity in order to identify targeted areas for support. This is to establish adequate USAR capacity in the country with the aim to be better prepared to meet country-specific risks caused by incidents or disasters that cause structural collapse and/or to develop an international USAR response capability.

**Aim**

The aim of the USAR Capacity Assessment is to evaluate existing USAR capacities, both at the environmental (institutional) and operational (response and technical) levels. This will assist in determining the requirement for support of USAR capacity development that corresponds to the risk profile and USAR objectives of in [Insert name].

**Purpose**

The Government of [Insert name] has requested the INSARAG network, through the INSARAG Secretariat, to identify potential stakeholders interested in providing support to the Government of [Insert name] in terms of USAR capacity development.

Accordingly, the Secretariat has identified INSARAG donor countries prepared to assist the Government of [Insert name] develop its USAR capacity. These include [Insert names].

**Objectives**

The team will:

* Develop an understanding of government legislation, funding and structure of USAR in [Insert name]
* Develop an understanding of the structure, including recruitment, staffing, call centres and incident management, of each of the various emergency disciplines
* Develop an understanding of past, current and predicated call volume activity of each of the various emergency disciplines
* Identify existing inter-agency command and control structures and funding mechanisms for major incidents and national disasters
* Identify key stakeholders including government, private and NGOs involved in the preparedness of and/or the delivery of USAR
* Develop an understanding of current training available to USAR teams and its funding mechanism
* Develop an understanding of current equipment available to USAR teams and its funding mechanism
* Identify, if any, existing donor/recipient relationships with regard to USAR in [Insert name]
* Develop an understanding of the role of the emergency service, police and military in the event of a major incident or national disaster
* Develop a written report with concrete recommendations of potential capacity development projects in [Insert name], including a suggested timeline and cost estimations
* Further develop and strengthen the links between the Government of [Insert name], INSARAG and the international donor community.

**Stakeholders**

The stakeholders participating in this scoping assessment include:

* Representatives from the UN Office for the Coordination of Humanitarian Affairs (OCHA)
* Representatives from [Insert international stakeholders name]
* Representatives from [Insert local stakeholders name]
* External Consultant(s)

**Expected** **Results**

Based on the assessment, the team will produce a mission report summarising the scoping mission findings and recommendations. The results will provide a basis for INSARAG donor countries and other donors who are interested to further investigate possibilities to support these types of USAR capacity development projects.

The recommendations will include the identification of concrete projects and recommendations for follow-up activities, requirements for funding and allocation of resources. It is anticipated that INSARAG donor countries participating in the mission will support these projects.

## Annex B: Suggested Stakeholder Meeting List

This list serves as guide only. It is not intended to be all encompassing and not all parties listed will always be applicable or available for discussions.

|  |  |
| --- | --- |
| **Environment** | |
|  | International Donors |
|  | International Implementers |
|  | National Government Representatives |
|  | Ministry Representatives  (E.g. Ministry of Interior, Ministry of Health) |
|  | UN Organisations  (E.g. UNDP, OCHA, WHO) |
|  | International Humanitarian Organisations  (E.g. Red Cross Red Crescent) |
| **Organisations** | |
|  | Military |
|  | Civil Defence |
|  | Fire Services |
|  | Rescue Services |
|  | Ambulance Services |
|  | Police Services |
|  | K-9 Services |
| **Individuals (from USAR if available or fire, rescue, ambulance services)** | |
|  | Team Leaders |
|  | Deputy Team Leaders |
|  | Planning Officers |
|  | Communications Officers |
|  | Training Officers |
|  | Search Managers |
|  | Rescue Managers |
|  | Medical Managers |

## Annex C: USAR System Framework Assessment Tool

The USAR System Framework Tool has been developed to help assessment team members obtain a comprehensive overview of the environmental (institutional) and organisation issues that will have influence on USAR CD. It is also intended to assist in compiling recommendations that are realistic when considered in the context of the prevailing circumstances.

The USAR System Framework Tool is available as an Excel spreadsheet. This tool is designed specifically to assist the assessment of the USAR System Framework. Checklists are provided to assist with the USAR Operations Framework, see Annex D and E. The following provides guidance on the use of the tool.

There are two tabs in the spreadsheet, namely “Environment – National” and “Organisation.”

The contents of the “Environment – National” tab addresses the following:

* National authority
* Policy and legal framework
* Government emergency response structure
* Inter-ministerial participation (if required)
* Funding model
* Human resources
* Physical resources
* Accountability and ownership
* INSARAG focal point
* Other

The tool requires to assessor to evaluate the following:

* Current situation
* Desired situation
* Required actions to achieve desired situation
* Required stakeholders to achieve desired situation

The user will note that there are certain cells in the Excel spreadsheet that have a red indicator located at the top right hand corner of the cell. Moving the cursor over this red indicator brings up a comment which provides additional guidance to the user as to what they should consider in the assessment.

For example: The comment for “National Authority – Current Situation” (Cell B12) states “Describe the current situation with regard to the national authority that has the mandate for USAR, or if in the case of this being a new capacity, describe the which national authority would be best suited to house the USAR capacity and state the reasons for saying so.”

The contents of the “Organisation” tab address the following:

* Leadership
* Policy and procedures
* Organisational structure
* Financial resources
* Human resources
* Infrastructure/resources
* Training
* Other

Each main category has several subsets to consider, for example:

* Training
  + Training programme (5 USAR components)
  + Training facilities – Classroom
  + Training facilities – Practical
  + Training resources
  + Simulation exercise schedule
  + Other

The tool requires to assessor to evaluate the following:

* Current situation
* Desired situation
* Required actions to achieve desired situation
* Required stakeholders to achieve desired situation

Similar to the “Environment – National” tab there are certain cells in the spreadsheet that have a red indicator located at the top right hand corner of the cell to provide additional guidance to the user of what they should consider in the assessment.

This USAR System Framework Tool is not all encompassing and neither will all aspects be relevant in all assessments. The tool requires the user to apply sound judgement based on their personal knowledge, skills and experience.

