



European
Commission



EU Resilience Compendium

Saving lives and livelihoods



Introduction

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The world is facing unprecedented crises and disasters. Humanitarian needs continue to expand as more conflicts impact on more people. The burden is huge and the responsibility to address it is a collective one.

The European Union (EU) will continue to respond to these challenges effectively, in a situation where funds are limited but needs are rising. Losses and suffering are likely to increase with growing populations, urbanisation, continuing conflicts, climate change and, too often, rising inequalities. Drastic action is therefore required to increase resilience – to empower communities to prevent disasters, prepare them to be ready to face the risks and to rebuild after a catastrophe. So suffering and the scale of humanitarian assistance are reduced.

There is compelling evidence that resilience, risk management and early action saves lives and livelihoods: safety net programmes in the Horn of Africa are helping people avoid destitution when drought threatens; climate programmes are helping people to adapt to changing environments; and disaster risk reduction investments, for example stronger infrastructure or early warning systems, are justified by the losses avoided.

Greater investments from domestic budgets and international assistance are needed to address risk and vulnerability. At present only 6% of humanitarian assistance is allocated to disaster risk reduction and even less – 0.7% – from OECD DAC development assistance.

In the face of increasing humanitarian needs and avoidable losses, the EU will continue to prioritise, persuade and help others to act – so resilience and risk management becomes a normative developmental process and more assistance is provided to vulnerable sections of society.

The EU takes a leading role advancing the integration of resilience principles and commitments to action in the post Hyogo Framework of Action, the post-2015 development framework, the climate change negotiations in Paris at the end of the year and the first World Humanitarian Summit in Istanbul in 2016. These frameworks will guide us in the years to come.

It gives me considerable pleasure to launch this Resilience Compendium at the Sendai conference where we will agree an ambitious and enhanced international framework for Disaster Risk Management.

The compendium showcases a diversity of risk reduction and resilience examples from different parts of the world, with different organisations. The message is simple – Disaster Risk Management and resilience works – it saves lives and livelihoods.

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The EU Resilience Compendium

In response to an increasingly critical need to protect lives and improve the livelihoods of vulnerable populations to rapidly changing risk environments, the European Union (EU) is committed to build resilience to stresses and shocks as a pre-requisite for reduced humanitarian needs, poverty reduction and sustainable development.

Adopting a resilience approach challenges existing ways of working and organisational systems. Although resilience concepts and policies are increasingly accepted and applied by a multitude of actors and stakeholders, uncertainty remains regarding implementation modalities in different contexts and how operating practices could be optimised to attain durable objectives. Aiming to identify good practice, to foster organisational learning and to reach a better understanding of how a resilience approach can lead to more effective assistance and transformational change for the most vulnerable, the EU has collected a number of examples of existing best practice.

This compendium illustrates how the resilience approach is being translated into reality by the EU, by governments, other donors, agencies, civil society organisations (CSOs) and vulnerable communities. Projects and programmes are presented from a variety of sectors, at different levels, with differing partners and a large spectrum of different contexts. Each demonstrates that successful and cost effective methods and approaches do exist, or can be developed, to address vulnerability and build resilience. They serve as a stimulus for further understanding and more widespread application of resilience-based action.

This compendium of good practice does not, and cannot, definitively explain how resilience can be applied to every imaginable context. It does, however, give a number of examples to show that systematic consideration of resilience options, early and sustained co-operation between different actors and, most importantly, putting people first, leads to more effective development and humanitarian support. Our assistance must be driven by what works best for vulnerable people in different contexts and our approaches and mechanisms should adapt accordingly. The compendium serves as a practical introduction to resilience good practice, providing contact details for further information and advice. As it is designed to be a living document, it will grow and develop over time, as experience with resilience approaches is accumulated in the assistance community.

The EU approach to resilience

The increasing frequency and intensity of disasters and humanitarian crises poses a major threat to long-term development, prospects of sustainable growth and poverty reduction of the poorest and most vulnerable people in developing countries. Crises and shocks worsen already precarious livelihoods and negate opportunities to escape from poverty.

The cost of disasters and humanitarian crises is rising, as climate change generates more severe weather related events and the world faces new hazards and pressures such as population growth, urbanisation, depleted eco-systems and scarcity of natural resources, as well as complex conflicts. A large share of humanitarian funding is allocated to longer term recurring crises. Of this, a substantial proportion goes to fragile and conflict affected states, where household vulnerability and the lack of sustainable development are closely linked to state fragility and conflict.

The EU Communication on Resilience (2012) and subsequent Resilience Action Plan (2013) set out a clear understanding of the purpose and requirements to build resilience. The starting point for all humanitarian and development programmes should be a focus on vulnerability:

- EU development programmes, and those of Governments, have to be targeted at the most vulnerable and address causal reasons for vulnerability– especially where there are already humanitarian needs. Basic needs must be met but more investments are required to unlock peoples’ potential and to improve their livelihoods – starting with the provision of safety nets in the context of humanitarian assistance. But peoples’ potential and livelihoods will not be improved unless the impacts of shocks and stresses are reduced.
- Development programmes targeted at the most vulnerable must be risk informed – and integrate risk reduction, crisis modifiers and contingency measures so assistance can be scaled up when and where it is needed most. Development agencies need to take more responsibility for risk management as a core poverty reduction issue. Disaster risk reduction must stop being seen only as a subset of humanitarian action.
- Humanitarian aid should respond earlier and more effectively. Wherever possible a humanitarian response will set the foundations to build resilience in the longer term– to avoid future re-occurrence. This means working differently – from a stop-go strategy (reacting to repetitive emerging crises) to building up resilience and coping capacities of the most vulnerable populations. This is particularly the case in protracted, recurring or predictable crises.

Practically, resilience calls for changing the way that development and humanitarian actors work, emphasizing more collaborative and targeted approaches:

- Development and humanitarian actors need to develop shared objectives with a focus on the areas and needs of the most vulnerable. This requires joint analysis and strategic planning.
- System wide approaches. The causes of vulnerability and poverty are multi-faceted and interlinked. Resilience therefore requires a multi-level, multi-sectoral and holistic response – that optimises relationships and mandates.
- Pre-emptive risk reduction or early action avoids unnecessary suffering, protects coping mechanisms and is more cost effective than a post facto humanitarian response, especially in protracted or predictable crises.
- Governance is central to building resilience. Governments, donors and civil society organisations (CSOs) must accept their responsibilities and accountability to vulnerable people.

Learning and sharing for resilience

Although resilience concepts and policies are increasingly accepted and applied by a multitude of actors and stakeholders, uncertainty remains regarding implementation modalities in different contexts and how operating practices should be optimised to realise durable resilience objectives. A deliberate intention of the EU's Resilience Action Plan was to develop a body of evidence and experience to provide further momentum and stimulus for more extensive uptake and replication of resilience approaches.

This resilience compendium is part of the learning process. It builds on case studies presented at the EU Resilience Forum that took place in April 2014. Its purpose is to collate and present the parameters of good practice and success from the multitude of resilience approaches being applied by different partners, in different contexts, and in different sectors. Its objectives are to show how resilience approaches can be applied, to capture what works and to understand why it works.

The Compendium is organised around the main components of the Action Plan with examples from each.

1. Development and strengthening of national and local resilience capacities

A core objective is to strengthen local and national capacities for resilience. It is ultimately an individual country's responsibility to progress towards meeting key development standards (e.g. for water, education, health, sanitation, social protection), more equitable access to them and to manage risks. The EU Action Plan sets out a wide scope of programmes and priorities targeted, and amended, to promote and facilitate resilience approaches across regions and countries.

The compendium presents examples of regional resilience initiatives (e.g. AGIR, SHARE), of resilience being put into practice in differing countries and at the local level. These indicate the benefits of a coherent resilience approach whilst highlighting how many pre-existing EU programmes, for example those on Disaster Risk Reduction (DRR), for climate adaptation and for social protection already incorporate resilience principles. A mainstreamed resilience agenda, based on multi-sectoral coherence, offers the opportunity to enhance the effectiveness, and take-up, of these programmes.

2. Innovation, learning and advocacy

Resilience offers a much needed opportunity to develop and apply new, or more effective, methods to development planning, risk management and vulnerability reduction. Examples in the compendium of «doing differently, doing better» include: cash based programming for humanitarian responses; urban planning activities and research projects to establish the evidence base to persuade others of the benefits of resilience. Other examples, such as the Community Management of Acute Malnutrition (CMAM) case study or the use of the indigenous «waru-waru» techniques in Bolivia to mitigate floods, highlight how evidence-based design and evaluation can lead to widespread beneficial changes in practice.

3. Methodologies and tools to support resilience including EU procedures and mechanisms

An early priority is to develop tools and guidance to facilitate resilience approaches. Compendium examples from the EU and other organisations committed to resilience include the application of joint humanitarian/development analytical planning tools in South Sudan and in Zimbabwe. Also included are initiatives to measure resilience to assist priority setting and to help organise post-disaster and crisis recovery planning that incorporates resilience objectives.

As processes are developed and applied these will be shared. The EU has developed training modules for resilience, stand-alone and integrated with other materials, as well as resilience guidance. ECHO has recently introduced a «resilience marker» into project appraisal forms to prompt resilience considerations.

The compendium is just a start – aiming to contribute to building the knowledge base of how resilience considerations can become a normative part of all development and humanitarian assistance.



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Maradi Niger. ©WFP/Rein Skullerud

 **COMPENDIUM FICHE**

Zero Hunger: eliminating hunger and malnutrition within the next 20 years in the Sahel

Summary: AGIR (The Global Alliance for Resilience Initiative) was launched in 2012 with the aim of achieving 'Zero Hunger' in the Sahel within the next 20 years. The European Union (EU) was closely involved in establishing AGIR and provides continued large-scale support. Countries in the Sahel are among the countries with the highest child and maternal mortality rates. One in eight children in the region dies before its fifth birthday, most often as a result of preventable disease and malnutrition. Each year more than one million children become severely malnourished while up to 20 million people experience food insecurity. The poorest 20% of the region's population – at least 25 million people – account for 80% of the victims when a crisis hits. AGIR aims to build resilience to the recurrent food and nutrition crisis of the countries in the Sahel.

A focused effort is needed to strengthen the resilience of the most vulnerable and poorest people in the Sahel.

- To break the cycle of emergencies in the Sahel, it is crucial to build the resilience of the most vulnerable population groups. Making basic services available to mothers and their children and ensuring that aid programmes effectively target the poorest people are minimal required measures.
- Increasing people's resilience to future stresses and shocks has to be based on a thorough understanding of what makes them vulnerable so that the causes can be addressed.
- Bridging the gap between humanitarian and development aid and encouraging governments to take ownership of this process are preconditions to success. Emergency assistance is needed to save lives but should be provided in a way that promotes durable solutions, for instance, by supporting public services such as health care and promoting social services such as seasonal cash transfers.

I. Situation in the Sahel

Food and nutrition crises are becoming more frequent in the Sahel region. Following four successive food and nutrition crises from 2005 to 2012, millions of people face food insecurity and malnutrition on an almost permanent basis, regardless of whether harvests are good, because their coping mechanisms are exhausted. Stunting, or chronic malnutrition, is a consequence of the long-term effects of recurrent food crises facing Western Africa and the Sahel. A child who has not received appropriate nutrition, a healthy environment and care between pregnancy and the second birthday, is a child that will be prevented from developing its full potential as a human being.

In the middle of the 2014 'lean season', the humanitarian situation is again precarious in many areas of the Sahel with critical levels of acute malnutrition and severe food insecurity. Food prices remain high, insecurity across the region persists and harvests have been average.

II. Origins and aims of AGIR

AGIR aims to achieve 'Zero Hunger' – eliminating hunger and malnutrition – within the next 20 years. A key objective is to reduce stunting levels to below 20%.

AGIR will build resilience to the recurrent food and nutrition crises that affect the countries of the Sahel region. AGIR starts from the premise that while emergency response to these crises is crucial to saving lives, the time has come for a sustained effort to help people in the Sahel cope better with shocks and stresses – not least since climate change and population growth are likely to exacerbate their frequency and severity.

On 18th June 2012, the EU hosted a high-level meeting where the idea of an international alliance bringing together governments of the region, regional bodies and donors as well as civil society was presented. On 6th December 2012, AGIR was officially launched in Ouagadougou (Burkina Faso) with the adoption of a Joint Statement setting out basic principles and priorities.

After developing a Regional Roadmap in 2013 which elaborates principles, priority actions and indicators, the focus of 17 West African countries in 2014 is on the formulation of their national resilience priorities. International support for resilience-building in the Sahel is steadily progressing, with an emphasis on determining priority actions for the coming years.

III. AGIR's Strategy

Defining resilience

Based on a series of consultations between Sahel and West African countries, regional institutions, organisations of agricultural producers and pastoralists, the private sector,

civil society, financial partners and non-governmental organisations, AGIR defines resilience as «the capacity of vulnerable households, families and systems to face uncertainty and the risk of shocks, to withstand and respond effectively to shocks, as well as to recover and adapt in a sustainable manner».

The four pillars of AGIR

As the food and nutrition crises in the Sahel are fuelled by a lack of access to food and basic services, but also by economic inequalities which have given rise to a growing class of people in extreme poverty, the response must be multi-sectoral.

AGIR has four strategic pillars:

- *Pillar 1: Restore, strengthen and secure livelihoods and improve social protection for the most vulnerable individuals, households and communities. This is to ensure that the most vulnerable people of a community are protected by appropriate safety nets, consisting of cash, food and free access to services, on a regular basis or during periods of stress.*
- *Pillar 2: Strengthen nutrition of vulnerable households. This is done via specific nutrition projects for the treatment of acute malnutrition and prevention of chronic malnutrition as well as mainstreaming nutrition in other sectoral programmes and promoting integrated approaches.*
- *Pillar 3: Sustainably strengthen food productivity and incomes of vulnerable households and improve their access to food. The aim is to make sure agricultural policies not only focus on better productivity but also take into account food access of the poorest segments of the population.*
- *Pillar 4: Enhance governance for food and nutrition security. There is a need for capacity building of food security networks at regional and country levels as well as alert systems. Strengthen joint diagnostics, methodologies and evaluations.*

Targeted households: focusing on the most vulnerable groups

The Alliance agrees on targeting specific households:

- Small-scale farmers with limited market access, insecure land tenure and little capital to invest in agriculture. They are incapable of producing enough food to feed their families and have few opportunities for income diversification.
- Agro-pastoralists and pastoralists whose capital and livelihoods are continually threatened by recurring weather hazards.

- Poor agricultural and non-agricultural workers in urban and rural areas. This group includes a large number of landless residents.
- Vulnerable groups, including children under five as well as pregnant and lactating women. Women are targeted in light of their predominant role in food production, income generation, education, health and child nutrition.

Benchmarks of success: monitoring resilience

Indicators to measure results include, among others:

- A significant increase in the proportion of vulnerable people who have access to basic social services such as health, education, water, sanitation and hygiene, and who are able to increase their income;
- A reduction of at least 50% in the number of people in high-risk zones who seek food and humanitarian assistance;
- A prevalence of global acute malnutrition among children under five which is less than 5% throughout the year (currently often above 15%);
- A child mortality rate of less than 2 deaths per 10 000 children/day; and
- Significant progress on birth spacing and increasing the age of first pregnancy. This is vital in a region with the world's highest population growth, which is likely to outpace economic growth as well as growth in agricultural production.

IV. What has been accomplished so far?

Since the launch of AGIR in December 2012, progress has been made on a number of fronts:

- The AGIR Regional Road Map was formally adopted in Paris on 9th April 2013, at a meeting of the Réseau de Prévention des Crises Alimentaires, the Food Crisis Prevention Network (RPCA).
- EU Commissioner for Development Andris Piebalgs announced that the EU will aim to mobilize €1.5 billion in funding for resilience in West Africa between 2014 and 2020, under the 11th European Development Fund (EDF).
- At the West Africa meeting of the RPCA in Abidjan on 27th November 2013, attended by the EU Commissioner for International Co-operation, Humanitarian Aid and Crisis Response Kristalina Georgieva, 17 West African countries confirmed their commitment to finalising their Country Resilience Priorities (CRP). Donors, United Nations (UN) and regional bodies and the aid community renewed their commitment to supporting the governments of the region to reaching zero hunger by 2032.
- As of July 2014, seven West African countries have launched or finalised national dialogues leading to the identification of Country Resilience Priorities. They have



underlined the importance of breaking away from conventional paths of aid delivery and focusing on integrated multi-sector approaches with proven methods for targeting the most vulnerable segments of the population.

- As a result of the last RPCA meeting of mid-April 2014, it was decided that when meeting in the future, AGIR stakeholders will have to devote more importance to prevention, long-term issues and accomplishment of previous commitments. RPCA meetings will become the co-ordination forum for all AGIR efforts and initiatives. Evaluations of emergency responses in the West African resilience context will become more systematic as well.

V. Next steps

Five to six West Africa countries are expected to present their CRP at the December 2014 RPCA meeting in Lomé (Togo).

Concerning international co-operation and AGIR Alliance members, the priority will be to ensure that resilience is prioritised in country-level programming. With the EU, 14 countries out of 17 have identified food and nutrition security/sustainable agriculture as a priority in their national programmes, as the favoured way to foster resilience. Resilience is equally a focal sector in the 11th EDF programmes for Western Africa. Between 15% and 25% of the 11th EDF general country allocations will be devoted to resilience related projects.

VI. Examples of humanitarian and development projects contributing to resilience

In Mali, to reach some of the most vulnerable people affected by the food and nutrition crisis, Oxfam, with support from the EU, has helped 3,500 families rebuild their livelihoods in the



Millet, staple food in the Sahel. ©WFP/Rein Skullerud

Kayes region of western Mali. Between August 2012 and February 2013, these families received cash grants through local banks and a local microfinance organisation. Most of those who received the money were women. They also participated in trainings on household budget management, nutrition and hygiene. As a result, most of these people have not only been able to feed their families through the leanest months of the year, but have also been able to invest in building livelihoods that will make them more resilient to future shocks.

In Chad, the EU supports an innovative partnership between the international NGOs ACTED and Alima and the local NGO Alerte Santé. This project is reaching 56,000 people, including thousands of children under five who are suffering from acute malnutrition. The project's objective is to treat children suffering from severe acute malnutrition.



Nutritional Centre, N'Djamena, Chad.

In Burkina Faso, in the remote region of Tapoa, the EU supports cash transfer and cash-for-work programmes by Action Contre la Faim (ACF). In exchange for cash, 900 households have helped to build embankments around rice fields in order to better retain rainwater to enhance productivity. In total, each worker received €90 over two months, the equivalent of about three 100kg bags of sorghum. Overall, the EU has enabled ACF to assist 40,000 people in the region.

Links to documentation:

- <http://www.oecd.org/site/rpca/agir/>
- http://www.cilss.bf/spip.php?article420&var_recherche=agir
- <http://ec.europa.eu/echo/en/what/humanitarian-aid/resilience/sahel-agir>
- http://ec.europa.eu/europeaid/what/food-security/documents/20121003-comm_en.pdf

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AGIR 





A woman carrying pails of water from a well to water some crops. ©FAO/Giulio Napolitano

 COMPENDIUM FICHE

Bridging humanitarian and development aid in Niger: Building resilience in the “Communes de Convergence”

Summary: *In Niger, chronic food insecurity affects more than two million people and millions more are affected by transitory food insecurity during lean seasons. Poor households increasingly rely on coping mechanisms that drain their resources, limit human capital development and reduce their capacity to cope with shocks. Thus, multi-annual assistance is needed to lift communities out of extreme poverty and enhance their resilience. “ComdeCo” (Communes de convergence) is an innovative joint initiative whereby humanitarian and development partners work together to provide such support through the creation of development centres for the enhanced provision of basic social services.*

Through the ‘ComdeCo’ approach, the programme aims at sustainable food security and improving the livelihoods of the most vulnerable people in Niger.

The initiative presents the clear benefits that accrue from building a bridge between humanitarian and development aid, from increasing people’s resilience to future stresses and

shocks and when local authorities are encouraged to take ownership of long-term and sustainable solutions.

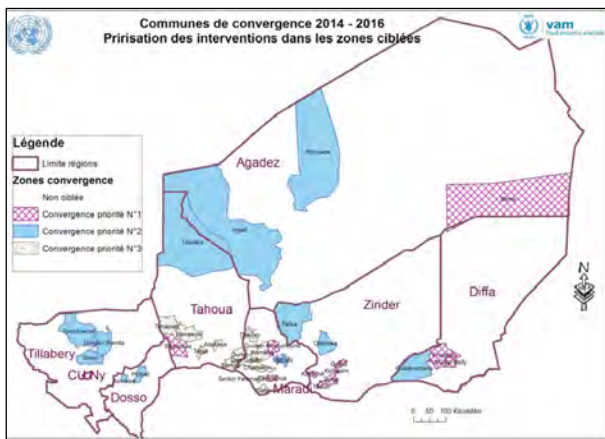
The purpose of “ComdeCo” is not to create new activities, but to change the way activities are implemented so that they become more effective. This approach, implemented under the leadership of the Niger Government (HCi3N¹), delivers

¹ High Commissary for 3N Initiative – Nigeriens Nourish Nigeriens.

better results because of active participation, ownership and integration of community inputs into their own development. The programming and prioritisation of activities is discussed locally and implemented by the population.

The initiative builds on and is closely linked to the objectives of the Global Alliance for Resilience Initiative (AGIR), aiming at strengthening the resilience of the most vulnerable families in West Africa to food crises and other shocks.

I. Priority Interventions in Targeted Areas



The 35 ComdeCo were selected on the basis of objective criteria: food security, education, health/nutrition, livelihood zone and synergy of interventions. A total of 35 ComdeCo will be assisted, with a gradual scale-up (2014: 11 communes, 2015: 12 communes and 2016: 12 communes).