“Environment – National” tab:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **USAR SYSTEM FRAMEWORK Assessment Tool[[8]](#footnote-8)** | |  |  |  |
| **1. Environment (Institutional Framework)** |  |  |  |  |
| **National USAR Strategy** | Yes/No | If Yes, list it. |  |  |
|  |  |  |  |  |
| **National USAR Objectives** | Yes/No | If Yes, list objectives. |  |  |
|  |  |  |  |  |
| **Relevance for USAR Capacity** | Yes/No | If Yes, list why. |  |  |
|  |  |  |  |  |
| **Is USAR capacity national priority?** | Yes/No |  |  |  |
|  | **Current Situation** | **Desired Situation[[9]](#footnote-9)** | **Required Actions to Achieve Desired Situation[[10]](#footnote-10)** | **Required Stakeholders to Achieve Desired Situation[[11]](#footnote-11)** |
| **1.1 National Authority** |  |  |  |  |
|  | [[12]](#footnote-12) |  |  |  |
|  |  |  |  |  |
| **1.2 Policy & Legal Framework** |  |  |  |  |
|  | [[13]](#footnote-13) |  |  |  |
|  |  |  |  |  |
| **1.3 Government Emergency Response Structure** |  |  |  |  |
|  | [[14]](#footnote-14) |  |  |  |
|  |  |  |  |  |
| **1.4 Inter-Ministerial Participation (if required)** |  |  |  |  |
|  | [[15]](#footnote-15) |  |  |  |
|  |  |  |  |  |
| **1.5 Funding Model** |  |  |  |  |
|  | [[16]](#footnote-16) |  |  |  |
|  |  |  |  |  |
| **1.6 Human Resources** |  |  |  |  |
|  | [[17]](#footnote-17) |  |  |  |
|  |  |  |  |  |
| **1.7 Physical Resources** |  |  |  |  |
|  | [[18]](#footnote-18) |  |  |  |
|  |  |  |  |  |
| **1.8 Accountability & Ownership** |  |  |  |  |
|  | [[19]](#footnote-19) |  |  |  |
|  |  |  |  |  |
| **1.9 INSARAG Focal Point** |  |  |  |  |
|  | [[20]](#footnote-20) |  |  |  |
|  |  |  |  |  |
| **1.10 Other** |  |  |  |  |
|  | [[21]](#footnote-21) |  |  |  |
|  |  |  |  |  |

“Organisation” tab:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **2. Organisation** |  |  |  |  |
|  | **Current Situation[[22]](#footnote-22)** | **Desired Situation[[23]](#footnote-23)** | **Required Actions to Achieve Desired Situation[[24]](#footnote-24)** | **Required Stakeholders to Achieve Desired Situation[[25]](#footnote-25)** |
| **2.1 Leadership** |  |  |  |  |
| Vision, Mission, Goals |  |  |  |  |
| USAR Strategy |  |  |  |  |
| USAR Programme |  |  |  |  |
| USAR Programme Relevance |  |  |  |  |
| Performance Targets |  |  |  |  |
| Performance Management |  |  |  |  |
| USAR Programme Development |  |  |  |  |
| Governance |  |  |  |  |
| Accountability |  |  |  |  |
| Ownership |  |  |  |  |
| Governmental Support |  |  |  |  |
| Other |  |  |  |  |
|  |  |  |  |  |
| **2.2 Policy & Procedures** |  |  |  |  |
| Government Legislation |  |  |  |  |
| Organisational USAR Policy |  |  |  |  |
| USAR Standard Operating Procedures |  |  |  |  |
| Other |  |  |  |  |
|  |  |  |  |  |
| **2.3 Organisational Structure** |  |  |  |  |
| Organisational Design |  |  |  |  |
| Multi-agency cooperation (if required) |  |  |  |  |
| Inter-departmental cooperation (if required) |  |  |  |  |
| Multi-skill coordination (e.g., fire fighter day-today but USAR when activated) |  |  |  |  |
| Individual Position Description |  |  |  |  |
| Other |  |  |  |  |
|  |  |  |  |  |
| **2.3 Financial Resources** |  |  |  |  |
| Financial Planning |  |  |  |  |
| Financial Budgeting |  |  |  |  |
| Capital Expenditure |  |  |  |  |
| Maintenance and Repairs Budget |  |  |  |  |
| Procurement Budget |  |  |  |  |
| Salaries |  |  |  |  |
| Training |  |  |  |  |
| Deployment |  |  |  |  |
| Other |  |  |  |  |
|  |  |  |  |  |
| **2.4 Human Resources** |  |  |  |  |
| Team Structure |  |  |  |  |
| Staffing Levels |  |  |  |  |
| Staff Recruitment |  |  |  |  |
| Staff Development |  |  |  |  |
| Staff Retention |  |  |  |  |
| Staff Welfare (e.g., Salaries; Uniforms) |  |  |  |  |
| Other |  |  |  |  |
|  |  |  |  |  |
| **2.5 Infrastructure / Resources** |  |  |  |  |
| Office Space |  |  |  |  |
| Office Infrastructure (e.g., ICT, furniture) |  |  |  |  |
| Operational Base |  |  |  |  |
| Base Infrastructure (e.g., ICT, furniture) |  |  |  |  |
| Logistics warehousing |  |  |  |  |
| Equipment Cache |  |  |  |  |
| Transport |  |  |  |  |
| Other |  |  |  |  |
|  |  |  |  |  |
| **2.6 Training** |  |  |  |  |
| Training Programme (5 USAR components) |  |  |  |  |
| Training Facilities - Classroom |  |  |  |  |
| Training Facilities - Practical |  |  |  |  |
| Training resources |  |  |  |  |
| Simulation exercise schedule |  |  |  |  |
| Other |  |  |  |  |
|  |  |  |  |  |
| **2.7 Other** |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