II. Brief description of the initiative

“ComdeCo” utilises a holistic approach to improve food and nutrition security, the resilience to natural disasters (droughts, floods, locust invasions etc.) and to seasonal stresses in the targeted communes. This is achieved by bringing together separate, but closely linked, intervention sectors like food assistance, water and sanitation, education and family planning.

However, this will only be possible if the following is accomplished:

- Address the structural causes of vulnerability (climate-related risks and shocks, demographic pressure, conflicts, migration, production systems, capacity gaps) through a multi-sector and multi-stakeholder approach;
- Strengthen the capacity of the institutions in charge of prevention and crisis management, programme co-ordination and statistics at all levels: commune, department, regional and national levels; and

- Focus on equity: targeting based on social, economic and demographic indicators, analysis of vulnerabilities and risks and household poverty.



Action Strategy for resilient communities

1. Multi-sector and multi-stakeholder approach based on the risk and vulnerability analyses.
2. Equity-based targeting based on disparity and vulnerability of communes but also on the typology and opportunity criteria.
3. Synergy: synchronisation, complementarity and co-ordination.
4. Programme approach: at commune level within the Communal Development Plan (PDC).
5. Ownership: implementation by communities and co-financing from their municipal budget.
6. Resilience-oriented programming: contributing to resilience with a gender and environment lens.
7. Integrated context analysis at the national level (macro) to identify priority zones.
8. Seasonal Livelihood Programming at the regional level (medium) and at the commune level: participatory programming taking into account shocks and stresses, with a livelihood, seasonal and gender lens, to improve operational co-ordination and strengthen partnerships.
9. Community Based Participatory Planning (micro): villages or group of villages.
10. Strong integration between nutrition and other interventions.
11. Equity-based monitoring of results (MoRES) for bottleneck analysis and action.

III. Results and Targets

It is expected that the country's chronic malnutrition rates will decrease significantly as a result of this programme. Moreover, "ComdeCo" will have additional impacts and results in the following areas:

- Households' income will be increased through improved agro-pastoral production, more efficient marketing of products and other income generation activities;
- The nutritional status and health of children and their access to quality education will be improved;
- Women will actively participate in public fora and decision-making processes and access enhanced quality maternal and reproductive health services. Youth and adolescents will have more opportunities, especially in employment; and
- Local governance skills will be strengthened to appropriately manage decentralised resources. Public services will function more effectively and will be staffed with qualified personnel to offer quality services.

Some examples of areas targeted by "ComdeCo" are:

- In the field of **agro-pastoral production**, the programme contributes to the development of irrigation methods, vegetable farming, storage of agricultural inputs, grain banks, warehouse storage, improved seeds, livestock feed banks, livestock breeding centres and animal health, as well as the regeneration of farmlands and pastures.
- In **nutrition**, the programme implements screening, active case finding and management of moderate and severe acute malnutrition, prevention of chronic malnutrition and provision of micronutrient supplements, and encourages dietary diversification.
- In the **health** sector, local services are strengthened and prevention programmes and community-based care for childhood diseases are carried out.
- Access to safe **water** (boreholes, drinking water provisions, treatments), adequate community-led total **sanitation** (CLTS), and adequate **hygiene** in schools and health facilities.
- The programme promotes girls' **education** and school feeding and provides scholarships and school kits as well as an adequate infrastructure.
- The initiative also strongly focuses on **prevention and crisis management** through contingency arrangements for blanket feeding, conditional or unconditional food/cash assistance, recapitalisation of small livestock, vulnerability monitoring and small savings.

A smiling baby is weighted at a local health centre.
©UNICEF/Giacomo Pirozzi





A health worker measures a toddler's mid upper arm circumference to check for malnutrition. ©WFP/Rein Skullerud

IV. Challenges and next steps

The implementation of the project requires concurrent, collaborative and co-ordinated economic, social and humanitarian actions. This is challenged by the occasionally slow decentralisation of competencies to the communal level and lack of capacity of the duty bearers. Moreover, the initiative requires continuous funding for the priority communes over the planned three years. To address these challenges, the next steps will focus on applying lessons learned from the planning and implementation in the first 11 ComdeCo in 2014. This will allow refinement of the Communal Action Plans in the forthcoming ComdeCo and a heightened focus on thorough co-ordination and monitoring.

A couple attends a family planning consultation.
©UNFPA/Maurice Ascani



To address the predictable funding gaps, additional resources will need to be mobilised for 2015 and 2016.

Links to documentation:

At regional and global level:

- [UN Integrated Strategy for the Sahel](#); [AGIR-Sahel](#); [REGIS](#)

In Niger:

- [3N Initiative](#); [Socio-Economic Development Plan \(PDES 2012-2015\)](#); [UNDAF Niger 2014-2018](#)
- National policies and plans: [Social Protection, Peace and Security](#), [Decentralization](#)

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European Commission



Sanitation - as part of a multi-sector approach.

★ COMPENDIUM FICHE

Linking EU’s humanitarian and development work: the context of resilience building in Ethiopia

Summary: *The EC resilience building programme in Ethiopia is an innovative initiative that brings together at operational level ECHO and the EU Delegation. The approach is based on the premise that chronic humanitarian needs caused by drought and recurrent food insecurity can be more efficiently addressed via longer-term resilience building, linking humanitarian and development actions, than via short-term reactive rapid response actions. The strategy consists of an integrated approach where different partners - working in close co-ordination - implement a multi-sectoral resilience programme together with the local authorities. Both ECHO and DEVCO are co-finance partners working in selected clusters of districts where resilience to the next episode of drought needs to be built.*

I. How we understand the concept of Resilience in Ethiopia

While many definitions for the concept of resilience have been defined, there is still a widespread interpretation of what resilience building means in concrete and operational terms. In Ethiopia, the priority is to build the resilience of the most vulnerable people and communities to the impacts of drought.

Key outcomes, or characteristics of resilient communities, include food, nutrition and environmental security. Reducing the prevalence of under-nutrition and diminishing its seasonal variation and flattening of its peaks is the overall goal of all multi-sectoral, integrated actions. This new strategy for drought response encourages both humanitarian and development departments to engage pro-actively in joint programming to increase the resilience of the most vulnerable populations.





For the EU in Ethiopia, the four cornerstones of a more global resilience building framework are:

1. Improving the provision of basic social services, mainly health, water/sanitation and hygiene and nutrition;
2. Supporting livelihoods (mainly agriculture and livestock in Ethiopia) but also promoting and supporting alternative livelihoods (off farm and labour based) linked to the HABP (Household Assets Building Programme);
3. Disaster Risk Management (DRM) and preparedness to shocks (maybe the most important cornerstone of a resilience programme); and
4. Strong link to safety net programmes, such as the PSNP – Productive Safety Net Programme in Ethiopia.

II. Building resilience in selected clusters of districts

Both parts of the European Commission (ECHO and DEVCO) finance humanitarian and development activities in the same geographic areas, in so called EU clusters of woredas (districts), and follow a multi-sectoral approach

using nutrition and food insecurity as an entry point. The main target group is the most vulnerable part of the population living in areas that are prone to repetitive periods of drought. As resources are limited, the EU is following a geographically focused approach whereby eight clusters of districts (woredas) in highly food insecure and drought prone areas are identified. The 8 clusters cover 34 districts and more than 2.5 million people spread across five regions. The clusters are composed of a minimum of two and a maximum of six woredas. The selection of these clusters was based on:

- Areas where the European Commission (ECHO or DEVCO) has been repeatedly responding in emergency mode through its partners i.e. areas which experience recurrent droughts and nutrition related emergencies;
- Areas that present historic needs over the last 20 to 30 years and where the humanitarian community has repeatedly launched humanitarian response programmes in the recent past; and
- Areas with homogeneity of livelihoods feature so that a common strategy can be developed for the entire area of the cluster.

III. Financing tools

Different financing tools are used such as the ECHO Humanitarian Implementation Plan (HIP) and the 11th EDF¹ to build up the coping capacities of the population over the coming three to five years. The Supporting Horn of Africa Resilience (SHARE) initiative that aims to break the vicious cycle of crises in the region was launched in 2012 and is part of the European Commission strategy. Joint context and risks analysis, mapping, common log-frames, joint planning and co-ordination frameworks within each of the clusters are essential parts of the concept. ECHO and the EU Delegation in Ethiopia believe that this approach in Ethiopia provides a concrete and operational solution to the concept of resilience building, which otherwise often stays at the «philosophical» level.

IV. How to make it work

ECHO and DEVCO have been contributing to the overall programme since 2014 and the selection of geographic clusters has been revised to guarantee support for the resilience building programme over the middle to long term. In each geographical area, partners are required to collaborate to cover all sectors relevant to under-nutrition and resilience, and maintain close operational co-ordination. To obtain maximum impact, partners in a certain geographic area are expected to build a common strategic framework, with a common three year log-frame so that the cumulative effects of their efforts contribute towards a pre-set, joint, middle term objective. Furthermore, it is considered as crucial:

- To support and act in full co-operation with the Ethiopian Government's existing programmes in the different clusters of woredas as well as to maintain a close working relationship with the local authorities mostly on woreda and zone level. Throughout the design process and during implementation, there is regular contact and consultation with the Zonal/woreda/Kebele authorities to promote streamlining with woreda development plans and government led flagship programmes;
- To interact closely and co-ordinate with humanitarian partners and with development partners and donors working in the cluster to identify the gaps and the potential synergies between the different programmes. This co-ordination platform takes the form of a Cluster Working Group (CWG) which meets regularly in the field and in Addis Ababa to co-ordinate strategies and implementation in the cluster;
- To create a Cluster Lead Agency (CLA): within the cluster working group and within the coalition of co-operating partners, the role of the Cluster Lead Agency (CLA) is crucial as general facilitator and operational co-ordinator of the cluster group; and

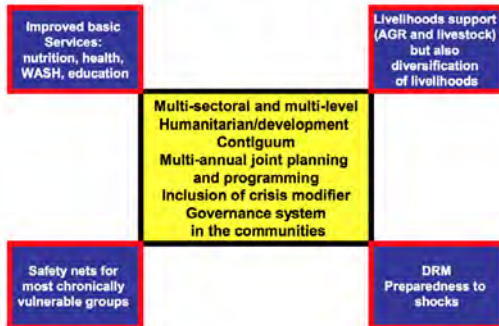
- In areas and in times where the approach mainly focuses on resilience building, partners are encouraged to mainstream Disaster Risk Reduction (DRR) activities while also maintaining emergency response capacity to tackle any emergencies that may arise using a crisis modifier, inherent in the programme budget or from other emergency response budgets within ECHO.

What's different from the previous approach?

- *Shift from a stop-go strategy (reacting to repetitive emerging crises) to a more cost efficient middle-term commitment over a number of years, building up resilience and coping capacities of the most vulnerable populations in drought prone communities, aiming towards a more cost effective response.*
- *The presence and action of a group of humanitarian and development partners working closely with the local authorities in these critical areas provides an enormous advantage when the next episode of drought occurs by having available immediately (or even before drought occurs) human resources, emergency stocks, knowledge and understanding of the area, established contacts with authorities and communities, etc. This allows the effects of the imminent drought to be minimised.*
- *Multi-sectoral, integrated approach with nutrition and food security as entry points but also covering other aspects of resilience building (see four cornerstones above). The multi-causal characteristics of under-nutrition are addressed.*
- *Geographic focussing on the same specific vulnerable areas where joint implementation between ECHO and DEVCO (to a large extent via the same consortia of partners) is strongly promoted.*
- *Solid preparatory joint assessment and analysis within the cluster of woredas leading to a common strategic framework and programme design.*
- *Genuine joint planning and programming between ECHO and DEVCO bringing in the comparative advantages of both.*
- *Strong co-ordination and interaction among humanitarian partners and the development partners working in the cluster to identify the gaps and the potential synergies.*

¹ 11th EDF: European Development Fund (2014 – 2020)

Simplified Resilience building model (humanitarian part)



Simplified Resilience building Development



VI. Next steps and recommendations

- Current and future programmes funded by all donors in these same clusters should be operationally in line with this initiative. While ECHO HIP and DEVCO SHARE are currently the main contributors to the resilience building programme of the EU, the addition of the 11th EDF as a donor in the long term will be crucial. It will be essential to guarantee that the resilience component included in the 11th EDF programme will be operational in the same geographic clusters and in close co-operation with the already existing programme.

Livelihood support.



- Maintain the goodwill and motivation among actors to pursue the objectives of this initiative. To guarantee continued close co-operation between ECHO and DEVCO on this programme, there is a need for very solid personal goodwill and motivation from the main actors on both sides but also the progressive establishment of a joint co-operation framework between ECHO and DEVCO to run resilience (or LRRD) programmes jointly. This would allow referring to standard working modalities and procedures.
- Further expansion of the resilience building programme model using funds from other donors should be promoted. This could be a topic for EU and member state joint programming in Ethiopia. This EU resilience programme covers 2.5 M people in 34 woredas in the critical area in Ethiopia prone to repetitive drought and crises. This represents some 10 to 15 % of the overall population and woredas in these critical zones.
- Evaluate the efficiency and effectiveness of the initiative. A comprehensive cost efficiency and cost effectiveness evaluation is necessary to quantify the real advantages and constrains of this approach.

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Internally displaced settlement, Port-au-Prince.

COMPENDIUM FICHE

Project Tounen Lakay (Retour à la maison): supporting the most vulnerable earthquake-affected families and communities in Haiti to live in safer neighbourhoods

Summary: *Since the 2010 major earthquake in Haiti, ECHO has supported the return and reintegration of displaced people to their areas of origin (neighbourhoods). Complementing ECHO's assistance and building on it, European Commission Development funds (DEVCO) have provided longer-term development assistance to the same earthquake-affected neighbourhoods. Working together in the same areas, with the same partners but through different approaches, has built local capacities and reinforced resilience at household and community levels.*

Through ECHO projects, internally displaced persons (IDP) returning to their area of origin received multi-sectoral support ranging from safe housing, adequate water and sanitation, business training and support grants, hygiene promotion, support to retrofitting of housing and training in good construction practices. Risk reduction was integrated into all these initiatives, ensuring that communities are better prepared and able to respond to natural hazards.

The longer-term DEVCO initiatives targeted the same return areas but addressed more long-term community development needs, such as improving access to basic services, reinforcing institutions and reducing the risks of disasters. This partnership, based on shared objectives and the optimising of respective mandates and expertise is a vibrant example of a resilience approach that links relief to rehabilitation and risk protected development.

I. Brief description of the initiative

Purpose

The principal objective of the project is to support the most vulnerable earthquake-affected families and communities to

live in safer neighbourhoods. The specific objective looks at supporting the safe return of targeted IDPs through support for relocation and the reduction of disaster risk in urban neighbourhoods of origin. This objective is translated into three main results which are:

1. Camp residents are safely relocated from targeted IDP settlements through rental assistance, livelihoods protection and recovery support (over 700 families received a rental subsidy cash grant, of which 95% also received livelihoods and recovery support);
2. Earthquake-affected communities are less vulnerable through a return process that mitigates identified physical risks, including damaged homes owned by camp returnees and/or extremely vulnerable households (over 500 houses benefitted from retrofitting and improved sanitation); and
3. Urban neighbourhoods of return are better prepared to manage future risks associated with natural disasters (realisation of Vulnerability and Capacity assessment in the return areas, participatory risk mapping, micro-mitigation activities, training and equipping of community response teams).

Rationale

On 12th January 2010, an earthquake measuring 7.2 on the Richter scale devastated a highly populated area in Haiti including the capital city Port-au-Prince, killing approximately 222,750 and injuring more than 300,000. The tremor destroyed 313,000 houses and left 1.5 million people displaced in informal settlements. The impact of this disaster was exacerbated by pre-existing economic and political weaknesses, and the lack of preparedness for such an emergency at both national and local levels.

The assistance that was initially provided to IDPs was gradually shifted towards supporting the displaced people to exit the camps and return to the areas of origin, through programmes such as rental subsidy or retrofitting. The weak capacity of the Government to address the needs of the IDP population and the sharp decrease in the number of humanitarian actors and funding prompted GOAL to develop a multi-faceted project. This included rental subsidies/house retrofitting, water and sanitation interventions to reduce the risks of water-borne diseases, livelihoods support and DRR activities with a strong community-based approach and links to longer-term initiatives aiming at rehabilitating and improving the neighbourhoods where the IDPs return to (DEVCO funded programme).

II. Expected results

The results of the two-phase project were:

- Helping the displaced people exit the camps and find more dignified living conditions in the neighbourhoods. Ensuring the durability of the return by developing the capacity of the most vulnerable to address their basic

Main contribution to resilience

This project contributes to enhancing the resilience of vulnerable populations and communities affected by the earthquake and their capacity to cope with future shocks at different levels through:

- *Support to accommodation during the first year of return, which enables families to cover other essential expenses;*
- *Improved living conditions: access to water, improved sanitation and hygiene, resulting in better living conditions with reduced exposure to risks of water-borne disease and natural disasters;*
- *Sensitisation activities with the IDP population and local communities on subjects such as environmental health (hygiene promotion), risk exposure and appropriate behaviour;*
- *Through extensive training, income generating activities and tutoring, families are able to generate alternative sources of income, contributing to a more resilient and stable household economy; and*
- *Build Back Better: through the owner-driven approach, the house owners are trained on good practices in construction allowing them to supervise the reconstruction work. The training of local workers that are then used in the retrofitting increases the local capacity and expertise of the community as well as supporting the local economy.*

Use of the livelihood grant amongst early relocated IDP households



Figure 1-Cf. Goal, 2013, Final Internal evaluation report

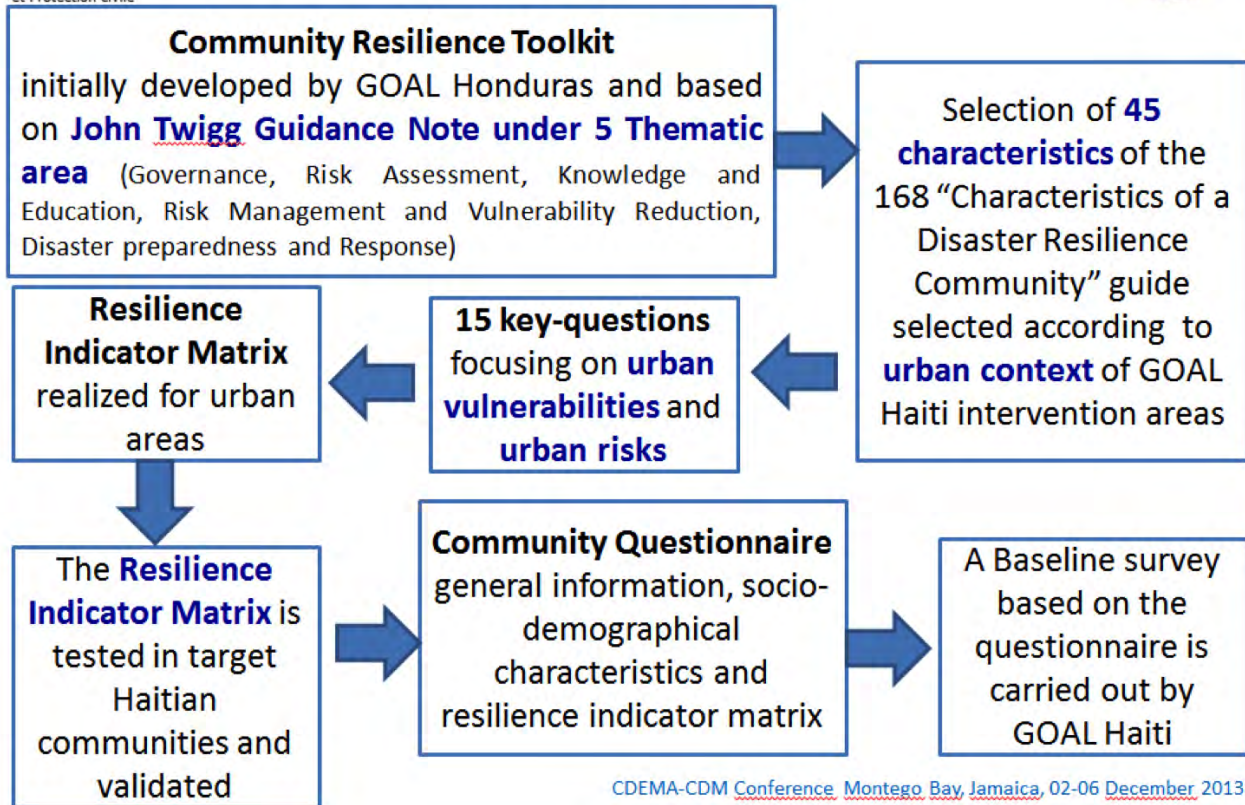
needs (food, school fees, clothing, second year rental, etc.) through training and distribution of cash grants to develop income generating activities;

- Community-based disaster risk management in the communities of return through reinforcing the local Civil Protection committee. Training and equipping community

¹ See John Twigg Guidance Note: "Characteristics of a Disaster Resilience Community", Version 2, November 2009. This note looks at community resilience in 5 main areas: Governance, Risk Assessment, Knowledge and Education, Risk Management and Vulnerability Reduction, Disaster preparedness and Response.



GOAL COMMUNITY RESILIENCE TOOLS ADAPTED IN URBAN AREA IN HAITI



CDEMA-CDM Conference, Montego Bay, Jamaica, 02-06 December 2013

Goal Community Resilience Tool

emergency teams, reinforcing the early warning system at the community level and risk mapping; and

- Supporting the reintegration into communities through community-based initiatives gathering both the local population and the returnees for activities such as DRR mitigation and sensitisation to risks (cholera, natural disasters).

III. Resilience characteristics

- Based on a Community Resilience Toolkit published by John Twigg¹, GOAL Haiti has developed a Community Resilience tool that was adapted to urban areas in the country and in particular the areas where GOAL is implementing Tounen Lakay projects. This tool includes carrying out a community resilience baseline before the intervention to be compared with an assessment after the intervention, allowing the impact of the project on the resilience of the communities to be highlighted².
- Build Back Better: operationalised through the owner-driven approach, placing the beneficiary at the centre

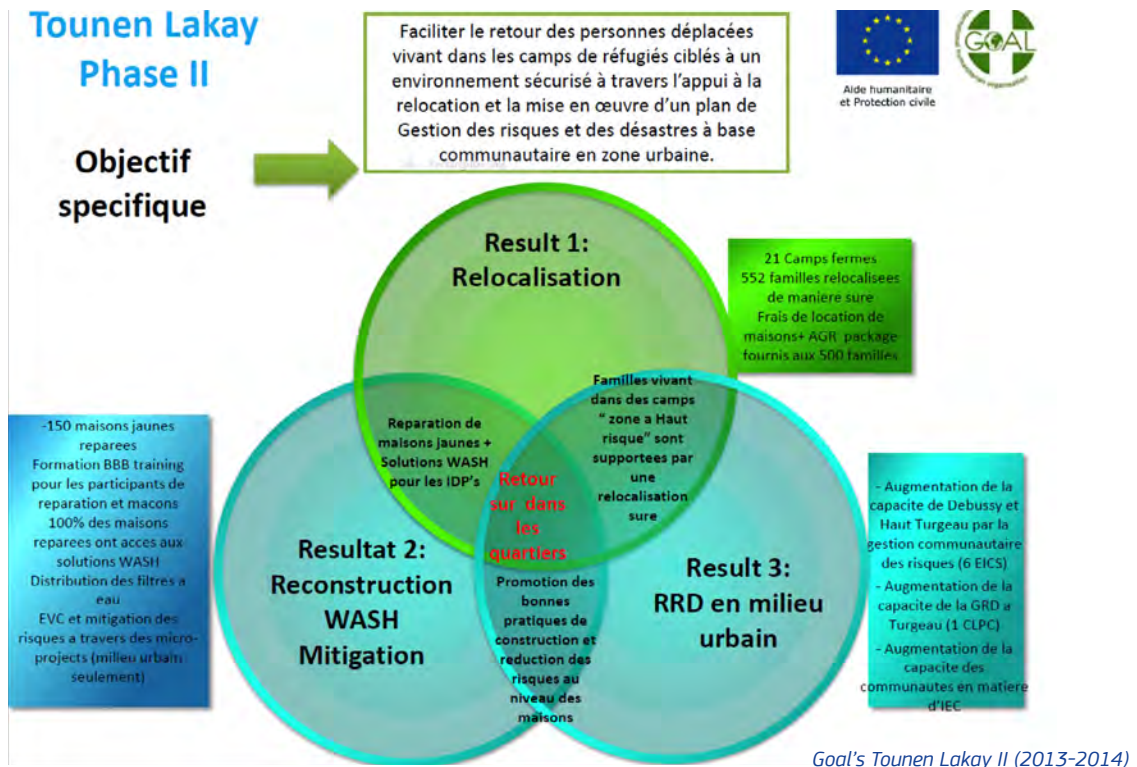
of the intervention, ensuring optimum ownership while reinforcing technical expertise of the community and strengthening the social fabric.

- Geographical / Partner targeting: Aiming at tangible Linking Relief, Rehabilitation and Development (LRRD), the selection of areas for the DEVCO programme supporting reconstruction and neighbourhoods improvement³ took into account former and ongoing projects funded by ECHO. Likewise, the selection of partners for the DEVCO projects took into account former experience in implementing ECHO projects in those areas, capitalising on the experience and expertise built throughout the years, a thorough understanding of the local context and extended integration in the communities. Several similar LRRD synergies exist with other partners⁴.
- This LRRD strategy also ensures the contiguum between a bottom-up approach of ECHO projects working at the households level extending to the community level and a top-down approach of DEVCO projects working at national, departmental and municipality levels, reaching the communities.

² See annexes 1 & 2 to this fiche presenting the Goal Community Resilience Tool

³ See fiche “Programme d’appui à la reconstruction et à l’aménagement des quartiers pour faciliter le retour des populations sinistrées”.

⁴ Solidarités International, Concern, Care, Deutsche Welthungerhilfe (AAA), HELP, Oxfam-UK



IV. Challenges

Four years after the earthquake, the line between humanitarian needs and the needs stemming from structural problems are blurred. Having tangible and effective synergies and linkages between humanitarian and development initiatives in order to capitalise on former interventions and thereby optimising impact remains a challenge.

Moreover, the absence of land register and property law, coupled with institutional weaknesses, political instability, extreme poverty, exposure to recurring shocks and the population's limited resilience capacities are part of the factors that challenge assistance to the most vulnerable and compound the development of the country.

Collapsed housing Port-au-Prince.



V. Next steps and recommendations

Continue to strengthen this framework of co-operation and joint programming in different sectors (food security, DRR, infrastructure). Supporting the return and reintegration of IDPs into communities remains essential, but as the number of IDP camps continue to decrease, it becomes increasingly clear that for some camps, relocation is not the answer and 'formalisation' options need be explored based on a longer-term urban development approach.

Links to documentation:

http://ec.europa.eu/europeaid/documents/aap/2011/af_aap-spe_2011_hti_p3.pdf

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ECHO monitoring mission with NARRI.

 **COMPENDIUM FICHE**

Institutionalisation of Community Based Disaster Preparedness: «Building a Disaster Resilient Bangladesh»

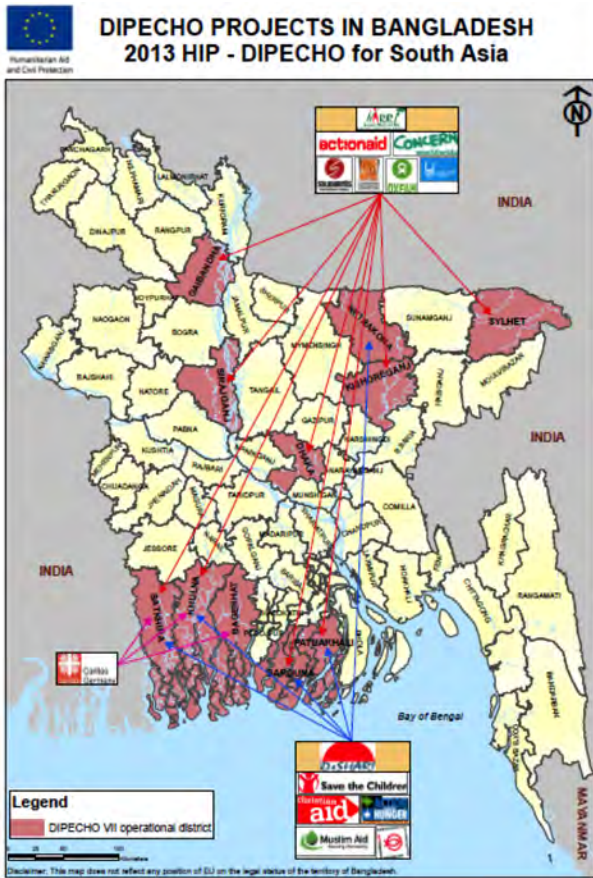
Summary: Bangladesh is a disaster-prone country. Every year flooding and waterlogging affect thousands of households. Risk informed planning and programming becomes indispensable in this context. Supported by ECHO's DIPECHO programme, the National Alliance for Risk Reduction and Response Initiative (NARRI) consortium succeeded with developing and replicating a risk informed planning and implementation tool, managing to institutionalise it into local government financial planning. Through co-ordinated efforts of NARRI members, Government and non-Government agencies, a Community Based Disaster Preparedness (CBDP) institutionalisation model was endorsed. This model has facilitated and led to the development of a risk informed Annual Development Plan (ADP), contributing to strengthening resilience to disasters in Bangladesh.

I. Brief description of the initiative

The geographical location, land characteristics, multiplicity of rivers and the monsoon climate render Bangladesh highly vulnerable to natural hazards¹. Human induced disasters caused by deforestation, environmental degradation, exploitation of natural resources and

unplanned urban structures have further aggravated the socio-economic environment. There is a strong need for a harmonised model to strengthen the capacities of those working within the local, district and national institutions on disaster risk reduction and management as well as develop a continual process of capacity building by institutionalising national Disaster Management

¹ National Plan for Disaster Management, DMB, 2010-2015 p.2



DIPECHO VII working area map

systems. Acknowledging the urgency to mainstream Disaster Risk Reduction into development to protect life, assets and to mitigate the impact of disasters, the NARRI consortium implemented the 'Building a disaster resilience Bangladesh' project promoting risk informed planning through participatory processes at Union, sub-district and district levels. Through the duration of this 18 months project (March 2013-August 2014) a pool of government officials at local, sub-national and national levels were trained to develop risk informed plans. The principle objective of this initiative is to increase resilience and establish a culture of disaster risk reduction among communities and institutions vulnerable to hazards in Bangladesh. This model focuses on strengthening the state mechanism for disaster preparedness through Community Based Rural Disaster Preparedness.

The Disaster Management regulatory framework is well defined in Bangladesh (Standard Order for Disaster- SOD and Disaster Act) with well-established and defined roles and structures but the SOD implementation is weak. Since 2002, ECHO has initiated CBDP processes in Bangladesh. The objective of the CBDP model is to enhance the capacity of local government officials and disaster management committee members to work towards resilience building at local to national level, bridging the resilience gap between government and communities. Through the NARRI² consortium, participative risk informed planning of

multi-sector development interventions has been duplicated and institutionalised.

II. Contribution to Resilience

The aim was to collectively analyse risks in a particular geographic area taking these into account for future actions in order to protect life, assets and to mitigate the impact of future disasters. Through a participative process, communities expressed the main risks they experienced and consequently risk informed plans were developed. These plans have been consolidated at local levels and validated at sub-district levels and laid the foundation for the annual risk informed programming and development plan. The institutionalisation process has ensured that both communities and local administration worked together in order to duplicate CBDP programs in disaster-prone areas, increasing the resilience of vulnerable people and reducing the risk for future disasters.

Through a participative process, risks are locally identified at all levels and developed into a risk informed programming which supports the implementation of the Bangladesh Disaster Management regulatory framework. Cooperation of the DIPECHO partners currently contributes to the collective learning, building ownership and standardisation of the CBDP. The institutionalisation of the CBDP ensures that risk informed programming is aligned with national laws, policies, rules and regulations.

III. Expected results

- Communities and local government develop a risk informed ADP which is used as a master plan for all interventions/stakeholders.
- Community initiatives are prioritized in the ADP according to the scale of risk.
- Capacities of local officials and representatives are strengthened through joint collaboration.
- The process of developing a risk informed ADP can be self-duplicated and sustained and the plans of actions can be funded by the government and any other intervention.

IV. Next steps and recommendations

The extension and replication of the annual development plan process to include more areas according to vulnerability prioritization to aim towards full coverage in 2015.



Meeting UzDMCs during inception visit.

Links to documentation:

- NARRI Consortium – www.narri-bd.org
- CBDP institutionalization model <http://narri-bd.org/index.php/training-manuals/cbdp-institutization-model>
- Harmonized training manuals <http://narri-bd.org/index.php/training-manuals/harmonize-training-manuals>

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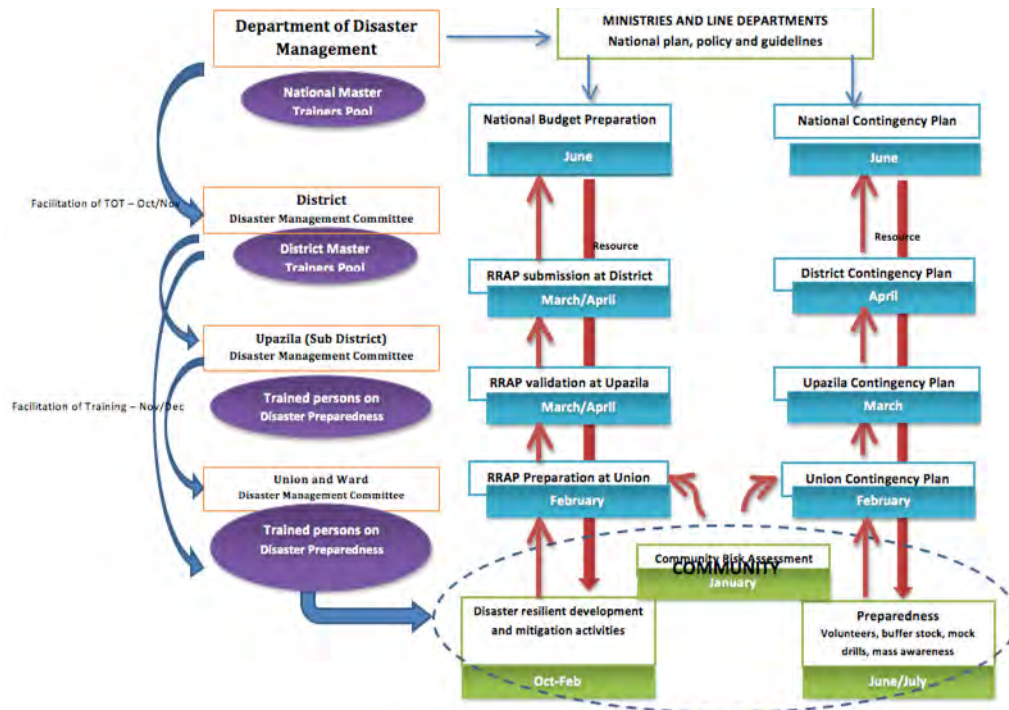
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The rural community based disaster preparedness process.

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COMPENDIUM FICHE

A Natural Disaster Risk Reduction Programme: reducing vulnerabilities to natural hazards and adapting to climate change

Summary: *The African, Caribbean, and Pacific (ACP) – European Union (EU) Natural Disaster Risk Reduction (ACP-EU-NDRR) Programme provides prevention, mitigation, and preparedness support to ACP countries and regional organisations supporting disaster risk management (DRM) through technical assistance, capacity building and advisory/analytical support. It also responds to requests from ACP countries in the aftermath of disasters by supporting impact and needs assessments and assists them in resilient recovery planning and financing, including leveraging related investments. Built up as a partnership, it contributes to ensuring aid effectiveness and harmonisation by bringing governments, the EU, the ACP Group and the GFDRR together with ACP regional organizations, civil society, and United Nations (UN) agencies.*

I. Brief Description of the initiative

The ACP-EU-NDRR Programme was launched in 2011 as an initiative of the ACP Group of States. It is funded by the EU and managed by the Global Facility for Disaster Reduction and Recovery (GFDRR), a partnership housed at the World Bank which supports developing countries in better understanding and reducing their vulnerabilities to natural hazards and adapting to climate change.

Organisation and timing: This programme is funded by a €54.5 million grant by the EU and covers a period of six years starting from 2011.

The overall objective of the ACP-EU-NDRR Programme is to contribute to sustainable development and poverty eradication by reducing the burden of disasters on the poor and the most vulnerable countries and population groups through improved disaster risk reduction.

The specific objective is to address prevention, mitigation and preparedness to natural hazards in ACP countries, focusing on the following four priority areas:

- Mainstreaming of disaster risk reduction;
- Risk identification and assessment;
- Early warning systems and communication on DRR; and
- Risk transfer and integration of DRR into recovery.

Rationale: A large number of countries in Africa, the Caribbean and the Pacific are highly vulnerable to natural hazards, a trend exacerbated by demographic pressure, unplanned urbanisation, environmental degradation, overexploitation of natural resources, and climate change. Many of these countries are exposed to multiple hazards including geological and extreme weather events. Overall, the level of prevention, mitigation, and preparedness in these regions remains relatively low, while the need for the international community to take action is increasing.

The main expected results are:

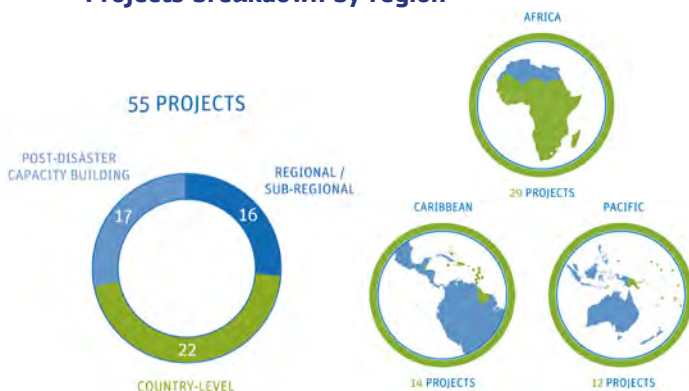
- Improved resilience of ACP countries to the impact of natural disasters;
- Better preparedness of the population in disaster-prone areas; and
- Reduction of the cost of response in the event of natural disasters.

II. Main contribution to resilience

The programme supports the resilience agenda in ACP countries, by providing technical assistance and building in-country capacity to integrate multi-sector and multi-hazard risk management approaches into national and regional development planning, and foster informed decision-making on recovery, reconstruction and long-term development planning.

As of November 2014, the Programme's portfolio has a total of 55 projects (see breakdown by region and type of activities below), covering a wide spectrum of DRM activities. Out of these 55 projects, a total of 11 post-disaster assessments were conducted with the Programme's support.

Projects breakdown by region



The Africa projects portfolio includes

- Mainstreaming regional/national/local level (IGAD, ECCAS, DIMSUR, Niger, Liberia, Sierra Leone);
- Data generation (RCMRD, Liberia, Gambia);
- Risk assessment/profiles (Lesotho, Rwanda, Cameroon, Indian Ocean);
- Technical community of practitioners (RHOK in Eastern Africa, UR2012 South Africa);
- Early warning and preparedness (Sierra Leone, Niger, Togo, Gambia, Tanzania, Sahel); and
- Post-disaster assessments (Djibouti, Kenya, Nigeria, Burundi, Seychelles, Comoros, Sudan).

The Caribbean projects portfolio includes

- Mainstreaming in sector planning (Haiti, Dominican Republic);
- Data generation, risk information and assessment;
- Preparation of DRM investments (Multi Criteria Evaluations in Belize, Saint Lucia, Dominica);
- DRM Communication/advocacy (Guyana);
- Technical capacity building and community of practitioners (MOSSAIC, Caribbean Risk information); and
- DaLA assessments in Saint Vincent and the Grenadines and Saint Lucia.

Resilience characteristics

The ACP-EU NDRR Programme contributes to the three priorities of the EU Action Plan for Resilience (national and regional resilience approaches, innovation in DRM and methodologies and tools to support resilience). It is also aligned with GFDRR's priorities to deepen efforts in disaster resilient development and promote innovative approaches, and particularly:

- *Enhancing understanding of disaster risk;*
- *Ensuring a closer alignment between the DRM and climate change adaptation agendas;*
- *Improving countries preparedness, through functional early warning systems and efficient contingency planning;*
- *Increasing support for the design and implementation of financial protection strategies;*
- *Enhancing support to countries for accelerated and more resilient recovery planning;*
- *Fostering a participatory approach to communities resilience, where possible; and*
- *Promoting further convergence of donors and other partners efforts to support disaster resilience.*

The Pacific projects portfolio includes

- Mainstreaming at national/local level (the Solomon Islands, Vanuatu);
- Data collection and risk information sharing (regional programme PCRAFI);
- Sector risk assessment and building community resilience (Timor-Leste);
- Preparedness, contingency planning and early warning systems (the Solomon Islands, Vanuatu); and
- Rapid disaster assessment and DaLA assessments (the Solomon Islands, Tonga, Fiji).

III. Selected programme achievements

- More than 400 government officials from 11 countries were trained in the last two years on post disaster needs assessments methodology.
- The first parametric regional risk transfer mechanism supported by the ACP-EU-NDRR Programme, the Catastrophe Risk Insurance Pilot Programme, developed under the Pacific Catastrophe Risk Assessment and Financing Initiative (PCRAFI), awarded more than US \$1.2 million in early 2014 to Tonga, the first country to benefit from an immediate recovery payment, following Cyclone Ian in January 2014.
- A new Technical Centre for Disaster Risk Management, Sustainability and Urban Resilience in Southern Africa was established in partnership with the governments of Comoros, Madagascar, Malawi, and Mozambique, together with UN-HABITAT and UNISDR.
- With the Community-based Disaster Risk Reduction Project implemented by Oxfam in Niger, more than 3000 community members, including 943 women, were trained in disaster risk reduction and ten municipal-level monitoring observatories were reactivated along with 20 community early warning systems.
- Multi-Criteria Evaluation (MCE) approaches for investment prioritisation were developed together with Government ministries, agencies and other stakeholders in Belize, Dominica and Saint Lucia to identify priority investments to be financed under Disaster Vulnerability Reduction Programmes. In Belize, support to the Government led to the development of a National Climate Resilience Investment Plan for the country, thanks to broad multi-stakeholder consultations bringing together several government agencies and non-governmental organisations, as well as the private sector. The plan identified four priority regions where investment in the transportation sector will help reduce economic losses, ensure continued connectivity during floods, and protect vulnerable communities.