## Annex D: Recommendations for Organisational and Operational Standards for Capacity Building of National USAR Teams

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Preparedness** | | | | | | **Remarks** |
| 1. **LEMA requirements** | | | | | |  |
| 1.1. The country shall have an INSARAG national focal point in the Government, which the USAR team has access to. | | | | | |  |
| 1.2. The Local Emergency Management Authority (LEMA)/INSARAG national focal point shall have the capacity to input information into the Virtual OSOCC. | | | | | | Not applicable for light teams. |
| 1.3 LEMA shall have a mechanism to mobilise available USAR teams nationally. | | | | | |  |
| 1.4. LEMA shall have the mechanisms and capacity to receive and integrate international USAR teams, when requested, with national USAR teams and other national response resources. | | | | | |  |
| **2. Administration** | | | | | | **Remarks** |
| 2.1. The national USAR team shall have an annual work plan. | | | | | |  |
| 2.2. The national USAR team shall have policies, procedures and regulations for functional, operational and financial processes. | | | | | |  |
| 2.3. If the national USAR team’s performance depends on collaboration with partners, it shall have formal agreements. | | | | | |  |
| **3. Decision Making** | | | | | | **Remarks** |
| 2.1. There shall be an effective communication system between the national USAR team and its LEMA to ensure timely decision making with regards to activation and deployment. | | | | | |  |
| **4. Staffing Procedure** | | | | | | **Remarks** |
| 4.1. An activation process for USAR team members shall exist. | | | | | |  |
| 4.2. Members of the national USAR team shall undergo a medical screening process | | | | | |  |
| 4.3. The national USAR team's search dogs shall undergo a veterinary screening process. | | | | | | Not applicable for light teams. |
| **5. USAR Team Structure** | | | | | | **Remarks** |
| 5.1. The national USAR team organisation shall be structured as recommended by the INSARAG Guidelines with regards to: | | | | | |  |
| 5.1.1. Management. | | | | | |  |
| 5.1.2. Logistics. | | | | | |  |
| 5.1.3. Search. | | | | | |  |
| 5.1.4. Rescue. | | | | | |  |
| 5.1.5. Medical. | | | | | |  |
| 5.2. The national USAR team shall have clearly defined work positions and responsibilities. | | | | | |  |
| 5.3. The national USAR team shall have sufficient personnel in its structure to work continuously as recommended by the INSARAG Guidelines. (Heavy USAR team: 24 hours operations for 10 days at two sites simultaneously; medium USAR team 24 hours operations /7 days at one site; light USAR team: 12 hours/3 days). | | | | | |  |
| 5.4. The national USAR team shall have the ability to be self-sufficient for the duration of deployment as recommended by the INSARAG Guidelines. | | | | | |  |
| **6. Training** | | | | | | **Remarks** |
| 6.1. The national USAR team shall have a training programme that prepares and equips personnel to operate in a USAR environment. | | | | | |  |
| 6.2. The national USAR team shall be able to appropriately interact with other USAR teams involved in the emergency, for instance the case of: | | | | | |  |
| 6.2.1. Other USAR teams offering help. | | | | | |  |
| 6.2.2. Other USAR teams requesting some specialised equipment. | | | | | | Not applicable for light teams. |
| 6.2.3. Other USAR teams requesting a part of the team to help them so that the team must be divided and work side-by-side with that team. | | | | | | Not applicable for light teams. |
| 6.2.4. Integrating and working alongside other emergency services during the operations. | | | | | |  |
| 6.3. The national USAR team shall be trained to interact with LEMA according to the local incident management procedure. | | | | | |  |
| 6.4. There shall be a continuous skills maintenance programme for the national USAR team. | | | | | |  |
| 6.5. USAR team and personnel training records shall be updated and maintained regularly. | | | | | |  |
| 6.6. The national USAR team shall have a training programme that prepares and equips the team’s search dogs, if applicable. | | | | | | Not applicable for light teams. |
| **7. Communications and Technology** | | | | | | **Remarks** |
| 7.1. The national USAR team shall have the ability to communicate: | | | | | |  |
| 7.1.1. Internally | | | | | |  |
| 7.1.2. Externally | | | | | |  |
| 7.2. The national USAR team shall use GPS technology or shall be able to apply GIS capacity (Mapping/grid system). | | | | | | Not applicable for light teams. |
| **8. Documentation** | | | | | | **Remarks** |
| 8.1. A system shall be in place to ensure all national USAR team members have the following personal documentation: | | | | | |  |
| 8.1.1. Valid national identification document. | | | | | |  |
| 8.1.2. Valid documentation to support right to clinical practice for medical personnel in the team, if applicable. | | | | | | Not applicable for light teams. |
| 8.1.3. Valid Search Dog Health Certificates/microchip record. | | | | | | Not applicable for light teams. |
| 8.2. The national USAR team management shall have the following team documentation: | | | | | |  |
| 8.2.1. USAR team personnel manifest/organisational chart. | | | | | |  |
| 8.2.2. USAR team Fact Sheet. | | | | | |  |
| 8.2.3. Emergency contacts details of team members. | | | | | |  |
| 8.2.4. Equipment Inventory including communications equipment. | | | | | |  |
| 8.2.5. Inventory of hazardous goods. | | | | | | Not applicable for light teams. |
| 8.2.6. Inventory of controlled substances (e.g. medications). | | | | | | Not applicable for light teams. |
| 8.3. The national USAR team shall have standard procedures covering the following: | | | | | |  |
| 8.3.1. Communications. | | | | | |  |
| 8.3.2. Emergency evacuation. | | | | | |  |
| 8.3.3. Emergency medical evacuation. | | | | | |  |
| 8.3.4. Operations. | | | | | |  |
| 8.3.5. Safety and security. | | | | | |  |
| 8.3.6. Logistics. | | | | | |  |
| 8.3.7. Transportation. | | | | | |  |
| **Mobilisation and Arrival in Affected Location** | | | | | | **Remarks** |
| **9. Activation and Mobilisation** | | | | | |  |
| 9.1. The national USAR team shall have the ability to deploy within four hours of activation. | | | | | |  |
| 9.2. The national USAR team Fact Sheet shall be completed. | | | | | |  |
| 9.3. The national USAR team management shall have a system in place to monitor and maintain equipment, before, during and after deployment. | | | | | |  |
| 9.4. The national USAR team management shall have a process to gather information pertaining to the emergency and brief its team members on: | | | | | |  |
| 9.4.1. Current situation including structural characteristics. | | | | | |  |
| 9.4.2. Weather. | | | | | |  |
| 9.4.3. Safety and security, including potential hazards e.g. hazmat. | | | | | |  |
| 9.4.4. Emergency evacuation. | | | | | |  |
| 9.4.5. Health and welfare issues. | | | | | |  |
| 9.4.6. Special or unusual considerations. | | | | | |  |
| **10. Base of Operations (BoO)** | | | | | | **Remarks** |
| 10.1. The national USAR team shall select a suitable site for the BoO in conjunction with LEMA. | | | | | | Not applicable for light teams. |
| 10.2. The national USAR team’s BoO shall provide for the following components: | | | | | |  |
| 10.2.1. BoO management. | | | | | |  |
| 10.2.2. Shelter for personnel and equipment. | | | | | |  |
| 10.2.3. Safety and security. | | | | | |  |
| 10.2.4. Communications. | | | | | |  |
| 10.2.5. Medical station providing for own personnel and search dog requirements. | | | | | | For light teams, there is a requirement to provide medical support to team members. |
| 10.2.6. Food and water. | | | | | |  |
| 10.2.7. Sanitation and hygiene. | | | | | |  |
| 10.2.8. Search dog area. | | | | | | Not applicable for light teams. |
| 10.2.9. Equipment maintenance and repair area. | | | | | |  |
| 10.2.10.Waste management. | | | | | |  |
| **USAR Operations** | | | | | | **Remarks** |
| **11. Operational Coordination and Planning** | | | | | |  |
| 11.1. The national USAR team shall have trained staff and dedicated equipment to work with the LEMA structure. | | | | | |  |
| 11.2. The national USAR team shall undertake assessments and disseminate the information to LEMA. | | | | | |  |
| 11.3. The national USAR team’s medical management shall coordinate activities with relevant local health authorities including: | | | | | |  |
| 11.3.1. Availability of local medical resources (including veterinary, if applicable) to support USAR medical activities. | | | | | |  |
| * + 1. Casualty handover and transport procedure. | | | | | |  |
| 11.3.3. Fatality management procedure as determined by LEMA. | | | | | |  |
| 11.4. The national USAR team management shall exercise a continuous command and control system over the full range of its sites of operation. | | | | | |  |
| 11.5. The national USAR team shall do contingency planning for possible reassignment. | | | | | |  |
| **12. Operational Capacity** | | | | | | **Remarks** |
| 12.1. The national USAR team shall demonstrate a system to track its own personnel at all times. | | | | | |  |
| 12.2. The national USAR team shall update its operational plan as required. | | | | | |  |
| **13. Area Reconnaissance** | | | | | | **Remarks** |
| 13.1. The national USAR team shall gather information from the affected population. | | | | | |  |
| 13.2. The national USAR team shall have the ability to conduct structural assessments. | | | | | |  |
| 13.3. The national USAR team shall conduct hazard/risk assessment and disseminate results to LEMA (health issues, environmental hazards, electricity, security and secondary threats). | | | | | |  |
| 13.4. The national USAR team shall utilise the INSARAG Marking System. | | | | | |  |
| **14. Search Operations**  *\* For Medium USAR teams, either of the search techniques may be used.* | | | | | | Remarks |
| 14.1. The national USAR team shall take the appropriate search equipment from the BoO to the site of operations, based on the available information. | | | | | | Not applicable for light teams. |
| 14.2. The national USAR team shall safely conduct search operations in confined spaces. | | | | | | Not applicable for light teams. |
| 14.3. The national USAR team shall utilise search dogs\* during the victim detection phase. | | | | | | Not applicable for light teams. |
| 14.4. The search dog\* teams shall locate trapped victims under rubble. | | | | | | Not applicable for light teams. |
| 14.5. The national USAR team shall conduct technical search\* operations using cameras and listening devices during the victim location phase. | | | | | | Not applicable for light teams. |
| 14.6. The national USAR team shall use effective and coordinated search methods. | | | | | |  |
| **15. Rescue Operations**  *For heavy USAR teams, sites must be separated by a reasonable distance requiring management to consider additional logistical support.*  *For medium and light USAR teams, continuous work at two sites is not required.* | | | | | | **Remarks** |
| 15.1. The national USAR team shall safely conduct rescue operations in confined spaces. | | | | | | Not applicable for light teams. |
| 15.2. The national USAR team shall take the appropriate rescue equipment from the BoO to the site of operations, based on the available information. | | | | | | Not applicable for light teams. |
| 15.3. The national USAR team shall demonstrate the ability to cut, break and breach through concrete walls, floors, columns and beams, structural steel, reinforcing bars, timber and building contents, (according to the dimensions on the table below): | | | | | |  |
| **Description** | **Heavy USAR Team** | | **Medium USAR Team** | | **Light USAR Team** |  |
| Concrete walls and floors | 300mm | | 150mm | | \* | \* Limited capability expected, based on local conditions. |
| Concrete columns and beams | 450mm | | 300mm | | \* | \* Limited capability expected, based on local conditions. |
| Structural steel | 6mm | | 4mm | | n/a |  |
| Reinforcing bars (Rebar) | 20mm | | 10mm | | \* | \* Limited capability expected, based on local conditions. |
| Timber | 600mm | | 450mm | | \* | \* Limited capability expected, based on local conditions. |
| 15.3.1. Penetrate vertically overhead to a void space | | | | | | Not applicable for light teams. |
| 15.3.2. Penetrate laterally into a void space | | | | | | Not applicable for light teams. |
| 15.3.3. Penetrate vertically below to a void space using a "dirty" technique (allowing debris to fall into the void space) | | | | | | Not applicable for light teams. |
| 15.3.4. Penetrate vertically below to a void space using a "clean" technique (preventing debris to fall into the void space) | | | | | | Not applicable for light teams. |
| 15.4. The national USAR team shall demonstrate rigging, lifting and moving of structural concrete columns and beams as part of a de-layering operation (see table for dimensions) utilising the following: | | | | | |  |
| 15.4.1. Pneumatic lifting equipment. | | | | | | Not applicable for light teams. |
| 15.4.2. Hydraulic lifting equipment. | | | | | |  |
| 15.4.3. Winches. | | | | | | Not applicable for light teams. |
| 15.4.4. Other hand tools. | | | | | |  |
| 15.4.5. Crane and/or other heavy machinery. | | | | | | Not applicable for light teams. |
| **Description** | | **Heavy USAR Team** | | **Medium USAR Team** | **Light USAR Team** |  |
| Manual | | 2.5 metric tons (M/T) | | 1 metric ton (M/T) | n/a | Not applicable for light teams. |
| Mechanical | | 20 metric tons (M/T) | | 12 metric tons (M/T) | n/a | Not applicable for light teams. |
| 15.5. The national USAR team shall demonstrate the ability to analyse and conduct stabilisation operations of structural elements as follows: | | | | | | Not applicable for light teams. |
| 15.5.1. Cribbing and wedges. | | | | | |  |
| 15.5.2. Window/door stabilisation. | | | | | | Not applicable for light teams. |
| 15.5.3. Vertical stabilisation. | | | | | | Not applicable for light teams. |
| 15.5.4. Diagonal stabilisation. | | | | | | Not applicable for light teams. |
| 15.5.5. Horizontal stabilisation. | | | | | | Not applicable for light teams. |
| 15.6. The national USAR team shall demonstrate technical rope capability to: | | | | | |  |
| 15.6.1. Construct and utilise a vertical raising and lowering system. | | | | | | Not applicable for light teams. |
| 15.6.2. Construct a system that allows for the movement of a load (including victims) from a high point laterally to a safe point below. | | | | | | Not applicable for light teams. |
| **16. Medical Care** | | | | | | **Remarks** |
| 16.1. The national USAR team shall have the ability to provide emergency medical care in collapsed structures including confined spaces from the time of access, during extrication to time of hand over. | | | | | | Light teams are not required to perform in confined spaces. |
| 16.2. Medical care shall be available to USAR team members: | | | | | |  |
| 16.2.1. Primary Care. | | | | | |  |
| 16.2.2. Emergency Medical Care. | | | | | |  |
| 16.2.3. Health Monitoring. | | | | | |  |
| 16.2.4. Emergency Veterinary Care in collaboration with their handlers, if applicable. | | | | | | Not applicable for light teams. |
| 16.3. The national USAR team shall have a procedure for dealing with serious injury or fatality amongst team members. | | | | | |  |
| 16.4. The national USAR team shall utilise a medical incident log. | | | | | | Not applicable for light teams. |
| **MCj04247780000[1]17. Safety Considerations** | | | | | | **Remarks** |
| 17.1. The national USAR team shall correctly utilise the INSARAG Signalling System. | | | | | |  |
| 17.2. The national USAR team members shall wear appropriate personal protective equipment as required by the situation. | | | | | |  |
| **18. Demobilisation Exit Strategy** | | | | | | **Remarks** |
| 18.1. The national USAR team shall coordinate its departure with the LEMA. | | | | | |  |
| 18.2. The national USAR team shall follow a specified USAR team demobilisation process. | | | | | |  |