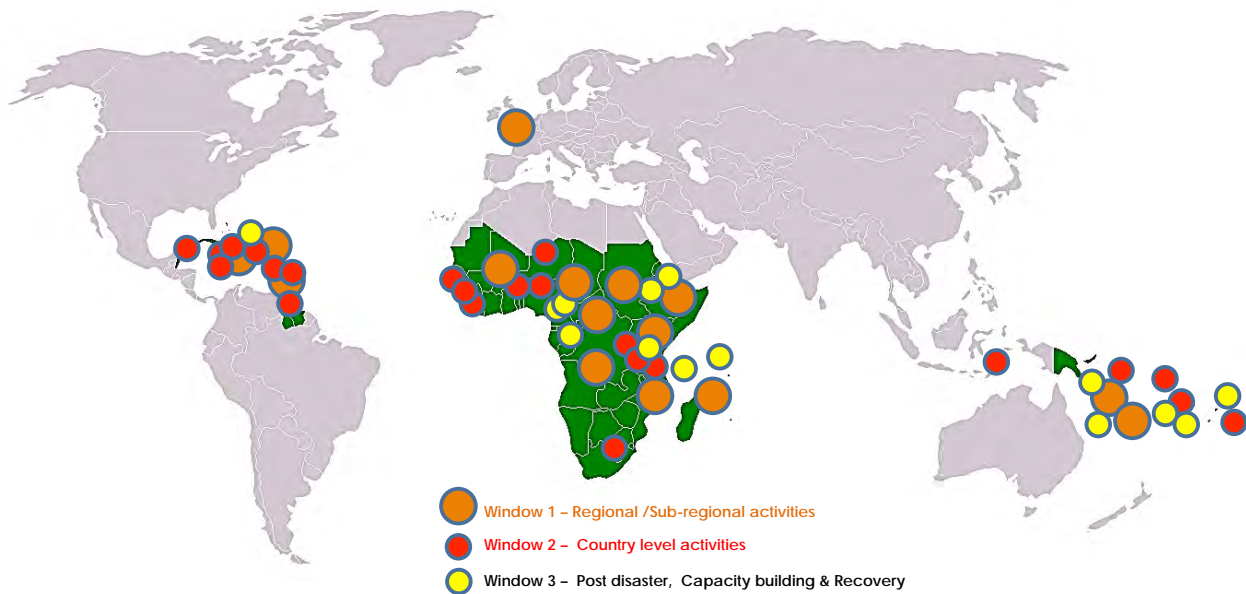


Post-disaster needs assessment, Nigeria, 2012.

- The findings of the Post Disaster Needs Assessment (PDNA) following the 2012 floods in Nigeria played an important role in incorporating disaster risk management into Nigeria's 2015-2017 Country Partnership Strategy. This PDNA helped establish national capacity and has become a model to reduce timelines and enable government agencies and other organisations to respond more rapidly to the next disaster. An assessment of localised floods in the city of Ibadan in 2011 led furthermore to investments in drainage and flood resilient urban development, financed by a US \$200 million IDA / World Bank credit.
- Several Indian Ocean states were affected by floods in 2012 (Comoros) and 2013 (Seychelles). ACP-EU-NDRR Programme financed post disaster assessments provided immediate technical assistance to the affected countries, which leveraged US \$3 million additional financing from IDA for safety nets and a development policy lending with strong focus on disaster risk reduction policies in the Comoros and a US \$8 million development policy lending with a CAT DDO in the Seychelles. The Indian Ocean states recently joined forces for building financial resilience and addressing the high vulnerability of the islands to disaster losses from cyclones, floods, earthquakes and tsunamis. This Southwest Indian Ocean Risk Assessment and Financing Initiative (SWIO RAFI) was launched in April 2014.

IV. Lessons learned

- Post Disaster Needs Assessments (PDNA) provide unique opportunities to promote risk reduction, investments in resilient infrastructure, and fostering disaster resilient and sustainable economic growth.



- There is a need for improved inter-organisational communication at country-level for effective disaster risk mitigation and greater recognition, appreciation and use of existing knowledge and resources of local communities.
- Strong analytical work and inclusiveness are critical to building stakeholder consensus.
- Development of large-scale national plans requires comprehensive and iterative processes including in-country consultations.

V. Challenges

In the field of DRM and CCA, there are a number of activities funded by the EU, in particular in the context of the Intra-ACP co-operation strategy, together with the ACP Group major donors. To avoid overlap and duplication of efforts, co-ordination with the EU and other relevant partners at country and regional levels is an integral part of the programme.

Institutional and/or absorption capacity of national and regional authorities are in some cases limited. To ensure sustainable and long-term results, the programme focuses on building institutional and technical capacity to ensure that the supported governments have the necessary knowledge and skills to achieve their DRM and development goals.

There is growing awareness and evidence, demonstrated also by Post Disaster Needs Assessments, that the recovery phase represents a critical moment and value in reducing vulnerability. Donor funding invested in recovery and reconstruction, however, still does not adequately integrate disaster risk reduction into long-term planning and development.

VI. Next steps and recommendations

The ACP-EU-NDRR Programme will continue to work on promoting the use of best practices, fostering learning

and knowledge sharing among countries and regions, and strengthening effective co-ordination among the different partners supporting the disaster risk reduction and post-disaster response agenda. The programme will also continue to promote the importance of disaster risk reduction as a key development challenge in ACP countries.

Links to documentation:

- Programme Website: <https://www.gfdr.org/acp-eu>
- Stories of Impact: <https://www.gfdr.org/node/28327>
- ACP-EU NDRR Progress Report 2011-2013: <https://www.gfdr.org/node/28070>
- ACP-EU NDRR Programme Brochure: <https://www.gfdr.org/node/28326>

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GFDRR
Global Facility for Disaster Reduction and Recovery

ACP-EU Natural Disaster Risk Reduction Program
An Initiative of the African, Caribbean and Pacific Group, funded by the European Union and managed by GFDRR



European
Commission



 **COMPENDIUM FICHE**

Safe Hospitals Initiative: reducing the health sector's vulnerability to natural disasters

Summary: *Health facilities need to function when they are needed most – especially during crises or disasters. As part of its disaster preparedness programme (DIPECHO), the European Commission's Humanitarian Aid Office (ECHO) has supported the Pan-American Health Organization (PAHO/WHO) to promote safe hospitals as a way to reduce the health sector's vulnerability to natural disasters.*

During emergencies, hospitals must be able to play their vital role in providing emergency care. The initiative has produced a set of indicators and guidelines to assess risks to health facilities so actions can be taken to ensure they can cope after hazard events. The assessment incorporates both structural vulnerability and the capacity of each facility to continue functioning.

Projects have been implemented in several countries throughout the Latin American and Caribbean (LAC) region, reinforcing many health facilities as well as integrating concepts of safety into new ones. This work supports the International Strategy for Disaster Reduction (ISDR) Hospitals Safe from Disasters campaign, which is endorsed by many governments.

I. Brief description of the initiative

The intervention aims to strengthen hospitals to ensure that they can continue to provide health services during and after a disaster or emergency, when health services may be most needed. Initially developed for hospitals, support was expanded to include smaller health facilities too.

An aspect of the intervention is the Hospital Safety Index (HSI) that evaluates each facility individually, assessing its location, construction, condition, support systems, and disaster preparedness and response plans. This provides an excellent diagnosis that leads to the initiation of a safe hospital strategy. The final Hospital Safety Index score places a health facility into one of three categories of safety (A, B, and C), helping authorities to determine which facilities most urgently need corrective action. Category A is for facilities deemed able to protect the life of their occupants and likely to continue functioning in disaster situations. Category B is assigned to facilities that can resist a disaster but in which equipment and critical services are at risk. Category C designates a health facility where the lives and safety of occupants are deemed at risk during disasters.

Calculating the safety score allows health facilities to establish maintenance and monitoring routines and look at actions to improve safety in the medium term. This quick overview will give countries and decision makers a starting point for establishing priorities and reducing risk and vulnerability in healthcare facilities.

In South America, at least eight countries have included Safe Hospitals within the disaster management programmes of their Ministries of Health.

In Central America, both El Salvador and Costa Rica have already evaluated over 80% of their hospitals. Other countries are also working on adopting the idea as part of their policy. The Council of Ministers of Health of Central America and the Dominican Republic (SICA) has included the subject of Safe Hospitals in their strategic plan for 2013-2018.

In the Caribbean, since 2008, 47 health facilities have already been evaluated with the Hospital Safety Index and 147 people have been trained in the methodology. Most (80%) have been assessed as Category B, indicating that the hospital's current safety levels are such that patients, hospital staff, and ability to function during and after a disaster are potentially at risk.

In Haiti, post 2010 earthquake where over 50 health facilities were destroyed or damaged leaving 200,000 people in need of emergency and medical care, the Health Safety Index was used as the basis of a «Guide for the Construction of Hospitals Resistant to Natural Hazards» aimed at ensuring that the reconstruction of health facilities reduced future vulnerability.

Results from the application of the Hospital Safety Index in 1,524 hospitals in the Americas demonstrate that although about half of the hospitals are highly likely to remain functional in disaster, urgent actions are needed in at least 17% of hospitals as they do not ensure the safety of patients, health staff and visitors. Just this piece of data will help countries prioritize financial and human resources to increase disaster preparedness and improve the safety of key facilities

II. Main contribution to resilience

Authorities and those responsible for health facilities acknowledge which of their facilities will be able to withstand a disaster and continue functioning. When the results are known, measures are taken to ensure that hospitals improve their category. Some improvements in the score may require functional changes while other may need important investments and rehabilitation of infrastructure. In some cases, new facilities are taking into account the HSI, or have already done so. In the long term, health facilities should become less and less vulnerable to disasters.

The initiative has been very successful in attracting the attention of health and civil protection authorities in most countries.



Technical guidance.

Implementation in the long term will require financing by governments and other local actors. An example of national commitments comes from Colombia. In 2009 the Government of Colombia passed a resolution adopting the Safe Hospitals Initiative and including a National Safe Hospitals program within its National Development Plan 2010-2014.

III. Next steps and recommendations

The initiative should be integrated within national policy and particularly for the building of new health facilities. Some Ministries of Health are promoting and assessing their health facilities with

more zeal than others, allocating staff and time to continue assessing hospitals and health centres throughout their country.

The Hospital Safety Index should be systematically and periodically calculated for all health facilities. The goal should be to have as many health facilities as possible under category A, able to protect the patients during the disaster but also to continue providing much needed health services in the aftermath of a major disaster.

Links to documentation:

- Virtual Journey Through a Safe Hospital - Multimedia Training Program on Hospitals Safe from Disasters <http://www.bertha.gob.ni/VirtualSafeHospital/CDESPANOL/plantilla.html>
- Info on partner's web site http://www.paho.org/disasters/newsletter/index.php?option=com_content&view=article&id=525&Itemid=318&lang=en
- Safe Hospital Initiative <http://safehospitals.info>

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Water Facility in Marsabit.

 COMPENDIUM FICHE

Human Security: JICA's approach to building resilient communities in Kenya and beyond

Summary: *Japan International Cooperation Agency's (JICA) corporate vision is to pursue "Inclusive and Dynamic Development" in order to achieve "human security". The notion of "human security" is closely related to enhancing the resilience of vulnerable people, especially of poor people, who are most exposed to various shocks. In Africa, the effects of climate change have become more and more apparent. In 2010/2011, Kenya experienced severe drought which resulted in serious socio-economic impacts. The country is also prone to flooding, experiencing heavy rains and landslides causing widespread displacement of people, loss of lives and crops, destruction of houses and vital infrastructure. As a result of this, food security and disaster management are JICA's two main pillars to enhance resilience, thereby contributing to the achievement of "human security" throughout the world.*

I. Enhancing Resilience for National Food Security

Kenya is composed of 80% of arid and semi-arid land that is to a large extent inhabited by pastoralists. A majority of the population is therefore concentrated in the 20% high potential areas although 80% of farmers are small scale,

operating on less than one hectare. Agriculture is a major sector, earning 60% of export revenue and employing 20% of the total population. Kenya's country development strategy, Vision 2030, therefore identifies the agricultural sector as an important means for economic development, as well as a key driver for achieving food security and improvement of livelihood of farmers.

To build resilience for national food security, JICA currently assists the country through a “three-layer structure” approach, with different interventions in high potential areas, semi-arid areas, and arid areas respectively. In this approach, projects are designed to adapt to the particular climatic conditions of each area to maximise impact on national food security as well as on the livelihoods of farmers and pastoralists.

In high potential areas, JICA supports the rice production in Mwea Irrigation Scheme through best mixture of financial co-operation; Mwea Irrigation Development Project (infrastructure) and technical co-operation; Rice-Based and Market Oriented Agriculture Promotion Project (RICE MAP) (capacity building).

Mwea Irrigation Development Project

The Mwea irrigation scheme in central Kenya produces over 50% of the national rice production. There is huge potential to increase rice production through addressing the water shortage problem and expanding the land under cultivation. The JICA-supported project is a Kenyan Shilling (Kes) 13 billion loan to the Government of Kenya focusing on the construction of a water reservoir/dam, rehabilitation of the irrigation facilities and expansion of the rice scheme. The project is expected to provide a stable supply of irrigation water to enable double cropping (two harvests per year) of rice, as well as to improve the productivity of rice and other crops in the expanded area totaling 16,920 ha, increased from the current cultivated area of 7,860 ha.

Through these efforts, the project aims to contribute to the improvement of national food security in Kenya and to the livelihoods of farmers in the region.

Rice-Based and Market Oriented Agriculture Promotion Project (RICE MAP)

This technical co-operation project combines well with the above loan project. The purpose of the RICE MAP Project is to increase farmers’ profits from agricultural activities in the Mwea Irrigation Scheme through a market oriented approach that can also be adopted in other irrigation schemes. This is expected to be achieved through technical support to farmers and the development of the Government’s capacity to sustainably support these farmers.

In the semi-arid lands, JICA is implementing the technical co-operation project called Sustainable Smallholder Irrigation Development and Management in Semi-Arid Lands (SIDEMAN-SAL) to develop participatory community irrigation schemes.

Sustainable Smallholder Irrigation Development and Management in Semi-Arid Lands (SIDEMAN-SAL)

The objective of this Project is to strengthen the farmers’ resilience against drought through the provision of irrigation

water by developing smallholder irrigation facilities to enable farmers to grow crops, thereby minimise losses that would otherwise be experienced during the drought.

II. Enhancing Resilience against Disasters

As for the effective measures for building resilience against natural disasters, JICA employs two key approaches; a mixture of structural and non-structural measures coupled with community managed disaster risk reduction (CMDRR), in collaboration with the European Commission’s Directorate General for Humanitarian Aid and Civil Protection (ECHO).

One of the key lessons learned from the 2011 Great East Japan Earthquake (GEJE) was the importance of the multi-layered approach which combines both structural and non-structural measures. For example, although dikes are both necessary and effective measures in preventing ordinary tsunamis, their use is limited in extreme events such as the 2011 tsunami. Non-structural measures also need to be established; including early warning, hazard maps, and evacuation drills of residents, etc.

GEJE also highlighted the important role that a community has in DRR. As Japan is a disaster prone country, disaster management is part of its culture. Community based organisations and schools take an active role in growing this disaster management culture. They serve before, during, and after the disaster through various activities include firefighting, issuing warnings, and assisting evacuation, etc. In fact, in GEJE, the majority of people were rescued by their neighbors and many school children survived, as a result of the regular evacuation trainings they had received in schools.

Learning from these experiences, JICA currently implements two projects on community based disaster management; one against floods and another against drought in arid lands in Kenya.

The Project for Capacity Development of Effective Flood Management in Flood Prone Areas

Since 2006 JICA has been supporting the Water Resources Management Authority (WRMA) and communities affected by floods in Kenya to enhance their capacity to cope with flood disasters. The purpose of the latest Project for Capacity Development of Effective Flood Management in Flood Prone Areas (2011-2014) is to establish a flood management institutional framework in the project’s three target areas for effective and sustainable implementation of community based activities in the context of water resources management.

This project draws on both Japanese experiences in flood management and the communities' traditional knowledge. It adopts a holistic approach by incorporating both structural measures such as construction of evacuation centers, culverts, foot bridges and riverbank protection works, and non-structural measures, for example, training communities on disaster management, production of flood hazard maps, community based early warning systems and evacuation actions and procedures. During the rainy season of March 2014, JICA witnessed the successful operation of community based early warning system which enabled people living downstream to evacuate promptly due to the communication they received from people living in upper stream areas.

The Project for Enhancing Community Resilience against Drought in Northern Kenya (ECoRAD)

This Project started in February 2012 and promotes a Community Managed Disaster Risk Reduction (CMDRR) approach, employed under the framework of ECHO's Drought Risk Reduction Action Plan (DRRAP), to ensure that communities themselves increase their coping capacities to droughts, while at the same time reducing their vulnerability through income generating activities. To achieve this goal, there are four components to this project; supporting sustainable natural resource management, improvement of livestock value chains, livelihood diversification, and capacity development of the government.

The project has already constructed one rock catchment, one pipeline system, five water pans, and three solar power pumping system in Marsabit, and this year, 2014, another 20 boreholes and four water pans will be constructed in Turkana. The rock catchment facility constructed in Ngurunit, in Marsabit County, uses an innovative design that lowers the construction cost by up to 30%. It has a long reservoir along a rock slope which collects rain water with minimal losses.

These water facilities are expected to contribute to strengthening the community's resilience during the next dry season through promoting optimal utilisation of pasture resources. Moreover, the project's support to training on strengthening financial management of the community ensures the sustainability of these water facilities. It has also been

observed that communities that have installed solar power modules have successfully been able to save enough money to both repair and maintain the facilities whilst allocating a part of the savings to a "community development fund." In December 2013 the community was able to construct a new classroom with the saved funds. The implementation of these projects has the ability to create community resilience so that people are able to cope with drought without needing external support.

For the livestock value chain component, the project has improved market facilities and introduced the Heifer Program. Introduction of heifers is considered to be very effective to stimulate sales by pastoralists and improve productivity. Since the introduction of this program, the project has observed that more than 500 animals have been sold by pastoralists to purchase heifers.





DRR education at school.

Livelihood diversification is also an important component in enhancing the resilience of people against drought, especially of women. The project introduced the goat and chicken merry-go-round activity in Marsabit, to diversify the livelihood of target communities through technical training, Village Community Banking (VICOBA) training, and mentoring activities. Marketing support is also in place for local products such as salt, resins, and honey production. Through these

Livelihood Diversification.



activities, the project aims at providing alternative livelihood options for women to withstand the shocks of drought.

III. Conclusion

There is no region or country exempted from natural disasters, and we cannot completely prevent them from occurring. However, we can stop the emergencies or minimise the negative impacts, by better understanding the risks at all levels and managing them from the prevention to reconstruction in an effective manner. JICA continue to assist communities in Kenya, through the “three layer structure” approach to food security, in order to build resilience through a food security and disaster management approach.

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Adaptive livelihoods.

 COMPENDIUM FICHE

Reducing the impact of future floods: a joint response and recovery strategy with local authorities and vulnerable communities

Summary: *Through a small scale response project, ECHO and its partners engaged the municipalities affected by floods in San Juan del Oro, Bolivia, through joint assessment and planning. ECHO funds were then multiplied by the contribution of local authorities, and resilient practices were included in the annual budgets that the municipalities allocated to long term rehabilitation. These resilient practices resulted from the recommendations of a vulnerability assessment carried out by the project. Examples include the installation of an early warning system, the reinforcement of irrigation schemes and water systems, the construction of retaining walls, the promotion of improved seeds and cultivation techniques, and the development of disaster risk management (DRM) and emergency municipal plans. A DRM Unit was officially created in each of the three municipalities in order to guarantee continuity of the process.*

In May 2013, floods destroyed the houses and livelihoods of more than 18,000 people in Bolivia. ECHO partners worked together with the Vice Ministry of Civil Defence (VIDECI, the national disaster authority) and mayors of affected municipalities to analyse their main needs, response resources and gaps to cover and to plan a joint response. This resulted in a single joint assessment which was used

to articulate a common, comprehensive humanitarian operation, including rehabilitation needs and longer-term solutions to reduce the impact of future floods. Through this mechanism, the ECHO project triggered a joint response which went far beyond the €300,000 provided by ECHO for immediate response needs, to also cover longer term rehabilitation and reconstruction.

I. Brief description of the initiative

The purpose of the intervention was to provide emergency humanitarian aid and livelihood recovery/productive rehabilitation of farming communities in the San Juan del Oro, allowing the communities to restore their livelihoods that were lost due to a flash flood. This required a multi-sector approach including short term food security/livelihood support, water, sanitation and hygiene promotion and Disaster risk reduction/disaster preparedness.

There were three expected results:

1. To restore community water supply systems for drinking and irrigation;
2. To recover the livelihoods and farming production of the affected population; and
3. To improve local authorities' and community leaders' disaster risk prevention, response and management skills and their capacity to protect their vital services and livelihoods.

The first two results were aimed at working directly with the affected population on rehabilitating their water systems and farming productive activities, while the third result was oriented at supporting more co-ordination and improving technical skills in risk and emergency management.

The project was implemented by a consortia led by Deutsche Welthungerhilfe, along with Ayuda en Acción, Food and Agriculture Organization (FAO), and local NGOs with extended experience of working with farmers and municipalities; and Fundación Aclo, Jaina, Prometa and Fundación Nativa. The primary needs of the affected population (food and shelter) were taken care of by national authorities in the immediate aftermath of the floods. The work on water systems (for both human consumption and productive uses) and livelihood rehabilitation was closely co-ordinated with local authorities, who carried out part of the work.

II. Main contribution to resilience

A thorough needs assessment was carried out by various institutions and organisations, each with a very different set of skills and experiences (from emergency response to development and infrastructure planning), under the auspices of the VIDECI. This resulted in a comprehensive joint humanitarian response action, taking advantage of the different mandates and capacities of each actor. For example, national authorities have quick distribution mechanisms for the immediate phase of the emergency, which local governments lack. Local governments have possibilities in terms of budget and equipment for the use of heavy machinery (for example for debris and sand removal or transport of heavy materials) and also have a potential to

provide long-term productive support but sometimes lack experience in livelihood assessment and rehabilitation. Local authorities could be better informed and prepared for future emergencies. On the other hand, humanitarian and local NGOs as well as FAO have strong humanitarian experience and direct access to communities and community leaders, as well as technical skills to strengthen livelihood recovery initiatives. They are also key actors in implementing Early Warning Systems and river basin management planning needs.

Many of the initiatives funded by ECHO for rapid recovery of livelihoods are now being continued by the municipalities, who have scaled up these activities, funding them through their own budgets and providing a real link between response, recovery and development that concretely supports the affected communities. The project produced information to be included in a new water basin planning document that will support the regional development of the Rio San Juan del Oro area. This includes disaster reduction activities to mitigate future floods, for example, the construction of containing walls, the reinforcement of the irrigation schemes so that they can withstand floods (e.g. filtration galleries, reinforced bridges, etc.), or the adaptation of the seeds to the flooding cycles.