## Annex E: IEC Checklist

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Preparedness** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| **1. INSARAG Focal Points** | | |  |  | |
| 1.1. Does the USAR team have an INSARAG focal point in the Government? | | |  |  |  |
| **2. Decision Making** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 2.1. Is there an effective communication system between the USAR team and its sponsor to ensure timely decision making with regards to deployment? | | |  |  |  |
| 2.2. Is the USAR team management included in the deployment process? | | |  |  |  |
| **3. Virtual OSOCC** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 3.1 Is the team registered in the INSARAG Directory? | | |  |  |  |
| 3.2. Are there assigned persons to receive and post information on the VO, including complete USAR team Fact Sheet on both the VO and in a hard copy format prior to departure? | | |  |  |  |
| 3.3. Does the USAR team have the ability to access the VO during transit and while on mission in the affected country? | | |  |  |  |
| **4. Deployment Staffing Procedure** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 4.1. Is there a system to mobilise sufficient USAR team members for deployment including a system to fill staffing shortages in a timely manner? | | |  |  |  |
| 4.2. Do the USAR team members undergo a medical screening process immediately prior to departure and is there a policy that allows for a team member to be replaced in a timely manner should they be deemed medically unfit for deployment? | | |  |  |  |
| 4.3. Do the USAR team's search dogs undergo a veterinary screening process prior to departure? | | |  |  |  |
| **5. USAR Team Structure** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 5.1. Is the USAR team organisation structured in accordance with the INSARAG Guidelines with regards to: | | |  |  |  |
| 5.1.1. Management | | |  |  |  |
| 5.1.2. Logistics | | |  |  |  |
| 5.1.3. Search | | |  |  |  |
| 5.1.4. Rescue | | |  |  |  |
| 5.1.5. Medical | | |  |  |  |
| 5.2. Does the USAR team have sufficient personnel in its structure to work continuously in accordance with the INSARAG Guidelines? (Heavy USAR team 24 hrs operations for 10 days at 2 sites simultaneously; Medium USAR team 24 hrs operations / 7 days at 1 site) | | |  |  |  |
| 5.3. Does the USAR team have the ability to be self-sufficient for the duration of deployment in accordance with the INSARAG guidelines? | | |  |  |  |
| **6. Training** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 6.1. Does the USAR team have a training program that prepares and equips personnel to operate in an international environment including international, national and local USAR teams? | | |  |  |  |
| 6.2. Does the USAR team appropriately interact with other USAR teams involved in the emergency? In, for instance the case of: | | |  |  |  |
| 6.2.1. Other USAR teams offering help | | |  |  |  |
| 6.2.2. Other USAR teams requesting some specialised equipment | | |  |  |  |
| 6.2.3. Other USAR teams requesting a part of the team to help them so that the team must be divided and work side by side with that team. | | |  |  |  |
| 6.3. Has the team trained sufficient personnel to perform RDC and OSOCC functions? | | |  |  |  |
| 6.4. Is there a continuous skills maintenance program commensurate with the classification level? | | |  |  |  |
| 6.5. Are USAR team and personnel training records updated and maintained regularly? | | |  |  |  |
| 6.6. Does the USAR team have a training program that prepares and equips USAR team search dogs to operate in an international environment? | | |  |  |  |
| **7. Communications and Technology** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 7.1. Does the USAR team have the ability to communicate: | | |  |  |  |
| 7.1.1. Internally | | |  |  |  |
| 7.1.2. Externally | | |  |  |  |
| 7.1.3. Internationally | | |  |  |  |
| 7.2. Does the USAR team use GPS technology? | | |  |  |  |
| **8. Documentation** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 8.1. Is there a system in place to ensure all USAR team members have the following personal travel documentation: | | |  |  |  |
| 8.1.1. Passport with a minimum of 6 months validity and 2 blank pages | | |  |  |  |
| 8.1.2. Visa( did the team check if one is needed) | | |  |  |  |
| 8.1.3. Passport photos x 6 | | |  |  |  |
| 8.1.4. Photocopies of Passport x 4 | | |  |  |  |
| 8.1.5. Record of inoculations/vaccinations required for international travel | | |  |  |  |
| 8.1.6. Copies of valid documentation to support right to clinical practice in home country of medical personnel in the team | | |  |  |  |
| 8.1.7. Copies of valid Search Dog Health Certificates / microchip record | | |  |  |  |
| 8.2. Does the USAR team management have the following team documentation: | | |  |  |  |
| 8.2.1. USAR team Personnel Manifest (if travelling by airplane) | | |  |  |  |
| 8.2.2. USAR team Fact Sheet | | |  |  |  |
| 8.2.3. Emergency contacts details of USAR team members | | |  |  |  |
| 8.2.4. Equipment Manifest including communications equipment | | |  |  |  |
| 8.2.5. Shippers Declarations of Hazardous Goods | | |  |  |  |
| 8.2.6. Manifest of Controlled Substances (e.g. medications) | | |  |  |  |
| 8.3. Does the USAR team have standard procedures covering the following: | | |  |  |  |
| 8.3.1. Communications | | |  |  |  |
| 8.3.2. Emergency evacuation | | |  |  |  |
| 8.3.3. Emergency medical evacuation & repatriation | | |  |  |  |
| 8.3.4. Operations | | |  |  |  |
| 8.3.5. Safety and security | | |  |  |  |
| 8.3.6. Logistics | | |  |  |  |
| 8.3.7. Transportation | | |  |  |  |
| **Mobilisation and Arrival in Affected Country** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| **9. Activation and Mobilisation** | | |  |  |  |
| 9.1. Does the USAR team have the ability to arrive at its designated point of departure within 8 hours of activation? | | |  |  |  |
| 9.2. Is the USAR team Fact Sheet completed and does it have multiple completed hard copies available for use in the affected country? | | |  |  |  |
| 9.3. Does the USAR team management have a system in place to monitor and maintain equipment, both before and during deployment? | | |  |  |  |
| 9.4. Does the USAR team management have a process to gather information pertaining to the emergency and brief USAR team members on: | | |  |  |  |
| 9.4.1. Current situation including structural characteristics | | |  |  |  |
| 9.4.2. Culture | | |  |  |  |
| 9.4.3. Weather | | |  |  |  |
| 9.4.4. Safety and security, including potential hazards e.g. Hazmat | | |  |  |  |
| 9.4.5. Emergency evacuation | | |  |  |  |
| 9.4.6. Health and welfare issues | | |  |  |  |
| 9.4.7. Special or unusual considerations | | |  |  |  |
| 9.5. Has the USAR team taken action to contact international representatives, other international responders and its own consular authorities (if present)? | | |  |  |  |
| **10. Base of Operations (BoO)** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 10.1. Does the USAR team select a suitable site for the BoO in conjunction with LEMA? | | |  |  |  |
| 10.2. Does the USAR team’s BoO provide for the following components: | | |  |  |  |
| 10.2.1. BoO management | | |  |  |  |
| 10.2.2. Shelter for personnel and equipment | | |  |  |  |
| 10.2.3. Safety and security | | |  |  |  |
| 10.2.4. Communications | | |  |  |  |
| 10.2.5. Medical station providing for personnel and search dog requirements | | |  |  |  |
| 10.2.6. Food and water | | |  |  |  |
| 10.2.7. Sanitation and hygiene | | |  |  |  |
| 10.2.8. Search dog area | | |  |  |  |
| 10.2.9. Equipment maintenance and repair area | | |  |  |  |
| 10.2.10.Waste management | | |  |  |  |
| **USAR Operations** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| **11. RDC and OSOCC Coordination and Planning** | | |  |  |  |
| 11.1. Does the USAR team have trained staff and dedicated equipment to establish and operate a provisional RDC and OSOCC in accordance with the OSOCC Guidelines? | | |  |  |  |
| 11.2. Does the USAR team undertake assessments and disseminate the information to the OSOCC and LEMA? | | |  |  |  |
| 11.3. Does the USAR team ensure a representative is present at the OSOCC during USAR coordination meetings? | | |  |  |  |
| 11.4. Does the USAR team’s medical management coordinate activities with relevant local health authorities including: | | |  |  |  |
| 11.4.1. Availability of local and international medical resources (including veterinary) to support USAR medical activities; | | |  |  |  |
| 11.4.2. Casualty handover and transport procedure; | | |  |  |  |
| 11.4.3. Fatality management procedure as determined by LEMA; | | |  |  |  |
| 11.5. Does the USAR team utilise INSARAG documentation? | | |  |  |  |
| 11.6. Does the USAR team management exercise a continuous command and control system over the full range of his/her sites of operation? | | |  |  |  |
| **12. Operational Capacity** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 12.1. Does the USAR team demonstrate a system to track personnel at all times? | | |  |  |  |
| 12.2. Does the USAR team update its operational plan as required? | | |  |  |  |
| **13. Area Reconnaissance** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 13.1. Does the USAR team interview locals to gather information? | | |  |  |  |
| 13.2. Does the USAR team conduct structural assessments with appropriate structural engineering expertise? | | |  |  |  |
| 13.3. Does the USAR team conduct hazard/risk assessment and disseminate to the OSOCC and LEMA (health issues, environmental hazards, electricity, security and secondary threats)? | | |  |  |  |
| **14. Search Operations**  *\* For Medium USAR teams, either of the search techniques may be used.* | | | **Assessment Method** | Remarks | **Y / NY**  **(Colour code)** |
| 14.1. Does the USAR team take the appropriate search equipment from the BoO to the site of operations, based on the available information? | | |  |  |  |
| 14.2. Does the USAR team safely conduct search operations in confined spaces? | | |  |  |  |
| 14.3. Does the USAR team utilise search dogs\* during the victim detection phase? | | |  |  |  |
| 14.4. Can the search dog\* teams locate trapped victims under rubble? | | |  |  |  |
| 14.5. Does the USAR team conduct technical search\* operations using cameras and listening devices during the victim location phase? | | |  |  |  |
| 14.6. Does the USAR team use effective and coordinated search methods? | | |  |  |  |
| **15. Rescue Operations**  *For Heavy USAR teams, sites must be separated by a reasonable distance requiring management to consider additional logistical support. For Medium USAR teams, continuous work at two sites is not required.* | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 15.1. Does the USAR team safely conduct rescue operations in confined spaces? | | |  |  |  |
| 15.2. Does the USAR team take the appropriate rescue equipment from the BoO to the site of operations, based on the available information? | | |  |  |  |
| 15.3. Does the USAR team demonstrate the ability to cut, break and breach through concrete walls, floors, columns and beams, structural steel, reinforcing bars, timber and building contents, (according to the dimensions on the table below): | | |  |  |  |
| Description | Heavy USAR Team | Medium USAR Team |  |  |  |
| Concrete walls and floors | 300mm | 150mm |  |  |  |
| Concrete columns and beams | 450mm | 300mm |  |  |  |
| Structural steel | 6mm | 4mm |  |  |  |
| Reinforcing bars (Rebar) | 20mm | 10mm |  |  |  |
| Timber | 600mm | 450mm |  |  |  |
| 15.3.1. Penetrate vertically overhead to a void space | | |  |  |  |
| 15.3.2. Penetrate laterally into a void space | | |  |  |  |
| 15.3.3. Penetrate vertically below to a void space using a "dirty" technique (allowing debris to fall into the void space) | | |  |  |  |
| 15.3.4. Penetrate vertically below to a void space using a "clean" technique (preventing debris to fall into the void space) | | |  |  |  |
| 15.4. Does the USAR team demonstrate rigging, lifting and moving of structural concrete columns and beams as part of a de-layering operation (see table for dimensions) utilising the following: | | |  |  |  |
| 15.4.1. Pneumatic lifting equipment | | |  |  |  |
| 15.4.2. Hydraulic lifting equipment | | |  |  |  |
| 15.4.3. Winches | | |  |  |  |
| 15.4.4. Other hand tools | | |  |  |  |
| 15.4.5. Crane and/or other heavy machinery | | |  |  |  |
| Description | Heavy USAR Team | Medium USAR Team |  |  |  |
| Manual | 2.5 metric tons(M/T) | 1 metric ton(M/T) |  |  |  |
| Mechanical | 20 metric tons(M/T) | 12 metric tons(M/T) |  |  |  |
| 15.5. Does the USAR team demonstrate the ability to analyse and conduct stabilisation operations of structural elements as follows: | | |  |  |  |
| 15.5.1. Cribbing and wedges | | |  |  |  |
| 15.5.2. Window/door stabilisation | | |  |  |  |
| 15.5.3. Vertical stabilisation | | |  |  |  |
| 15.5.4. Diagonal stabilisation | | |  |  |  |
| 15.5.5. Horizontal stabilisation | | |  |  |  |
| 15.6. Does the USAR team demonstrate technical rope capability to: | | |  |  |  |
| 15.6.1. Construct and utilise a vertical raising and lowering system | | |  |  |  |
| 15.6.2. Construct a system that allows for the movement of a load (including victims) from a high point laterally to a safe point below. | | |  |  |  |
| **16. Medical Care** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 16.1. Does the team have the ability to provide emergency medical care in collapsed structures including confined spaces from the time of access, during extrication to time of hand over? | | |  |  |  |
| 16.2. Is medical care available to USAR team members? | | |  |  |  |
| 16.2.1. Primary Care | | |  |  |  |
| 16.2.2. Emergency Medical care | | |  |  |  |
| 16.2.3. Health Monitoring | | |  |  |  |
| 16.2.4. Emergency Veterinary Care in collaboration with their handlers? | | |  |  |  |
| 16.3. Does the USAR team have a procedure for dealing with serious injury or fatality amongst team members? | | |  |  |  |
| 16.4. Does the USAR team utilise a medical incident log? | | |  |  |  |
| **MCj04247780000[1]17. Safety Considerations** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(Colour Code)** |
| 17.1. Does the USAR team correctly utilise the INSARAG Signalling System? | | |  |  |  |
| 17.2. Do the USAR team members wear appropriate personal protective equipment (PPE) as required by the situation? | | |  |  |  |
| **18. Demobilisation Exit Strategy** | | | **Assessment Method** | **Remarks** | **Y / NY**  **(colour Code)** |
| 18.1. Does the USAR team coordinate its departure with the OSOCC/LEMA and the RDC? | | |  |  |  |
| 18.2. Does the USAR team complete the USAR team Demobilisation Form? | | |  |  |  |
| 18.3. Does the USAR team management consult with their in country representative regards their departure arrangements when applicable? | | |  |  |  |
| 18.4. Does the USAR team do contingency planning for possible reassignment? | | |  |  |  |