Seed distributions promoted quick production from affected farmers.

Key to this initiative was investing the necessary time, under the auspices of the national authority, to jointly agree on the needs assessment, then dividing the workload among actors according to the strengths and weaknesses of each.



Troje – a traditional seed storage shack.

This proved beneficial to the action without affecting the immediate needs of the population in food and shelter, which were already being addressed by the authorities.

For the municipalities and departmental governments involved, the inclusion of risk management as a new skill and priority will have a long-term impact in the area. The Early Warning System is now operational; and local technicians have new experience in analysing livelihoods and risks and are thus better prepared to include resilience objectives in their productive assistance programmes. They now know what kind of support to expect and request from other actors (such as national government and international or national organisations).

Working in co-ordination with all actors (municipal and departmental authorities, NGOs and a UN agency) was a challenge, but the division of tasks produced the expected results. This experience is now cited by the Bolivian Government as an example of co-ordination during emergency and rehabilitation processes. It has also allowed a joint analysis among humanitarian and development actors, looking beyond the emergency to support local populations and strengthening local governments to better implement their mandates. Local NGOs were instrumental due to their detailed knowledge of all actors present in the area. Their

commitment to the affected people meant that the response could be managed locally.

Local turn-over of political and technical staff (in all levels of local governments) remains a challenge to strengthen local administrations over the long run. Thus, it remains very important to work with them and with local organisations (such as community organisations and farmers associations, etc.) to promote social demand to authorities and keep local memory of the action.

III. Next steps and recommendations

In the Bolivian context, it is important to continue supporting local co-ordination initiatives, and bring the technical skills of all ECHO's partners to strengthen local actions. More generally in South America, governments have more and more capacity to respond to emergencies (especially those occurring in a limited area) and usually manage to provide support for the immediate needs. However, planning and linking emergency actions with more long-term reconstruction or development oriented actions still proves to be challenging. Reinforcing the resilience agenda allows local needs to be highlighted and facilitates sequencing of the different activities, with each actor implementing their mandate in a co-ordinated way.



Community distribution.

The way of assessing and planning jointly by ECHO partners, National Government and Municipalities, should definitively become a rule in this kind of context, as it allows a real articulation of efforts and a link between the emergency response and the long term initiatives to be carried out by local institutions in rehabilitation and the development.

Links to documentation:

Video of the intervention:

<http://www.youtube.com/watch?v=ZyrQXqZ1FOE>

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 COMPENDIUM FICHE

Building the resilience of Lesotho's rural communities: increasing food and nutrition security

Summary: *The Food and Agriculture Organization (FAO) and the World Food Programme's (WFP) Resilience Strategy for Lesotho increases food and nutrition security among rural communities through the up-scaling and mainstreaming of Climate Smart Agriculture (CSA), conservation and rehabilitation of Natural Resources and strengthened Disaster Risk Reduction (DRR) capacities.*

The resilience strategy builds on the experience of the coordinated emergency responses carried out by FAO and WFP in response to the 2011/12 drought. ECHO funded humanitarian assistance was designed to meet immediate needs while establishing the foundations of a longer-term resilience approach. The emergency interventions focused on income generation (cash and food for assets), where the main assets were erosion control structures and seed provision combined with agriculture conservation techniques, to increase production and improve soil structure to reduce erosion. The strategy covers

the entire country and contributes to the implementation of the United Nations (UN) Lesotho Resilience Strategic Framework. The approach is expected to reduce future humanitarian needs, foster a culture of prevention and promote sustainable growth models in a context of Climate Change threats.

I. Background and context

Lesotho's food security declined alarmingly for two years in a row. The impact of drought and late rains in the 2011/12



Soil and water conservation.

cropping season added to an increasingly vulnerable situation of rural Lesotho that followed the poor harvest of 2010/11. The crop forecasts issued by the Bureau of Statistics showed that the cereal production in Lesotho for 2012 hit a 10-year low, representing only 32 percent of the average harvest.

The Lesotho Vulnerability Assessment Committee (LVAC) estimated about 230,000 people, considered as «very poor», were particularly food insecure, relying on food and income sources that are unreliable, mainly those in casual labour, which is highly dependent on the performance of the agricultural sector. Migration to South Africa for work is a common coping strategy but this has become more problematic, especially for people without passports who must cross the border illegally. Women and girls in this situation are particularly vulnerable to exploitation.

Underlying causes of vulnerability are many, including the second highest prevalence of HIV/AIDS in the world. However, the erosion of natural resources, accelerated by flash floods such as during the 2010/11 season is one key element. In the 1960s, the total arable land for Lesotho was estimated at 13% (450,000 hectares (ha)) of the total land area and this has now shrunk to about 9% (280,000ha) as a consequence of the encroachment of settlements on prime agricultural land and high rate of land degradation. An average of 200 Ha of forest was lost annually between 1990 and 2010¹. As a result, it is

estimated that 40 million tonnes of topsoil is lost annually with concomitant loss of soil fertility². Soil erosion is particularly rife in the fertile lowlands and foothills zones which are recognised as high potential areas for agricultural development. The effect of soil erosion is further intensified by overgrazing and the lack of soil and water conservation measures.

II. A resilience response strategy

The initial emergency response concentrated on meeting immediate needs of the most vulnerable people through a combined approach of cash for assets (WFP) and agricultural inputs and technical support to deliver environmental protection and improved productivity for the future. The provision of cash for work in Lesotho has the double benefit of assisting the most vulnerable to access food, while protecting potential migrants from exploitation.

III. Strategic components

- **Upscale and Mainstream of Climate Smart Agriculture (CSA) – FAO led:** the promotion of integrated CSA technologies: Conservation Agriculture (CA) and Home Gardening, Nutrition and Food Preservation awareness as well as interaction of livestock and agriculture. The project emphasises capacity development of extension staff services from Ministry of Agriculture and Food Security (MAFS) and Ministry of Forestry and Land Reclamation (MFLR). Minimum tillage, mulching and cover cropping are examples of CA techniques that reduce erosion and help recover healthy soil structure.
- **Protection of Natural Resources through Cash for Assets – WFP led:** Reversing environmental degradation of natural resources and Climate Change adaptation through protective asset creation including terracing, reforestation and conservation of soil and water, in line with the integrated catchment approach managed by the Ministry of Forests Land and Reclamation (MFLR).
- **Capacity building:** FAO complements the above by working jointly with MFLR in the development of training materials on Soil/Water conservation, Agro-forestry and Rangeland management and build capacities among MFLR and MAFS staff for improved communication among communities supporting NRM.
- **Strengthened Disaster Risk Reduction Capacities – WFP led:** WFP works closely with the Disaster Management Authority (DMA) to develop Disaster Risk Reduction (DRR) capacities at central, district and community levels. WFP assists in strengthening the Early Warning and Information Management Systems to enable DMA to play its co-ordination role and disseminate early warning information effectively.

¹ FAO forestry paper 'Global Forest Resources Assessment 2010' Main report <http://www.fao.org/docrep/013/i1757e/i1757e.pdf> and <http://rainforests.mongabay.com/deforestation/2000/Lesotho.htm>

² 1988 National Conservation Plan for Lesotho

IV. Partners

FAO and WFP led, with active engagement with the Ministries of Agriculture (MAFS) and Forestry and Land Reclamation (MFLR), the Disaster Management Authority (DMA) the Food Management Unit, local government and local and international NGOs.

V. Strategic Alignment

The FAO and WFP Resilience Strategy is aligned to the following strategies.

Lesotho NSDP: In terms of Lesotho National Strategic Development Plan (NSDP), and in particular with Objectives 1 & 5:

- Objective 1: Create high, shared, and Employment generating Growth
 - > Area 4 Agricultural and Rural Economy
- Objective 5: Reverse environmental degradation and adapt to climate change
 - > Strengthen range management institutions and range carrying capacity
 - > Improve national resilience to climate change
 - > Improve environment and climate change governance

EU EDF 11, Lesotho: In relation with the EU 11th EDF (Draft National Indicative Programme 2014-2020) this strategy complements two of the three priority sectors retained in EU strategy: Water and Energy. This proposal will assist in strengthening soil and water conservation efforts (catchment conservation related) and evidence production for Natural Resource Management (NRM) policy implementation. The EU Delegation was involved in the design of the emergency responses.

UN Lesotho validated in April 2014 the UN Lesotho Resilience Strategic Framework (2013-2017) including all UN agencies present in Lesotho (funded by Swiss Co-operation). The Resilience Framework is structured around the four following pillars:

- Pillar I (Core): Building people's and communities' resilience by improving food security, and to reduce vulnerability and enhance resilience to natural shocks and climate change;
- Pillar II (Core): Building national and decentralised institutions;
- Pillar III (Cross Cutting): Building Economic Sustainability through innovation; and
- Pillar IV (Complementary): Building an enabling resilience environment.

FAO and WFP suggested areas of activities focus mainly in Core Pillars I and II, while contributing partly to cross cutting elements in Pillar III. The draft Resilience Strategic Framework is available upon request.

A recent mid-term evaluation (2013) identified the following impacts³:

- *The Programme has benefited 18, 500 households and 92, 500 individuals, trained 600 Lead Farmers and 530 extension officers, produced quality training materials for use by other role players;*
- *Beneficiaries using Conservation Agriculture report significant increase of their harvest production, sometime more than double;*
- *However more people need to be trained in CA per village to create a broader impetus for CA, and that the aim should be to double the number from 15 to 30 household per village;*
- *It has established strong and functional links with MAFS; and*
- *The Programme has moved beyond an emergency relief focus towards delivering long term benefits.*

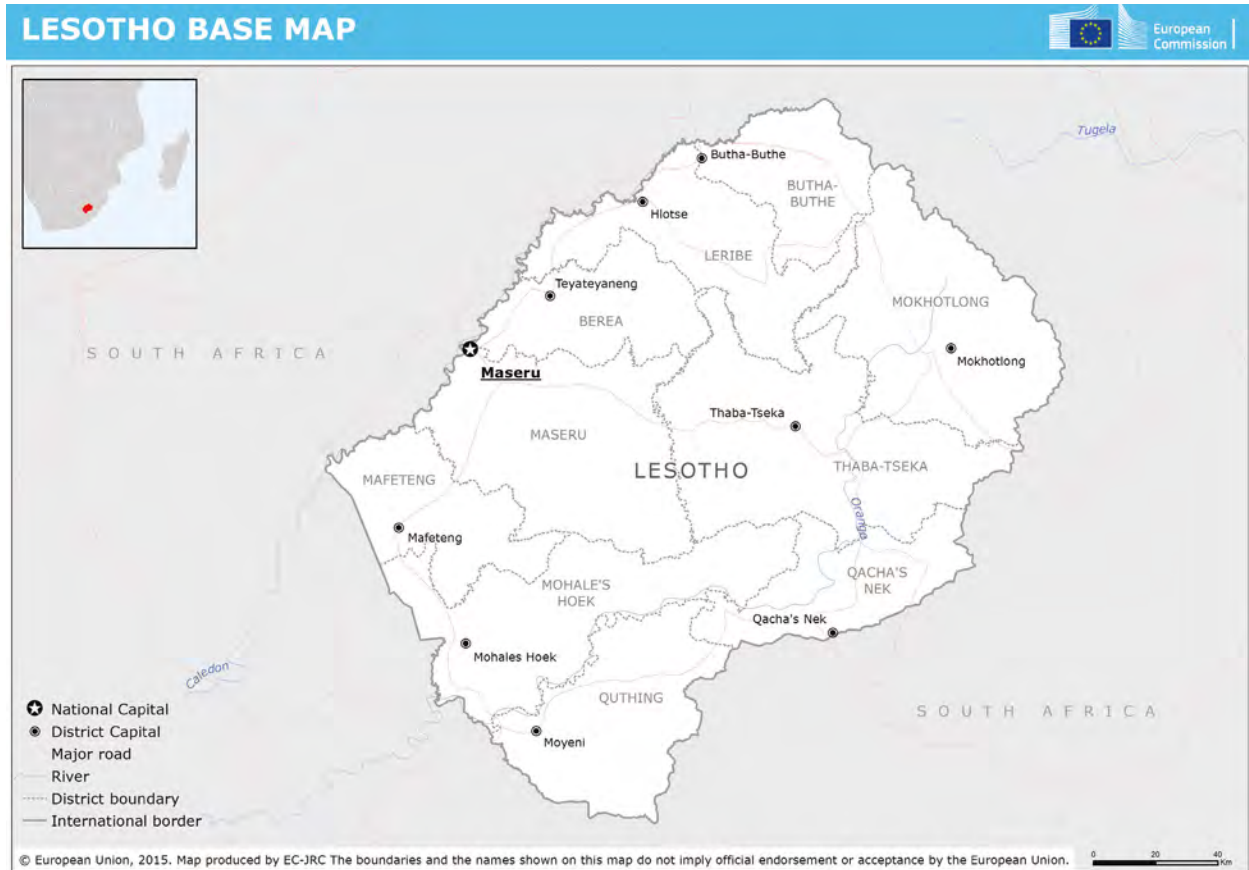
VI. Main contribution to resilience

- To increase communities' and farmers' resilience to shocks, FAO and WFP support livelihood strategies that enhance incomes and farm-based assets, for example through diversification of sustainable farm-based production and promotion of non-farm employment opportunities.
- Soil and water conservation/ reduction of erosion through cash for work (CFA), food for work (FFW) and food-for-training activities that focus on asset creation and resilience building.
- Further development of the early warning system to ensure that an effective food security information system is in place.

VII. Benefits and lessons

- CFA: beneficiaries involved in past CFA assistance expressed an overwhelming preference for cash assistance compared to in-kind food assistance, as it allows households to meet all their needs, including payment of food, school, hospital fees and other necessities. Satisfaction with the project was high, due to the opportunities for skill development and the fact it addresses important community needs including prevention of soil erosion, land degradation and provision of financial assistance to vulnerable households.
- CSA: Improved productivity, carbon sequestration (from CA), improvement of soil conditions, mitigation of erosion,

³ FAO Lesotho Emergency & Resilience Programme Mid Term Evaluation' by C. Fabricius, J. Gambiza and C. Shackleton (March 2014)



diversification of diet (combining crops and vegetable production).

- Effective decentralisation of DRR articulation of different levels of DRR management, more effective communication flow top down, bottom up as per the DRR National Policy.

VIII. Next steps and recommendations

- Evidence-based DRR decision making through Functional Land Resources Database (LRD) – FAO led: Disaster Risk Management (DRM) and Natural Resource Management (NRM) are improved through co-ordinated use of functional Spatial Data at national level. This strategy would concretely support the production of a participatory and locally-owned Land Cover Change (LCC) assessment

database covering the entire country which will be used as a catalyst for the development of a Land Resources Database (LRD) in Lesotho.

- Understanding and promoting the uptake of CSA technologies, CA and Home Gardening. This would include an evaluation of the driving factors influencing the uptake and scaling up of conservation agriculture amongst a) smallholder farmers; and b) government officials, councillors and traditional leaders.

Links to documentation:

<https://www.dropbox.com/sh/7zo5c0ckj6psos9/4YwWyNJMiN>

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Gully erosion control structures (Source: WFP).





Youth brigade rescue team.

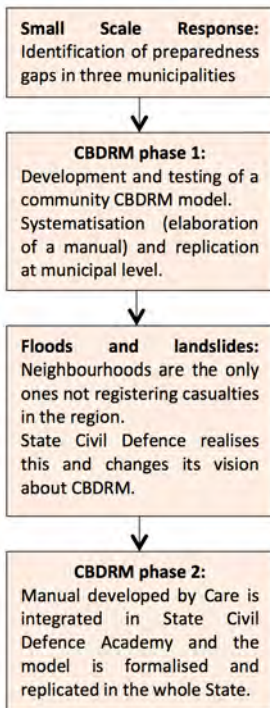
 **COMPENDIUM FICHE**

Community based disaster risk management: saving lives through capacity building and local level advocacy

Summary: *In 2011 the Serra region in Brazil was hit by devastating floods. At the beginning of 2013, floods and landslides seriously affected the whole region again. The neighbourhoods where the community based disaster risk management (CBDRM) had been implemented were the only ones with no reported casualties. This project demonstrates the effectiveness of CBDRM and how the experience of a disaster triggered efforts to reduce future risks.*

This disaster preparedness ECHO (DIPECHO) funded is an illustrative example of how a small humanitarian response followed by limited but well-targeted disaster preparedness intervention has triggered a long-term engagement on CBDRM from local to state institutions. This is a particular achievement in a country which strongly invests in Disaster Risk Management (DRM) but where community disaster

preparedness was almost unknown. Today, CBDRM is becoming a model for the Rio de Janeiro state. After having been reluctant to use community approaches for many years, the Head of the State Civil Defence declared: "We can have the means and the technology, we can have helicopters and powerful early warning systems, but if we do not have people and communities with us, we will achieve nothing."



I. Overview

In January 2011 flash floods and mudslides in the slums of the mountainous areas of Rio de Janeiro killed more than 900 people and left thousands homeless. ECHO responded through a small scale initiative in order to cover the gaps identified in the local response. The six-month project, implemented by CARE and Save the Children, aimed to assist more than 13,500 people affected in urban areas of Rio de Janeiro State (Petrópolis, Teresópolis and Nova Friburgo). The action included participation of institutions and local authorities.

The project uncovered significant gaps in terms of rapid assistance to the affected population in the three affected municipalities, but proved to be an opportunity for the population. They not only received emergency relief assistance but also learned about the importance of being organised and how to request urgent assistance from the authorities.

II. Impact

At the beginning of 2013 (one year after the conclusion of the project), floods and landslides again seriously affected the whole region. However, the neighbourhoods where the community approach had been implemented by DIPECHO were the only ones with no casualties reported. The NUDEC of Rosario even received the golden medal of the city for having organised the rescue of people stuck in the mud and rubble, the evacuation to safe places and the provision of assistance to their communities. The State Civil Defence of Rio realised it was easier for them to work in places where the communities were already prepared. They contacted CARE Brazil in order to integrate CBDRM and the manual developed into the curriculum of the State Civil Defence School.

This experience created awareness in vulnerable neighbourhoods of Região Serrana of Rio de Janeiro on the need for community preparedness. As a result of the project, active participation at the local level (population and local authorities) in three municipalities, together with capacity building, has helped to reduce vulnerability. Moreover, creation of community brigades and civil society mobilisation are now being endorsed and replicated by the Civil Defence of Rio de Janeiro in various municipalities.

The CBDRM approach has been integrated by municipalities and State Civil Defence, and an adapted model has been endorsed and replicated at State level in vulnerable neighbourhoods. The community groups are now used by Civil Defence to identify the right placement for the EWS sirens, to sensitise people about their use and mainly to provide first aid to victims and organise evacuation, as well as to organise the distribution of humanitarian aid provided by the Government. If a community is organised, assistance can be timelier and therefore the probability of saving lives increases.

A second DIPECHO project, now being implemented, is focusing on handing over tools and experiences to the Rio State Civil Defence, who plans to present this as a reference for the whole country, which in a continent-sized territory such as Brazil would have a significant impact.

III. Main contribution to resilience

This DIPECHO Action was the first concerted and strategic effort focusing on Disaster Risk Reduction in the Região

Achieved results

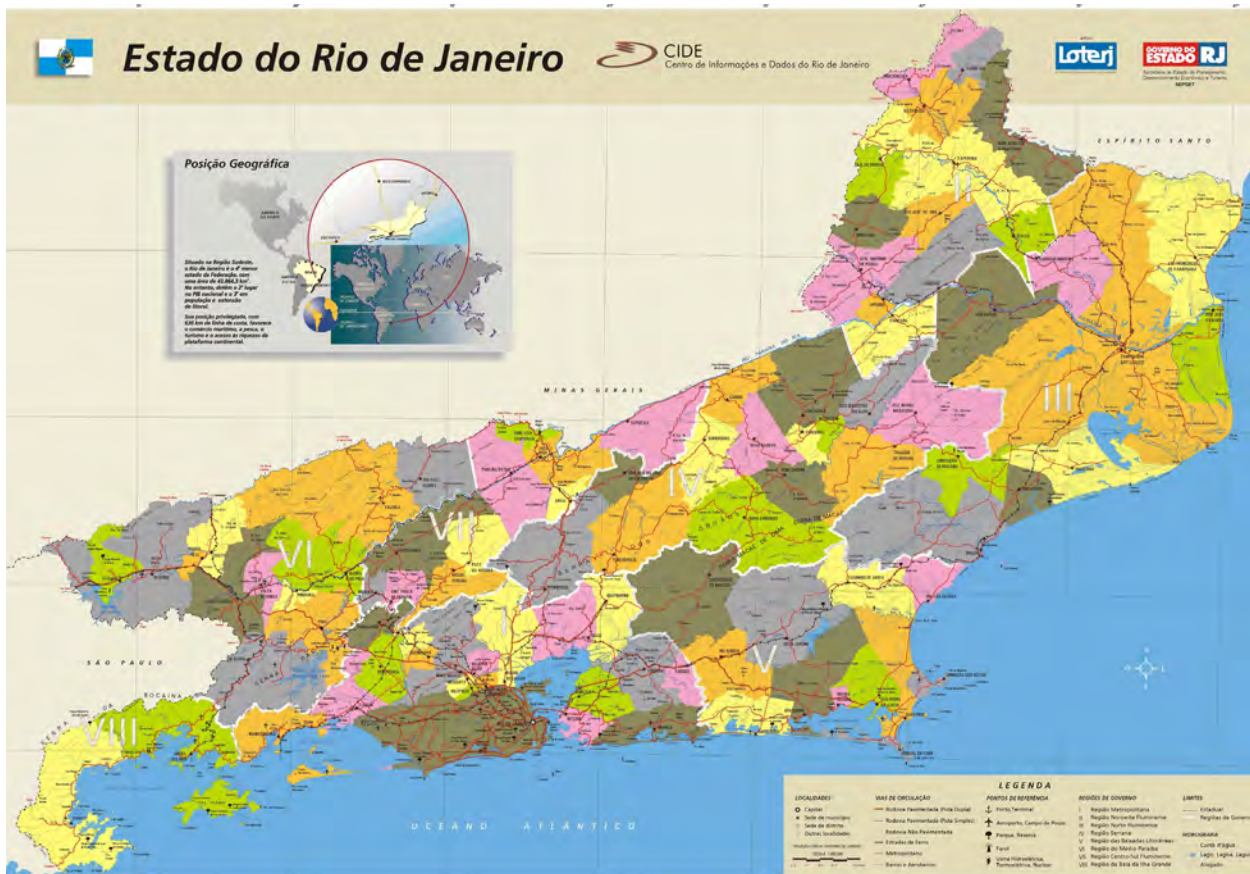
- Local administration has integrated CBDRM in their curriculum and methodologies making the process sustainable and scalable.
- The national Early Warning System (EWS), which in the beginning did not take into account community aspects, is now activated and managed by community groups in the neighbourhoods.
- Community groups (NUDECs) are prepared to provide first aid to victims and organise evacuations in case of emergency.
- Community groups are in permanent contact with Civil Defence in order to provide support when needed and articulate the response.
- Community groups have been trained to advocate, link with their authorities, get humanitarian aid or other support for their community, and defend their rights in emergencies.
- Networks of community groups have been organised by Civil Defence in order to facilitate exchange of experiences and motivation.
- Training on mitigation activities such as drainage and garbage management (accumulated garbage can limit flows, exacerbating flood potential).



Simulation exercise.

Serrana, a region frequently affected by floods and mudslides that always leave scores of people – usually residents of high-risk neighbourhoods and shanty-towns – displaced or even dead. As a result of this project and the active participation of civil society, affected municipalities became more organised and campaigns were launched to insist on more accountability from the authorities. The DIPECHO project was able to make a difference in terms of sustainability and replicability, as the pilot actions at

community level were effective because they proved to the municipal and State Civil Defences that DRM should originate in the community. The NUDEC manual and groups continue to be replicated by the Civil Defence, and their idea is to promote this model countrywide. With a small scale response project followed by well-targeted preparedness projects, the whole approach of how to manage disasters has changed in Rio de Janeiro, and maybe in Brazil.



Rio de Janeiro State Political Administrative Divisions Map, Brazil.

Links to documentation:

- Manual Formação de Núcleos Comunitários de Defesa Civil (NUDECs)
<http://www.cridlac.org/digitalizacion/pdf/por/doc19142/doc19142.htm>
- Interview with the first project co-ordinator:
<http://ella.practicalaction.org/alliances/uploadFile/uploads/learning/discussions/InterviewwithDaphne87885.pdf>

Mudslide in a residential area.

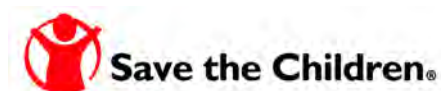


- Video of the agreement ECHO-CARE-RJ CIVIL DEFENSE, including interviews with the Head of the Rio State Civil Defense:

http://youtu.be/_XFh3yLJR3U

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COMPENDIUM FICHE

Water Trucking Points: An emergency response and early recovery for the most vulnerable people affected by the breakdown of normal water supply

Summary: *This was an ECHO funded project in response to the impact of Hurricane Sandy, implemented by OXFAM (Intermon) in the southern and driest region of the Dominican Republic. The project used a resilience approach to reduce the effects of the hurricane, to re-establish livelihoods and to improve access to safe water, environmental sanitation and hygiene. Hurricane Sandy as well as previous emergencies underline the high probability of disruption to the water supply service after the impact of a tropical storm and the need to provide access to safe water while water supply systems are being rehabilitated. The project included corrective measures to reduce vulnerability to future storms.*

I. Background

Hurricane Sandy formed as a tropical depression in the Caribbean Sea, South of Jamaica on 22nd October 2012. Although outside of the direct track of the eye of the hurricane, Haiti and the Dominican Republic received heavy

rainfall causing significant flooding and damages. Worst affected were the southern provinces that had already been impacted by Tropical Storm Isaac in August 2012. In 72 hours, over 400mm of rainfall was registered in different locations in the country, causing flooding and isolating 145 communities.





and elsewhere in the Dominican Republic). Several hospitals were affected by insalubrious conditions and unable to operate. Consequently, access to safe water became a top priority.

II. Brief description of the initiative

The project had three implementation objectives:

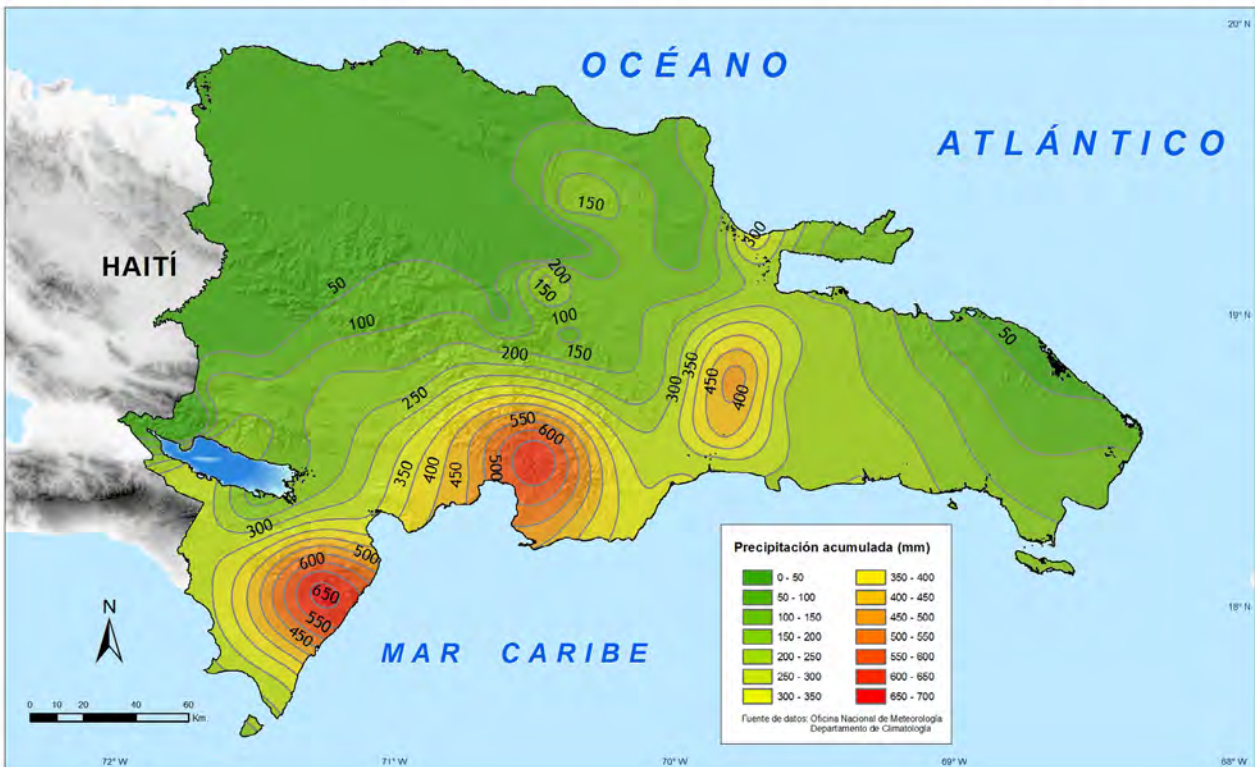
- Households have improved water and sanitation facilities, and families are aware and take into account at least two key hygiene messages;
- Farmers have access to agricultural inputs (seeds) to increase their agricultural production by at least 60%; and
- Households have developed at least one strategy for protecting food security in case of future disaster.

Six deaths were reported, more than 150,000 persons were affected, and there was extensive damage to the agriculture, infrastructure and water/sanitation sectors. Torrential water flow damaged the main aqueducts of the region, disrupting water services for more than a month in many places. Access to safe water worsened drastically in the provinces of Barahona, Bahoruco and Independencia in the Enriquillo region. A large part of the population faced great difficulties to obtain sufficient, safe water for drinking and food preparation. The lack of access to quality water and adequate sanitation created a critical situation as affected communities were also exposed to a high risk of cholera (with the on-going outbreak in Haiti

The results of the project were that 1,500 households improved their access to safe water, sanitation and knowledge about personal hygiene and preventive practices on water-related and vector prone diseases (dengue, cholera and leptospirosis); and 3,350 most vulnerable households, especially those headed by women, improved their food security in the short- and mid-term focusing on early recovery. No cholera outbreak was registered during the period of the project as the project provided an alternative possibility to provide access to safe water. The key



Mapa de Acumulados de Precipitación durante incidencia Huracán Sandy en República Dominicana | 22 - 26 de octubre, 2012





Directions for water collection.

to the project's success was the involvement and commitment of national authorities in implementation, definition and follow-up. This allowed for the development of local capacity to cope with and manage water supply shortages without external support, either from national or international organisations.

III. Resilience characteristics

The project focused on response to the emergency and early recovery needs of vulnerable populations while integrating elements to increase community capacity to cope (particularly in the WASH sector) with future shocks. Emergency water supply points (resistant to hydro-meteorological events) were established, thus providing the capacity to efficiently truck and distribute safe water during the recovery and in the event of any future emergency context.

IV. Next steps and recommendations

- Building the evidence base: check during the next emergency if an improvement is observed. Is the community more resilient and does activation of the water supply by water trucking function without external support?
- Continue monitoring the water points through indicators: number of activations of the eight points; quantity and quality of the water distributed from these points; interval of time between interruption of the water supply system and access to water trucking supply for each community.

Anticipation: Corrective measures were integrated based on past experiences and likely future needs. As limited access to safe water, and the disruption of water services, is already a daily occurrence, a worsening of the situation can be expected after any shocks.

Build Back Better: The project advocated for stronger and safer rehabilitation of the water supply system. The water points provided safer water with a hazard resistant water treatment system (online chlorination) adapted to suit local water trucks.

Working together: Solutions were defined and coordinated in partnership with the main actors in the sector. An agreement was reached with INAPA (the authority in charge of the water distribution) in the selection of the water points based on likely demands in post disaster contexts and to ensure the maintenance of the installations. This ensures the continuum between the ECHO contribution and the follow-up by INAPA authorities, including the development of protocols for assigning roles and responsibilities in water maintenance and supply during normal times as well as in a post-disaster context.

Risk informed intervention: The selection of the eight water points was based on an assessment of 18 criteria of ability to resist adverse events.



Links to documentation:

- www.youtube.com/watch?v=KAUsYZ63IfY&feature=youtu.be
- <http://ec.europa.eu/echo/en/field-blogs/stories/stories-resilience-carmen-s%C3%A1nchez>
- <https://www.youtube.com/watch?v=zS0xA0k9HrU&feature=youtu.be>
- <http://www.eird.org/pr14/registro/ignite-stage.html>

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DRR team simulation exercise, Stepanavan Armenia.

 **COMPENDIUM FICHE**

Safe and resilient communities in the South Caucasus: reducing the vulnerability to natural and man-made disasters

Summary: *The South Caucasus (SC) region is prone to different kinds of natural disasters such as earthquakes, floods, landslides and droughts. With this background, the Disaster Risk Reduction (DRR) programme aims to strengthen the technical and social resilience of rural and urban communities in all three SC countries, Armenia, Azerbaijan and Georgia, by targeting the local population, authorities, students, teachers, civil society organisations (CSOs) and Red Cross and Red Crescent (RC/RC) societies.*

Since December 2012, DRR volunteer teams have been established, trained and equipped in ten communities; community hazard mappings carried out; Disaster Preparedness and Mitigation plans developed; small scale mitigation projects identified and implemented; and simulation exercises in co-operation with local authorities and rescue services carried out.

I. Facts and Figures

Location: Kakheti region, Georgia; Lori region, Armenia; Ismayilli and Zaqatala regions, Azerbaijan

Duration: December 2012 - November 2015

Total Budget: €1.2 million; co-funding by Austrian Development Agency €950,000

II. Programme objective

The objective of this project is to help reduce the vulnerability of disaster-prone communities and enhance the safety of the population in Georgia, Armenia and Azerbaijan. Specifically, it aims to sustainably strengthen resilience to natural and manmade disasters in 19 vulnerable communities (12 rural and 7 urban). Approximately 134,000 people in the different communities will be reached through the different activities by the end of the programme.

The SC region experienced devastating disasters that have caused massive economic and human losses. All types of natural and technological hazards are current in the region, but earthquakes represent the most dominant risk followed by floods and droughts. In recent decades, earthquakes caused destruction to human life, buildings and infrastructure in Armenia (Spitak, 1988), Azerbaijan (Baku, 2000) and Georgia (Tbilisi 2002). Furthermore, the presence of the Metzamor (Armenia) nuclear plant in an area with a very high seismic activity highlights the additional risk of man-made vulnerabilities. Baku, Tbilisi and Yerevan are the most populated cities in SC, all of them being highly vulnerable to earthquakes and potentially vulnerable to floods. Other smaller urban settlements in the region are also highly exposed to the adverse impact of disasters. Climate change is expected to exacerbate disasters associated with hydro-meteorological hazards. Furthermore, a key long-term impact will be a decrease in water availability and the potential for droughts.

III. Implementation areas

IV. Type and sector of intervention: Disaster Risk Reduction Implementation

The programme is managed by the Austrian Red Cross with technical support provided by the Swiss Red Cross. The main partners for the implementation of the project in each country are the Armenian Red Cross Society (ARCS), Azerbaijan Red Crescent Society (AzRCS) and Georgia Red Cross Society (GRCS), each of them having relevant local authorities, governmental institutions and non-governmental organisations as stakeholders in the programme.

V. Expected Results

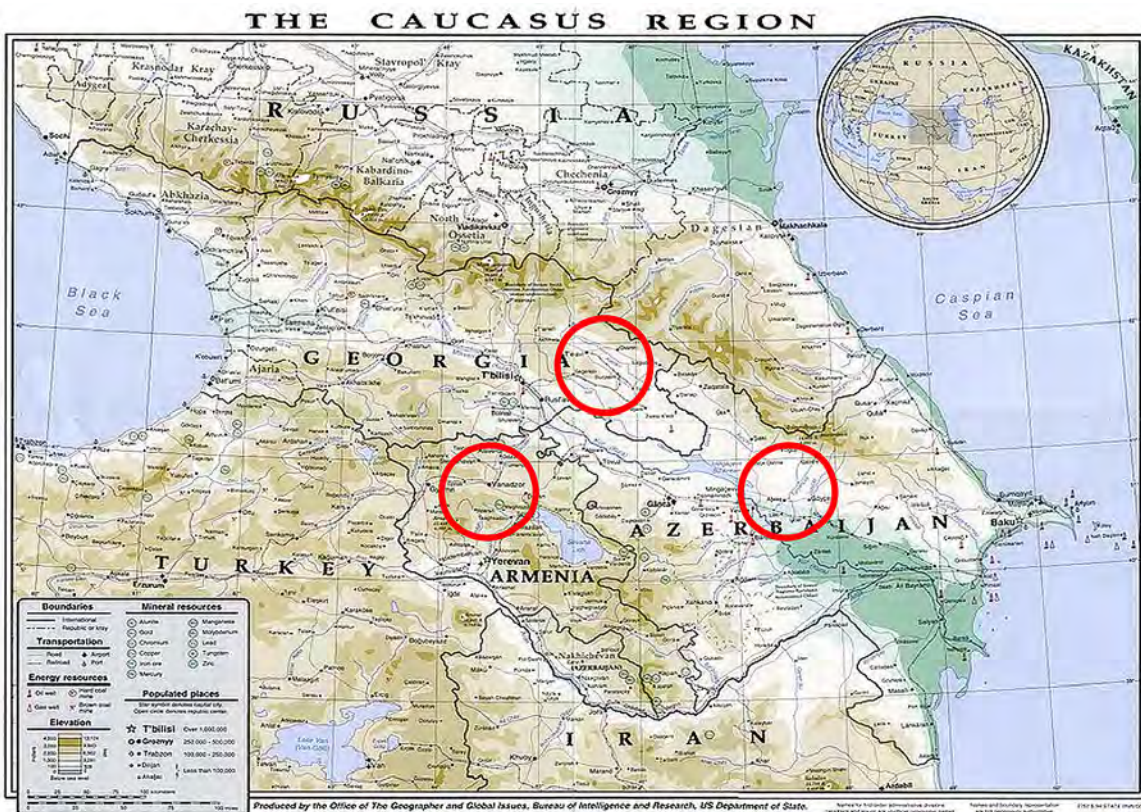
The project will deliver the following within and across the borders of Georgia, Armenia and Azerbaijan:

- **Capacities of 12 rural communities to anticipate, respond and recover from disasters are increased.** Main activities: establishing community-based DRR committees; conducting Vulnerability and Capacity Assessments (VCA); developing community-based disaster preparedness and mitigation plans; training of community-based DRR teams;

Kakheti (Georgia)

Lori (Armenia)

Ismayilli (Azerbaijan)



conducting simulation exercises; raising awareness on DRR; Climate Change Adaptation (CCA) and mitigation measures; and implementing small scale mitigation projects in co-operation with local authorities.

- **Capacities of 7 urban communities to anticipate, respond and recover from disasters are increased.**
Main activities: exploring urban DRR interventions through awareness-raising in schools and in the wider public; participatory identification of urban risk scenarios with support of external experts; developing DRR strategy and intervention module for urban communities; and implementing and piloting an urban DRR module.
- **Co-ordination and co-operation between Red Cross Societies, CSOs, national authorities and international agencies at national level is strengthened.**
Main activities: improving the DRR co-ordination mechanism at national and regional levels; co-ordination in DRR and CCA; and exchange of best practices and lessons learnt.
- **Transnational knowledge sharing and exchange of experience on community-based DRR between Red Cross National Societies, CSOs and public actors.**
Main activities: developing a manual on urban DRR and CCA; and organising a final conference to present programme outcomes and promote transnational knowledge sharing.

VI. Main contribution to resilience

Community-based DRR teams

In each of the selected communities, community-based DRR (CBDRR) teams are established to strengthen the capacities of targeted communities in DRR and Disaster Management (DM). Key responsibilities of the teams are:

- The implementation of community-based disaster preparedness and mitigation plan of action, together with local stakeholders;
- Identification and implementation of small scale mitigation projects;
- Advocacy for DRR with decision makers and other community members; and
- Co-ordination with local authorities and rescue services and with the regional DM/DRR structure.

Members of the CBDRR teams receive training on general concepts of DRR and DM, psycho-social support, Hyogo Framework of Action (HFA), CCA, early warning, First Aid, basic search and rescue, fire and rescue activities, Red Cross principles, humanitarian relief and shelter provision, and data collection/needs assessments. All CBDRR teams are provided with appropriate equipment including personal protective equipment, tools and relief equipment. The key to sustainable volunteer CBDRR teams is integration and interaction with the local emergency management systems.



Simulation exercise, Sagarejo Georgia.

Community-based Disaster Preparedness and Mitigation (CBDPM) plans

Local authorities, local fire brigades, rescue services, local community members and members of DRR teams elaborate a concrete action plan, based on programme VCAs, to reduce identified risks, build resilience and safeguard lives and livelihoods in the communities. All DRR measures in the villages (non-structural mitigation measures, structural mitigation measures, awareness raising, simulation exercises, development of policies, allocation of community funds for DRR activities etc.) are included in the plan. Available community resources (including volunteer human resources) are used and roles and responsibilities within different actors in the communities regarding DRR and DM agreed on. The CBDPM plans are printed and disseminated to local stakeholders and community members.

Small Scale Mitigation Projects

Also based on the results of the VCA, each community identifies the most needed mitigation activities (such as re-forestation, riverbank protection, mudflow channel clearing etc.), which are presented to the RC/RC societies and local authorities. The preconditions for these small scale mitigation projects is that they are within the capacity and mandate of the RC/RC societies and that communities/local authorities will provide cash or in kind contributions (e.g. human resources, materials, machinery, premises) for implementation.



Bridge repair Diyalli Azerbaijan.

Urban DRR

The growing pace of urbanisation in all project countries increases the importance of evolving and extending existing DRR programmes and services to urban areas. Even though 57% of the SC population lives in urban surroundings and many cities have experienced earthquakes in the last 15 years, there are few DRR initiatives involving urban communities. This programme addresses this gap, developing a programmatic and methodological roadmap in urban DRR. Urban DRR modules will be piloted and will contribute to the international debate and development of methods and approaches for mitigating disasters in urban areas.

Climate Change Adaptation

A guide will be developed on how to integrate relevant climate change risks into DRR activities and interventions. Climate change is expected to exacerbate disasters associated with hydro-meteorological hazards. Hence, a key long-term impact will be a decrease in water availability and the potential for droughts. This could have a negative influence particularly on the population of remote and less developed areas where agriculture is still the main source of income. Globally integration of climate change risks and CCA into DRR activities is only just starting in humanitarian organisations such as the Red Cross. Thus, this programme will also pilot how to incorporate CCA in VCAs, in trainings, in mitigation plans and preparedness measures at community level.

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Further information on Red Cross/Red Crescent Movement activities in Disaster Risk Reduction:

<http://www.ifrc.org/en/what-we-do/disaster-management/preparing-for-disaster/risk-reduction/building-safer-and-resilient-communities/>



First Aid Training, Kvaerli Georgia.

Austrian
Development Cooperation



AUSTRIAN RED CROSS





SAR Vounteer.