## Annex F: USAR Capacity Assessment Report Template

****

**USAR Capacity Assessment**

**[Insert Country]**

**[Insert date]**

**Report**

**Report Instructions**

* The responsibility of this report is that of the UCA Team Leader
* The draft report is to be completed within 14 days following the UCA
* Once the draft report is completed it will be circulated for comment prior to finalisation
* Once finalised, two hard copies must be printed
* Two hard copies are to be posted to the INSARAG Secretariat via registered mail to:

Attention: INSARAG Secretariat

UCA Report

UN Office for the Coordination of Humanitarian Affairs (OCHA)

Field Coordination Support Section (FCSS)

Palais des Nations

CH 112 Geneva 10, Switzerland

* The INSARAG Secretariat will retain an original hard copy;
* The second hard copy will be posted to the relevant in-country Focal Point via registered mail by the INSARAG Secretariat
* An electronic version is to be emailed to the INSARAG Secretariat to: [insarag@un.org](mailto:insarag@un.org)

\*\* This page is to be deleted prior to finalising the report \*\*

**Table of Contents**

1. Introduction
2. UCA Team Members
3. Scope of UCA
4. USAR Objectives in [Insert name]
5. Risk Profile in [Insert name]
6. UCA Findings
7. Recommendations
8. Conclusion
9. Acknowledgements
10. List of Annexes
    1. UCA ToR
    2. Meeting Schedule
    3. Programme of Activities
    4. USF Assessment Tool
    5. IEC Checklist
    6. Any Other Relevant Annexes
11. **Introduction**