 COMPENDIUM FICHE

Zero casualties since 2008: From Community Based to Institutionalisation of Flood Early Warning Systems in Nepal

Summary: Flood is a recurrent phenomenon for Nepal, resulting in human deaths and loss of property every year. The concept of community based early warning system (CBEWS) has been implemented with support from ECHO under its DIPECHO Action Plans in order to reduce the impact of the recurring floods. The results are substantial: there have been no casualties since 2008 in areas where CBEWS have been established, and the loss of property has been significantly reduced. The Government of Nepal is now planning to replicate CBEWS in other areas of the country.

I. Brief description of the initiative

The evidence shows CBEWS has been instrumental in saving lives and livelihoods of flood vulnerable communities. Practical Action and Mercy Corps have been working with communities to establish CBEWS in Nepal with the support of ECHO under its

DIPECHO Program for South Asia. This case study underscores the achievement made by CBEWS in Banke and Kailali districts in Nepal in bringing human casualties down to zero. Furthermore, CBEWS can be regarded as a successful example of the institutionalisation of local solutions into a government system, despite a remaining number of challenges.



Map showing Banke and Kailali

II. Rationale

Nepal is highly affected by floods every year due to the annual monsoon. On average, floods kill more than 80 people a year in the country, and trigger economic losses for a value of USD 1.5 million. It is therefore crucial to deploy all efforts to curtail these losses, notably human casualties.

According to official data from the Nepal Red Cross Society (NRCS) in Banke district, there were seven human deaths from floods recorded in 2007. In Kailali district, 26 people died in the 2008 floods. However, not a single casualty has been recorded in either of these districts since the introduction of CBEWS in spite of occurrence of similar scale floods since then.

III. Expected results

The overall expectation from the implementation of CBEWS project is to reduce the loss of human lives and property due to floods. The expected results are further categorised into three specific sub-headings, namely:

- **Knowledge:** Vulnerable women and men learn about risks, hazards, vulnerabilities, and available resources. In this light, they are central to vulnerability and capacity assessments, where inundation areas, safe shelters, evacuation routes and upstream threshold water levels for flood are identified;
- **Capacity:** Vulnerable women and men use their knowledge to assess risks and respond to them. Communities establish co-ordination committees and task forces (First aid, search and rescue, and early warning) able to self-rescue before government response mechanisms reach the affected area; and
- **Institutionalisation:** Knowledge and capacities are institutionalised with local authorities as well as at government agency levels for sustainability and replication. Response mechanisms at community level are integrated with government co-ordination structures. Communication flows (warning and danger information, and co-ordination information among clusters, security forces and community task forces) are disseminated

from community to national levels in less than 45 minutes. National early warning master trainers build the competencies of district early warning experts. They in turn, replicate early warning systems in their respective districts. District early warning experts take part in the annual planning process, to mainstream the running costs of early warning systems, thus ensuring sustainability and institutionalisation.

Main contribution to resilience

Resilience has five dimensions to be considered, namely 1) social/ human capital, 2) financial/ economic, 3) environmental, 4), organisational or political and 5) physical or technological. Cost-effective flood early warning systems and technologies, that are affordable to local governments, contribute to protecting several of these dimensions. It builds communities capacity as first responders. This in turn contributes to minimise human and economic losses that negate community progress, imposing a recurrent toll on efforts to build economic surplus or develop skills and strengthen the social fabric. Early warning systems support the functioning of community committees, strengthening their capacity to participate in government processes such as annual planning or budget allocation.

IV. Resilience characteristics

CBEWS is a people-centered approach where the human component is stronger than others. This initiative involves vulnerable people, who are considered as active recipients: they are involved in identifying the risks, vulnerabilities, and available capacities to respond to floods. Community capacity building for preparing and responding to disaster is one of the characteristics of resilience.

Mock drill search and rescue.



Resilience is multidimensional, CBEWS incorporates several dimensions beyond building the capacity of communities to assess and respond to disasters. CBEWS brings communities and government together through close co-ordination while responding to disasters and potential floods. Information regarding warning and danger levels, once validated, is disseminated by the government through multiple communication channels. Definition of warning threshold levels is based on a correlation of historical data collected by the government in upstream monitoring stations and historical losses identified by community members in affected areas. If affected, communication mechanisms are established between both so that affected communities can provide timely information to shape the government's resource mobilisation to respond to disasters. This information details the location of inundation areas, number of affected population and the location of most vulnerable groups. The establishment of early warning systems involves government stakeholders at central level (National Master Trainers) and district level (District experts). The same stakeholders at the district level that are responsible for the establishment of EWS are also involved in the annual planning processes. This facilitates the mainstreaming of establishment and running costs in annual development budgets, ensuring sustainability and replication.

CBEWS builds linkages among a wide range of stakeholders both for preparedness and response. For instance, the Department of Hydrology and Meteorology (DHM) provides information on flood and rainfall data; the District Emergency Operation Center (DEOC) co-ordinates to communicate flood/rainfall and response information; the security forces provide search and rescue support to vulnerable communities. Creating linkages and pooling resources are components of resilience.

V. Benefits and lessons

The most important benefit achieved by this initiative is to reduce human casualties to zero, and limiting losses of livelihood, notably livestock. Vulnerable communities now have access to information about upcoming floods with a minimum of five hours' notice before communities are reached. They also have the right skills to assess the information on floods and/or rainfall. They have communication plans to disseminate the information to all families within the community. And finally, they have response plans to rescue and evacuate all towards safer areas. Volunteer task forces are in place to respond to floods with life-saving equipment. They are linked to government agencies to receive support on preparedness and response. Vulnerable communities also benefit from small scale mitigation measures to reduce the risk of flooding.

The local government from Banke District is now replicating CBEWS in one of the flood affected Village Development Committees, which is a direct outcome of this robust advocacy plan, and the efforts undertaken to co-ordinate with local authorities.

Community early warning system.





Gauge Observer.

Key to developing an effective EWS is an understanding of the government structure, planning processes and response mechanisms to articulate feasible ways to integrate the EWS. A comprehensive analysis and advocacy plan was therefore prepared with all stakeholders as part of the planning process.

VI. Challenges

The project indicates that communities would maintain a functional early warning system because they know the system makes them safer. However, a major challenge is to manage funding requirements for the maintenance and potential new procurement of early warning and life-saving equipment. Although this initiative has successfully mainstreamed disaster risk reduction activities in the annual plans of local government bodies, the risk remains that their priorities shift to some other development works - due to local political pressure or new national development priorities.

In systems relying on community involvement or response, awareness levels are a pre-requisite for effectiveness. However, institutionalisation of awareness raising mechanisms, and understanding of potential benefits, is still weak.

VII. Next steps and recommendations

As institutionalisation moves ahead, monitoring the implementation of Disaster Risk Reduction (DRR) activities in local government plans is becoming increasingly relevant. At the same time, it remains necessary to support local authorities prioritise and ensure appropriate DRR allocations in their annual development plans.

Due to the high turnover of trained staff, it is highly recommended that policies and capacity building activities are implemented to keep skilled staff.

Institutionalise and reinforce awareness raising mechanisms to vulnerable communities through regular education curricula.

Links to documentation:

At regional and global level:

1. <http://un.org.np/attachments/early-warning-action-flood-case-study-19-july-2012>
2. <http://hydrology.gov.np/new/hydrology/files/5a428cd84feec42b45ace8b11e1879d1.pdf>
3. <http://www.dpnet.org.np/docs/presentationManagement/c760c6fe34863cd898ab21557d1f6984.pdf>
4. <http://practicalaction.org/reducing-vulnerability/print/nepal/IA15000181NEP-banke-bardia-flood-warning>

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Non food items waiting distribution.

 **COMPENDIUM FICHE**

Reduction of vulnerabilities: a multi-sector response to floods in Peru

Summary: In 2012, river levels in the Amazonian Department of Loreto reached the highest level ever recorded according to the Government, affecting 360,000 people (more than a third of the department's population), destroying more than 70,000 houses and damaging livelihoods (losses of crops, animals and assets). This led to deterioration in food consumption (lower availability, increased prices) and increased incidence of diseases (diarrhea, leptospirosis, pneumonia). The humanitarian response was multi-sectorial and included WASH (water, sanitation and hygiene), recovery of livelihoods, preventive health actions, and shelter. The aim was to improve community techniques and reinforce institutional capacities in order to reduce risks to floods by using risk informed programming in the coverage of basic needs after an emergency. As a result of the response, during the rainy season in 2013, one year after the operations described, the Regional Government and Iquitos Local Government now had the capacities to respond to localised flood emergencies. No external intervention or international cooperation was necessary.

I. Overview of project

ECHO funded three projects (implemented by CESVI, COOPI and Spanish Red Cross) to complement existing relief and

recovery efforts, filling the gaps identified in the humanitarian response and co-ordinating with local and national initiatives as well as with the contributions from other actors. The main sectors of intervention included WASH, food assistance,

- Use of rain water catchments from the roofs of the shelters to avoid consuming water from the river, which is very contaminated, especially during flooding times.

Livelihood recovery: improved capacities to produce

- Farmers affected by the floods were, in many occasions, recent immigrants from the highlands with scarce knowledge of the local context, or they were indigenous people obliged to plant after having lost their natural environment which in the past had allowed them to live from hunter-gathering. As a result the agricultural technical knowledge of communities was very limited and not at all resilient, making livelihoods vulnerable to recurrent natural hazards. The promotion of easy resilient practices such as the diversification of crops, use of short-cycle seeds or the appropriate selection of planting sites and techniques allowed communities to make their production more flood resistant. This training was far more appreciated by communities than the mere distribution of items.
- Implementing partners included officials from the Agriculture Ministry in the activities, so that these good practices could be shared and applied in their policies and response to disasters.

Health: strengthening health surveillance and response system

- Implementation of preventive actions and water chlorination by community health promoters trained by the Ministry of Health so that communities had the capacities to react by themselves in future emergencies.
- These activities were closely co-ordinated with the Ministry of Health, who strengthened their role in the communities by using the mechanisms they had established.

Shelter: reduced exposure of families involving local authorities for the solutions

- Relocation of houses and communities placed in flood-prone areas: Families receiving shelter materials were encouraged to build their temporary shelter in safe places while ECHO partners advocated to the municipalities to make land available to them. Several communities and hundreds of families moved to non-floodable areas thanks to this initiative.

Partners used their expertise to reinforce local capacities. Instead of simply distributing seeds to affected communities, the vulnerability of livelihoods was reduced by simple actions such as distributing short cycle seeds in order to harvest

before the flooding season. Techniques were promoted to reduce the effects of flooding and community mechanisms for the operations were used in order to reinforce local capacities.

Benefits and Lessons

The intervention in response to the flood emergency in Loreto was an important learning opportunity for the institutions involved in humanitarian actions. Facing the possibility of another flood emergency, local actors have improved their knowledge and capacities have been built in order to have a better impact when responding to emergency situations. Resilience has been built through a variety of different but supporting activities: institutional strengthening, organising lessons learned workshops, transforming thematic panels of housing and collective centres into permanent dialogue spaces, transferring extra funds from the National Government to regional Health and Agricultural sectors, validating a plan of action shared in Water and Sanitation, setting up Protection and Socio-emotional Recovery spaces in collective centres and affected places and designing inter-institutional contingency plans.

III. Challenges

The role played by international co-operation during the emergency in 2012 was a key element in reinforcing co-ordination capacities at sub-national level. At local level, where ECHO implemented actions, capacities were also strengthened especially co-ordination between the different sectors and their interaction at community level. Stakeholders, especially technicians and communities, are now sufficiently resilient to most situations because they can properly activate the response mechanisms (risk informed assessments, using data management properly, joint efforts, etc.) and deliver an effective and efficient local response. However, the continuous changes of authorities and technical staff at national, sub-national and local levels remains a challenge in terms of maintaining capacities and institutionalising processes.

Links to documentation:

- Lessons learnt from Loreto intervention: <http://bvpad.indeci.gob.pe/doc/pdf/esp/doc2284/doc2284-contenido-ing.pdf>



Distribution of non food items.

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ECHO field visit.

 **COMPENDIUM FICHE**

Resilient Livelihoods: mainstreaming disaster risk reduction in agriculture

Summary: South East Asia figures among the most hazard prone regions in the world, in terms of scale, recurrence and severity of disasters. According to the World Risk Index 2013, calculated by the United Nations University for Environment and Human Security, the Philippines rank third. Agriculture is a key sector in the Philippines accounting for close to 32% of the workforce. However, agricultural production and livelihoods, particularly of the majority of smallholder farmers, are recurrently affected by a variety of natural hazards including floods, typhoons, storms and droughts, regularly causing significant losses and damages to agriculture. In 2012, with support from the European Commission through its Disaster Preparedness Programme (known as DIPECHO), a partnership between the Department of Agriculture of the Philippines and the Food and Agriculture Organization (FAO) of the United Nations resulted in enhancing capacities and new modalities to address resilience in the agriculture sector through the integration of disaster risk reduction (DRR).

The project significantly enhanced community resilience through disaster risk reduction and preparedness in selected farming communities in Bicol and Caraga. Methods were identified to protect and improve livelihoods, including reaching a better understanding of saltwater intrusion on farming, using early maturing rice varieties and improving early warning systems. Collaboration with local government units

demonstrated the benefits of integrating DRR and climate change adaptation into development planning. The inclusion of academia and INGOs helped to develop Agriculture Good Practice Options. Project lessons and methods are now being replicated with other vulnerable communities. The project is a strong example of a community based resilience project designed to have a larger strategic impact.

I. Key Messages

The initiative has highlighted some important factors and learning for successfully addressing disaster and climate change resilience within sectoral policy and plans, particularly agriculture. It has shown how applying a dual bottom-up and top-down approach can support accelerated adoption of a resilience approach. The piloting of small-scale initiatives with farmers has provided evidence which is essential for replication and convincing of the need to integrate risk reduction measures into normative planning.

The project demonstrated that low-cost innovation (e.g. hazard tolerant seed varieties and use of web-based technology) can make a difference, not only for the local farmers but also the agricultural technical service providers with improved capacities to use climate information and early warning forecasts for disaster preparedness in agriculture i.e. the huge losses in life, property and agricultural production can be avoided through EWS. Particularly important is the engagement of multiple institutions, working at different levels, within a spirit of partnership.

II. Brief description of the initiative

The purpose of this initiative was to promote resilience of the livelihoods of small-scale farmers in disaster-prone areas of the Philippines. Project results focused on:

- Improved technical capacities and tools for better planning and implementation of risk reduction measures in farming developed and institutionalized within the Department of Agriculture and Local Government Units;
- Selecting, disseminating and replicating good practice options for DRR/M in agriculture;
- Enhanced climate information products for strategic planning in agriculture are regularly prepared and disseminated; and
- Improved Post Disaster Needs Assessment (PDNA) methodology for agriculture, introducing a web-based application software.

III. Main Contribution to Resilience

Tangible changes resulting from the project include:

1. Development planning addresses disaster risk reduction and climate change adaptation

The Department of Agriculture and Central Bicol State University of Agriculture are facilitating interactive consultation processes with communities for the mainstreaming of disaster risk reduction and climate change adaptation into the development planning of local

Main Contribution to Resilience

The project made a significant contribution to strengthening capacities for proactive DRR/M integration with development policy and planning. In particular, promoting practices adapted to local conditions that raise yields and reduce risks of production failure, improvement in water and soil management systems, and the adoption of crop varieties resilient to floods or droughts.

government units. 12 municipalities and 30 barangays are targeted in Bicol and Caraga regions including Albay, Sorsogon, and Catanduanes provinces in Bicol, and Surigao del Norte in Caraga.

2. Adoption of DRR in Agriculture Good Practice Options (GPO)

Intervida Philippines Foundation (INGO), in collaboration with the Central Bicol State University of Agriculture, has adopted up-scaling methodology for the identification, selection, and implementation of GPOs in upland and lowland agro-ecological zones. The DIPECHO approach, which considers agro-ecological conditions and natural hazards in the design and implementation of GPOs, will be applied in 20 pilot barangays in the Bicol Region involving around 400 farmers.

3. Understanding the effects of saltwater intrusion on rice farming

has convinced farmer Jose "Jun" Hernan to use a saline-tolerant rice variety (NSIC Rc-182). The results are promoting rice cultivation in the saltwater intruded coastal barangay of Boton, Casiguran. The use of stress-tolerant crop can help ensure food on the table and income for Jun's family.

Table 1: Cost and return of Saline-affected rice farm. Jun Hernan. Boton, 2013

Items	Existing Variety	Saline-tolerant Variety	Difference
Yield (t/ha)	1.6	2.3	0.7 or 15 cavans
Gross income (PHP)	28,175	40,250	12,075
Cost of production (PHP)	10,485	11,485	1,000
Net income (PHP)	17,690	28,765	11,075
Maturity (days)	120 days	100	20 days
ROI (%)	62.7	71.5	

Judy's use of a good practice option early-maturing rice variety (PSB Rc-10) provided her with an additional

10 cavans or 0.46 tons/ha, compared to her existing long-maturing rice variety (NSIC Rc-222), which was affected by the flooding of Gabao river. The trainings and workshops conducted by the project on community-based disaster risk reduction and hazard, vulnerability and community assessment (HVCA) enabled Judy to understand how different hazards interact, the resulting risks, and their corresponding impacts on farming.

Table 2: Comparative Cost and Return (1 ha) of Judy's existing and GPO variety. 2013

Item	Farmers Practice	GPO for DRR	Difference
Yield (t/ha)	4.14	4.60	0.46 (10 sacks)
Gross Income (P18/kt)	74,520	82,800	P8,280
Total production cost (Php)	21,580	19,971	P1,609
Net income	52,940	62,829	P9,889

IV. Lessons and key challenges

- Mainstreaming DRR in agriculture requires active local participation, especially by LGUs;
- Mutual co-operation and/or partnership among local key agencies requires defined roles and obligations, including the importance of enabling policies and locally developed plans for mainstreaming DRR; and
- Empowering and capacitating local stakeholders, communities and vulnerable groups, therefore, becomes a primary goal of DRR/M in order to prepare them for any unexpected/unforeseen events.

Despite the momentum created by the project, some challenges remain to be addressed:

- **Competing priorities:** Frequent and recurrent natural disasters create relief and recovery needs overwhelming local resources and resulting in insufficient allocations to disaster preparedness; and
- **Limited capacities:** Local stakeholders, particularly at sub-national level, lack knowledge and capacities to implement the developing national DRR policies at local level.

V. Next Steps and Recommendations

The project has demonstrated the validity of more consistently integrating resilience and DRR into longer-term development processes and of disseminating, scaling up and replicating successful approaches.

The Department of Agriculture has formally submitted a budget to the National Economic and Development Authority to implement its regular programme which contains elements of the Plan of Action for DRR in Agriculture developed under DIPECHO funded project. This is an indication of a successful 'institutionalisation' within a short timeframe.

Links to documentation:

Links to outputs on DRR and climate change adaptation

Key products delivered already in the Philippines:

<http://www.fao.org/climatechange/ph/bicol/67046/en/>

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 **COMPENDIUM FICHE**

Community management of acute malnutrition: improving malnutrition in the Sahel

Summary: *A late response to the 2005 Niger crisis resulted in tens of thousands of child deaths. This prompted ECHO to broaden its support for the Integrated Management of Acute Malnutrition (IMAM) in West Africa's Sahel region. For close to a decade ECHO's aim has been to respond more adequately to the successive food and nutrition crises and reinforce nutrition practices. ECHO advocates for governments and development partners to commit to nutrition objectives, both prevention and treatment, so humanitarian organisations do not substitute for them in the longer term.*

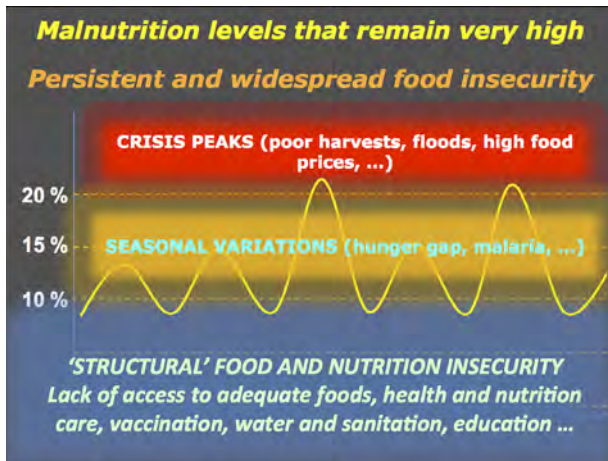
Before the crisis in Niger the region lacked the capacity to deal with acute malnutrition. The 2005 crisis saw 70,000 children under the age of five being admitted with severe acute malnutrition (SAM). Eight years later, in 2013, more than one million children were treated for SAM in nine countries of the Sahel. This scale-up constitutes an enormous achievement that helped to save hundreds of thousands of lives. However, not enough progress has been made in preventing malnutrition. The number of children affected year on year has not decreased and the dependency on humanitarian aid to provide treatment remains high.

Malnutrition is associated with poverty and inequity. These are the root causes of the chronic emergency needs in the Sahel

and the lack of people's resilience. Preventing malnutrition is indispensable to achieve better resilience. It is also vital as the Sahel population is expected to double over the next 20 years, thus increasing the pressure to ensure adequate food and nutrition security and address root causes of vulnerability, including improving access to health and education.

I. Brief Description of the initiative

Acute malnutrition, also known as wasting, signals an immediate loss of body fat and muscle tissue in a young child, often coupled with micronutrient deficiencies. Affected children are susceptible to illnesses. A child



ECHO Dakar RSO for West Africa, Cyprien Fabre.

suffering from severe acute malnutrition (SAM) is 11 times more likely to die.

Prior to the 2005 Niger crisis, acute malnutrition levels¹ had been on the rise and regularly exceeded emergency levels in all countries of the Sahel. Malnutrition and its causes were nevertheless poorly understood. Most often families didn't recognise acute malnutrition. They were late in bringing their children to health centres where staff were ill-equipped to provide care. Modern community-based detection and treatment methods² had not yet reached the region; neither had the new ready-to-use therapeutic foods (RUTF). Health and nutrition care was lacking in quality and also not free of charge.