[Insert text]

1. **UCA Team Members**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name | Country | Organisation | Expertise | Signature |
|  |  |  |  |  |
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1. **Scope of the UCA**

[Insert text]

1. **USAR Objectives in [insert country]**

[Insert text]

1. **Risk Profile in [insert country]**

[Insert text]

1. **UCA Findings**

[Insert text]

1. **Recommendations**

[Insert text]

Recommendations should address the following two key areas:

1. USAR System Framework (USF): This takes into account stakeholders, government structures, legislation and policy; inter-agency relationships; financial resources and budgeting; human resources, accountability, executive management and ownership of the USAR asset.
2. USAR Operational Framework (UOF): This takes into account the response and technical aspects of USAR operations and focuses on the five key components of an INSARAG USAR team i.e. management; logistics, search, rescue and medical. Therefore UOF recommendations should be subdivided into:
   1. Response Recommendations
   2. Technical recommendations

All recommendations should be tabled as follows:

|  |  |  |  |
| --- | --- | --- | --- |
| **Number** | **Recommendation** | **Outcome** | **Time Period (Short-, medium-, long-term)** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

1. **Conclusion**

[Insert text]

1. **Acknowledgements**

[Insert text]

1. **List of Annexes**
2. UCA ToR
3. Meeting Schedule
4. Programme of Activities
5. USF Assessment Tool
6. UCA Checklist
7. Any Other Relevant Annexes

1. United Nations General Assembly A/57/L.60 [↑](#footnote-ref-1)
2. UNDP Capacity Assessment Methodology User’s Guide; Capacity Development Group; Bureau for Development Policy; May 2007. [↑](#footnote-ref-2)
3. UNDP Capacity Assessment Practice Note, October 2008 [↑](#footnote-ref-3)
4. Chapter G, INSARAG Guidelines [↑](#footnote-ref-4)
5. Chapter G, INSARAG Guidelines [↑](#footnote-ref-5)
6. UNDAC Handbook, UNDAC Disaster Assessment Missions, Section 1.7, UNDAC 2006 [↑](#footnote-ref-6)
7. EuropeAid; Aid Delivery Methods Concept Paper; Institutional Assessment and Capacity Development Why, what and how? European Commission, September 2005 [↑](#footnote-ref-7)
8. This Tool is designed to assist the UCA team determine the UCA Findings (Section 6) and compiling Recommendations (Section 7) of the report (Annex F) [↑](#footnote-ref-8)
9. Once a current understanding of the current situation has been obtained in the thematic areas described, describe the desired situation. NOTE: It is important to consider the national USAR objectives described in Line 5 when describing the desired situation [↑](#footnote-ref-9)
10. Trevor Glass: List bullet point activities per thematic area that will aid in getting from the current situation to the desired situation. This should also include indicative time periods i.e. short, medium, long-term. Column D is useful to review when compiling the recommendations in the report [↑](#footnote-ref-10)
11. The report will be read by a wide variety of users e.g., donors, local UN offices, potential implementing partners. It is therefore important to provide an indication of stakeholders required to participate in the activities identified to achieve the desired situation. This information is useful when it comes to the design and implementation of project activities [↑](#footnote-ref-11)
12. Describe the current situation with regard to the national authority that has the mandate for USAR, or if in the case of this being a new capacity, describe the which national authority would be best suited to house the USAR capacity and state the reasons for saying so [↑](#footnote-ref-12)
13. Describe whether a legal framework exists e.g., a disaster management Act and if so, what policies and regulations it stipulates for the provision of USAR. If this capacity is being developed from scratch you may need to consider how the existing legal framework can be modified to accommodate USAR [↑](#footnote-ref-13)
14. Review the current emergency response structure as is legislated. It is recommended that attention is paid to the various elements of emergency services that will provide a foundation on which USAR can be developed e.g., fire, HAZMAT, EMS, rescue, police [↑](#footnote-ref-14)
15. Depending on the legislative framework and the objectives of the government, resources for the USAR capacity may reside in different ministries. If this is the case, it is important to understand how the various ministries interact and coordinate [↑](#footnote-ref-15)
16. This is a key component for the sustainability of the project. This is of particular relevance in developing countries where the capacity will likely be developed by the donor community. There needs to be consideration given towards how the local government could sustain the USAR capacity once the capacity development project has been completed [↑](#footnote-ref-16)
17. It is important to consider what USAR intellectual property resides in the country. In instances where USAR is just starting out, it is likely that this will be limited. The intellectual property should cover the spectrum of institutional as well as technical capacity and if it is lacking, recommendations should include activities to develop this [↑](#footnote-ref-17)
18. Physical resources goes beyond equipment. One should also consider office space, storage facilities for the cache, training facilities and vehicles [↑](#footnote-ref-18)
19. The degree of sustainability is determined by ownership. It is therefore important to ensure that there is the political will to support not only the development of USAR capacity, but also its maintenance [↑](#footnote-ref-19)
20. The INSARAG Focal Point plays an important role in ensuring the government is aware of what the INSARAG community is recommending by way of its guidelines and technical guidance notes and is an active participant in annual INSARAG activities [↑](#footnote-ref-20)
21. Trevor Glass: Include any additional elements that may be relevant [↑](#footnote-ref-21)
22. Describe the current situation with regard to the thematic areas listed below, including the subsets of each area. Depending on the current state of capacity, not all areas may be able to be assessed. If this is the case, record "Not able to assess currently" in the relevant line [↑](#footnote-ref-22)
23. Once a current understanding of the current situation has been obtained in the thematic areas described, describe the desired situation [↑](#footnote-ref-23)
24. List bullet point activities per thematic area that will aid in getting from the current situation to the desired situation. This should also include indicative time periods i.e. short, medium, long-term. Column D is useful to review when compiling the recommendations in the report [↑](#footnote-ref-24)
25. The report will be read by a wide variety of users e.g., donors, local UN offices, potential implementing partners. It is therefore important to provide an indication of stakeholders required to participate in the activities identified to achieve the desired situation. This information is useful when it comes to the design and implementation of project activities [↑](#footnote-ref-25)