In short, fighting malnutrition had not yet registered as a priority for governments, their foreign aid partners and early warning systems. Malnutrition was considered a politically sensitive issue in a region where food crises had the potential to topple governments. Concepts of food security did not include nutrition. The focus was on food production rather than access to food.

The Maradi region, Niger's main breadbasket, was reportedly entirely food secure in 2005. Yet, it became the epicentre of acute malnutrition and high child mortality. This disparity highlighted the existence of a growing class of landless labourers, who work the fields for meagre wages and depend on the market to buy food. When food prices rose fourfold by mid-2005, access to food and basic services collapsed altogether for these poor people. Sharp increases in SAM and child mortality triggered a massive humanitarian response. With this response Community Management of Acute Malnutrition (CMAM) was introduced to Niger and the region. It was in this context that ECHO decided to make the fight against malnutrition a priority.

II. Organisation and timing

Considering the scale of malnutrition and the lack of interest by governments and development partners, a longer-term vision and pro-active strategy was required. As an emergency donor with short-cycle funding, ECHO departed from its 'classic' reaction mode. Instead, ECHO contributed to building, supporting and expanding nutrition treatment capacity and expertise across the Sahel region. The range of its humanitarian partners – INGOs, Red Cross and UN – became involved in the effort. They were requested to support national services and to integrate their nutrition interventions into existing health programmes where possible.

ECHO also embraced efforts to Link Relief with Rehabilitation and Development (LRRD) so as to encourage ownership by governments and development partners. From the outset, the EU Delegations were a natural ally in obtaining government co-operation and exploring the European Development Fund's potential for funding nutrition prevention and treatment. Dependency on less significant and predictable humanitarian funding was to be avoided in the long run, considering the scale and structural nature of the needs. A gradual phase-out of funding was a built-in aim of ECHO's strategy in the Sahel from the start.

III. Purpose

By supporting the Integrated Management of Acute Malnutrition (IMAM) in the region, ECHO has helped to save hundreds of thousands of lives. By acquiring a regional view of the problem and developing coherent approaches across borders, ECHO became better positioned to anticipate future crises and help mitigate their effects. At the same time, it contributed to establishing nutrition expertise where there was little or none before.

ECHO rejected the fatalism surrounding malnutrition and pressure to consider it a 'humanitarian' problem. ECHO took up the role as an advocate for change. It highlighted the structural causes of malnutrition and persuaded governments and development aid partners to commit to nutrition care and prevention. This was crucial to promote sustainable approaches and prepare the way for a phase-out of humanitarian aid.

IV. Rationale

In 2007, ECHO commissioned a study³ that confirmed the relevance of a pre-emptive strategy for the Sahel region with a funding plan. The study highlighted the predictable nature of food and nutrition crises in West Africa, the poverty and fragility

¹ National nutrition and child survival surveys and in-depth interviews of child nutrition in Burkina Faso, Chad, Mali, Mauritania and Niger in 2006 and 2007 confirmed some of the world's highest under-5 child mortality rates (222 per 1,000 live births or 60,000 child deaths annually) and acute malnutrition rates (a regional average prevalence at the critical limit of 15%). Malnutrition was considered an associated cause of 56% of child deaths, accounting for 300,000 child deaths annually and rates of malnutrition in children had remained over critical levels for at least a decade. <http://www.unicef.org/wcaro/2819.html>

² Community Management of Acute Malnutrition or CMAM, developed in East and Central Africa from the late 1990's.

³ Poulsen et al., Drought and Vulnerability – A review of context, capacity and appropriate interventions with respect to drought and the problem of acute malnutrition in the Sahel Region of West Africa, Concept Paper, February 2007, <http://www.alnap.org/resource/3548.aspx>

of Sahel countries⁴ and the inadequacy of basic services. It also revealed an ever-increasing number of destitute households, unable to recover from a crisis or shock, such as price increases, before the next one hit.

That same year⁵, ECHO embarked on an approach “to contribute to the reduction of acute malnutrition and mortality of the most vulnerable population and in particular of children under five years and pregnant and lactating women” in the Sahel. Its initial scope is still relevant:

1. *Improve baseline knowledge, provide credible data, understand acute malnutrition, better analyse the inter-linkage between health, nutrition and livelihoods protection;*
2. *Promote effective and innovative nutrition treatment, improve access to basic services and restore people’s coping mechanisms; and*
3. *Conduct advocacy and public awareness with partners and civil society to encourage mainstreaming of humanitarian objectives into long-term development planning (LRRD).*

V. Expected results

The recognition of acute malnutrition and the capacity to treat SAM in the Sahel improved dramatically. Eight years after the 2005 crisis, over one million children or 70% of the estimated 1.5 million children suffering from SAM were admitted for treatment in nine Sahel countries. In comparison, around two million children under five years were admitted for SAM in the whole of Africa in 2012 and 2.6 million in the entire world⁶. Despite this drastic increase in treatment, persistently high numbers of children continue to suffer from acute malnutrition which points to the severity of the problem and the lack of effective prevention⁷.

VI. Main contribution to resilience

Malnutrition can be entirely avoided through a combination of adequate food and water, good caring practices and access to health services. Conflict and displacement may disrupt these conditions and trigger malnutrition but this was not the case in Niger and the larger Sahel, a poor but overall stable region at the time.

Regional Summary – Total of new SAM Admissions per year

	2010	2011	2012	2013
Benin	-	3,945	4,279	-
Burkina Faso	47,656	39,494	77,106	98,013
Cameroon (North & Ext North)	-	31,121	40,300	64,313
CAR	-	12,022	4,843	16,294
Chad	56,436	69,936	146,685	145,423
Congo	-	1,174	493	-
Côte d’Ivoire	-	-	12,170	6,450
DRC	-	157,025	201,321	201,563
Gambia	-	-	3,164	4,261
Ghana	1,906	2,804	3,431	5,206
Guinea	-	-	-	-
Guinea Bissau	-	1,162	-	-
Liberia	-	3,271	8,757	6,919
Mali	-	26,550	52,156	119,993
Mauritania	-	3,120	10,757	16,286
Niger	330,893	293,462	369,036	406,327
Nigeria (11 states)	44,098	131,030	217,506	236,100
Senegal	-	-	13,628	22,152
Sierra Leone	23,276	15,537	35,735	32,517
Togo	-	5,357	4,363	6,278
TOTAL	504,265	797,010	1,189,525	1,388,095

IMAM Report until March 2014, UNICEF WCARO, Dakar, June 2014.

In pursuing malnutrition as a priority, financing nutrition actions and developing partnerships across the region, ECHO has led by example. By the time the resilience agenda gained importance, following the region’s recurring food and nutrition crises, ECHO had the experience to drive programmes capable of addressing the erosion of people’s resilience.

VII. Resilience characteristics

A person’s resilience starts with pregnancy. A pregnant mother needs vital nutrients, foods and care for her and her baby to be shielded from malnutrition and debilitating illnesses. Especially during the first years of a child’s life, diseases and inadequate diet and care may lead to acute malnutrition and death, to chronic malnutrition, stunting or permanent physical and intellectual disabilities. Within a population, children under the age of five as well as pregnant and lactating women are the most vulnerable to and affected by food and nutrition insecurity. They constitute the main target of emergency aid. Preventing them from becoming malnourished, and treating those who already are, has been a core justification for today’s focus on building resilience.

Malnutrition is rooted in chronic poverty. It affects people’s resilience and ability to survive in difficult circumstances. The

⁴ Mauritania (155), Mali (182), Burkina Faso (183), Niger (186) and Chad (184) continue to report the lowest Human Development Index in the world amongst all 187 countries listed, <http://hdr.undp.org/en/countries>

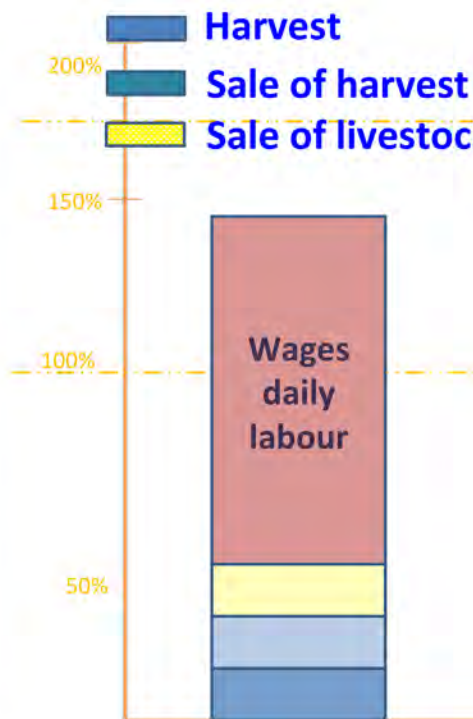
⁵ This first strategy outline and funding plan for the Sahel by ECHO, with a value of 15 MEUR and a duration of 20 months, marked the start of an uninterrupted approach and gradual scale-up (close to 350 MEUR were eventually mobilized for these objectives by the end of 2012. (the strategy continues to be pursued)), http://ec.europa.eu/echo/files/funding/decisions/2007/gp_sahel_en.pdf

⁶ <http://www.coverage-monitoring.org/wp-content/uploads/2013/10/Global-SAM-Management-Update.pdf>

⁷ <http://devinfohive.info/nutritioninfo/>

**Very poor people
have to buy most of
their food on the
market**

**They don't grow
enough food for
themselves
Wages are their 1st
source of income**



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Sahel counts a growing number of ultra-poor people with precarious livelihoods, who are particularly vulnerable to crisis shocks.

VIII. Benefits and lessons

Owing to its unique position as a flexible emergency donor grounded in field reality, ECHO has attempted to make malnutrition a high priority among governments and development partners. The effort went well beyond its usual remit. Although not entirely envisaged from the start, this ambition and the networking that accompanied it resulted in a broad base of support and build-up of expertise, readiness and response to subsequent crises. The resulting environment was conducive for taking a fresh look at these crises and focusing on the most at risk people. The prevention of and response to nutrition crises became a matter of regional political interest.

IX. Challenges

The cost of malnutrition amounts on average to 11% of the annual GDP in Africa⁸. It hampers economic growth prospects and development. But poverty itself lies at the heart of malnutrition. Inequity breeds a lack of resilience among vulnerable populations. Only a substantial and lasting political change in the direction of better governance and better social services will end chronic emergency needs.

X. Next steps and recommendations

The AGIR Alliance was established in 2012 as a Sahel/West Africa initiative to abolish hunger and malnutrition by 2032 as part of a wider ambition to build resilience. Nutrition has been identified as one of four pillars to achieve this aim, with indicators to measure progress such as the prevalence of stunting. Improving social protection and basic services as well as better preparedness and earlier responses to future crisis shocks, such as drought, are other examples. The success of AGIR in the 17 countries concerned will depend on the progress they are able to make in preventing and treating malnutrition.

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Niger case study.

 **COMPENDIUM FICHE**

Building Resilience: market-based approaches and social protection

Summary: *This brief explains how Oxfam uses markets and social protection to support communities to build their resilience. A pillar of Oxfam's approach to this is to address inequality. Social protection is key to redressing inequality because it focuses on the very poorest, which includes both the chronic and transitory poor. One delivery mechanism for social protection is cash, which depends on effective, sustainable markets – also a key part of resilience. There are four aspects to Oxfam's approach, two are presented here. Embedding social protection responses in government systems working with all levels of the state structure; and integrating analysis and design across our humanitarian and development teams is presented in a conflict-affected context (Yemen) and slow onset drought-affected context (Niger). Examples of the two other aspects of Oxfam's approach, to support safety nets that can scale up and to shift to a market based approach as soon as feasible, are available on request.*

I. Oxfam's approach to resilience

Oxfam recognises that inequality and power dynamics are key determinants of poverty and vulnerability and this is fundamental to our approach to resilience, which we define as “the ability of women and men to realise their rights and improve their wellbeing despite shocks, stresses and uncertainty.” Therefore building resilience requires:

- Reducing inequality: Inequalities at all levels increase vulnerability for the poorest. Poor governance and corruption impact heavily on the most vulnerable sections of society. Building resilience requires us to challenge inequity and to make room for voices of the poorest and most vulnerable;
- Focusing on women in particular, as well as the most vulnerable groups. In many contexts, vulnerability amongst women is disproportional to that of men. To build resilience requires that

we can meet the needs of women, that their voice is heard and that their rights are realised;

- Government leadership and accountability: Governments have the responsibility and ability to build resilience and equality at scale; and
- Changing the way we do business: Resilience is not new but it is a new way of working. Realising resilience for citizens and state is the responsibility of governments, but aid too must change the way it works, to support that process. For Oxfam, in practice this means:
 - > Breaking down the silos between our humanitarian and long-term development teams. This requires sharing our different ways of thinking, specifically, bringing risk analysis to our development work and looking at questions of governance and corruption in our humanitarian work. For our programmes, it means joining up humanitarian and development analysis and design; joint risk analysis is now the starting point for all new programmes in countries with recurrent crises;
 - > Building adaptive capacity particularly of women, to adjust to shocks and cope with uncertainty. It requires that we support national structures to develop flexible decision-making to be able to respond to shocks and to be accountable to those at risk;
 - > Recognising that ad-hoc and short-term responses to vulnerability are neither cost-efficient nor very effective for building long-term resilience. This requires innovative approaches that enable vulnerable groups to access resources and appropriate assistance in crises;
 - > Building multi-disciplinary and multi-level partnerships and advocating for alignment from global to local institutions. We recognise that complex challenges cannot be solved by one institution or by short-term interventions; and
 - > Communicating relevant knowledge and building learning networks. Oxfam works with partners to build and share a greater understanding of what works to increase resilience at multiple levels.

II. Social protection and resilience¹

While resilience cuts across all sectors of Oxfam's work, in this brief we consider how our work with markets and in social protection plays a key role in our overall work on building resilience. Social protection is an important component in building resilience because it targets the very poorest including those without labour, as well as the transitory poor – those who may slide into and out of poverty in the face of shocks. It ensures

that predictable support for the very poorest is available over the long term and can scale up during shocks. Finally, it focuses on government-owned systems which are accountable to citizens. In this it complements Oxfam's pillars of resilience to reduce inequality, to target women in particular and to work through government.

We use social protection interventions in multiple forms to realise our principles of resilience outlined in section I. This brief demonstrates two aspects of social protection: the possibility of state delivery of social protection, even in a fragile state (Yemen), and the importance of a multi-sector, multi-level approach, which integrates interventions across sectors and levels to address underlying vulnerabilities and define and measure resilience (Niger). Examples of how we support scalable safety nets and shift from direct food aid to cash transfers, even in protracted crises, are available on request.

III. Case studies

A. The feasibility of state-delivered safety nets in fragile contexts: Yemen

Summary: *In a conflict affected state, donors can lack confidence in the ability of the state to deliver, or in the feasibility of cash interventions. In Yemen, Oxfam demonstrated that despite the fragile context, both were possible. This resulted in Oxfam's biggest cash programme to date and longer-term multi-sector 'resilience-building' donor funding.*

Context: The programme area was affected by armed conflict; over half the population was food insecure and malnutrition rates were double WHO critical levels. Despite this growing crisis, there was a lack of donor and NGO confidence in both state delivery structures and the appropriateness of cash in such an uncertain context.

Intervention: Oxfam analysis showed that markets were well-stocked but household purchasing power was low, indicating that cash interventions would be appropriate and could buoy up the market system. Furthermore, Oxfam identified an existing government partner in the Social Welfare Fund and a distribution mechanism in the National Post Office. The Social Welfare Fund is a social protection mechanism delivering cash through the Post Office to the poorest and most vulnerable people in Yemen. In October 2011, Oxfam partnered with both of these under a 6-12 month European Commission funded intervention in two governorates (al Hodeidah and Hajjah). It delivered around \$50 per month to 21,000 households meeting two thirds of monthly food needs.

Challenges: Getting the basics right takes time. Working through government structures was difficult but possible and was important for the long term. Considerable capacity building was

¹ For Oxfam GB, social protection refers to initiatives that aim to protect people from chronic poverty, prevent people declining into destitution and enable vulnerable individuals and households to cope with and overcome chronic, seasonal or shock-induced inability to meet their basic consumption needs. Examples of interventions include conditional, unconditional or for-work transfers (cash, vouchers, in-kind), welfare benefits (pensions, unemployment support), pro-poor insurance mechanisms, government legislation and policy (such as social protection floors, famine codes).

necessary to enable post offices to distribute at scale; careful attention was needed to verify the accuracy of participant lists, which were evaluated to be over 85% accurate. These were indispensable steps before undertaking the community work and skills-building required for longer-term development.

Impacts: The success of the intervention resulted in further funding from DFID for a humanitarian and resilience programme which scaled up deliveries, took a more integrated approach to build resilience, and focused on women. The programme now includes water management, livelihood development and advocacy for a social protection floor. It operates at scale delivering cash to over 500,000 people, making it Oxfam's largest cash programme to date.

Building resilience: We demonstrated that even in a fragile context, markets can be sufficient to use cash as a safety net mechanism and by working through the Government, donor confidence in state structures was restored. Working through the Social Welfare Fund strengthened the state system and avoided parallel structures, while use of cash supported local markets. This proved that cash transfer programmes can go to scale where welfare structures exist, as long as there are sufficient checks and balances and an active complaints systems to ensure accountability. At the same time, we have to be realistic about what cash transfers can achieve in the short term; getting the basics right can be difficult and takes time.

Further reading: [The Yemen cash transfer programme: How Oxfam used social welfare fund lists and the Post Office system to distribute funds and rebuild donor trust. Oxfam 2013.](#)

B. A multi-sector, multi-level approach (Niger)

Summary: *Oxfam's Niger Resilience Programme is a multi-donor, multi-project and multi-year (five to ten years) strategic initiative. Oxfam's truly integrated approach focuses programming across all sectors in the same nine villages and we have started to look at measuring resilience in an integrated and community based way. Working in communities which are most vulnerable to recurrent shocks, the project supports these communities to build and monitor resilience over multiple years.*

Context: The Government has recognised that persistent conflict, diminishing natural resources and climate change will continue to exacerbate food insecurity for its population. It is addressing this through its «3N Programme» which focuses on locally produced food for Nigeriens. Central to this is an integrated approach, as well as a focus on social protection to support the most vulnerable.

Intervention: Oxfam Niger has embedded resilience in its strategy, with all programmes falling under the Niger Resilience Programme (NRP). This is an integrated approach which concentrates all interventions in the same villages and works through all levels: regional, national, community, household. All Oxfam projects in Niger (food security, emergency response,



Yemen case study.

Education, WASH, Governance, Gender, DRR) are concentrated in the same few villages and the impact is monitored over a longer period of time (five to ten years). The NRP works with up to 10,000 households in nine villages in three communes of the Tillabery Region (Simiri, Tondikwindi, Banibangou). It works through and with the Government at all levels. This ranges from regional advocacy for food reserves, national early warning systems, integrated vulnerability plans at commune level and linking communities with early warning systems to influence local development planning. Communities have identified the characteristics and drivers of resilience and have developed their own indicators they want to use to measure resilience.

Achievements: This integrated approach has led to a 40% increase in incomes, improved dietary diversity, debt repayment and investing in livelihoods (e.g. shoats) leading overall to increased food security and access to clean water. There are plans to scale this up to further districts and countries (Chad, Mauritania, Burkina Faso).

Challenges: Combining community based measures of resilience with more overarching structural indicators has yet to be addressed.

Building resilience: Oxfam Niger's activities, whether at household, community, commune, national or regional level, converge on the same at-risk communities. In the West Africa region activities involve developing food security information systems, using early warning systems, working with the Integrated Food Security Phase Classification (IPC), and lobbying for national food reserves and investment in small scale farmers. At national level, activities include working with national early warning systems, integrating the Household Economy Approach into vulnerability monitoring, and promoting Civil Society Organisation engagement in policy influence. At commune level, the programme supports community collaboration in development plans and use of national and regional data on early warning systems and price monitoring. Oxfam works with communities to articulate their own measurements of resilience to develop programme monitoring and engage in community development plans. The improved way of working both builds livelihood capacity and allows a more timely response to shocks.

Contributions to and characteristics of resilience

Social protection market-based approaches are important in building resilience as they can:

- Address inequality, redistribute wealth and ensure that the most vulnerable – the labour-poor – have ongoing assistance through safety nets;
- Work through government structures as much as possible, to build confidence in and advocate for state provision of welfare, and ensure easy scale up;
- Transition from emergency response to market-based development interventions;
- Integrate with sectors and levels, to ensure a comprehensive longer-term approach and to contribute to measurement of resilience across sectors; and
- Provide mechanisms to scale up and down in response to shocks to support vulnerability as well as the chronically poor.

Examples are available in separate documents on request.

IV. Next steps

- Strategy versus reality: in slow onset emergencies and protracted crises, staff in Oxfam country offices are typically the same people as those implementing development programmes. While at strategic levels in policy and advocacy we make an artificial distinction between emergency, recovery and development phases, this does not necessarily reflect the reality in implementation.
- A long-term vision is required from the outset. The examples presented show that we can typically take on longer term development interventions sooner than expected. It is critical to support and build state structures, rather than implementing parallel systems, but we must be prepared for the investment required to do this.
- Lack of capacity can undermine social protection mechanisms, particularly complaints mechanisms and programme accountability. Investment in these areas may be slow and costly but is fundamental to success.

VI Next steps and recommendations

Oxfam advocates that to support resilience-building, the aid community must:

- Ensure humanitarian and development sectors work together in the analysis and design of multi-year interventions. This will



enable identification of the structural drivers of vulnerability and risk to combine in a common framework that promotes systemic solutions;

- Promote an adaptive approach. Sustainable interventions do not just provide an immediate boost to the resources of the most vulnerable, they also empower them to adapt to changing circumstances in order to capitalise on those resources; and
- Invest widely in supporting initiatives that engage with stakeholders at different levels and which approach problems of resilience from multiple angles. From regional governmental plans like IGAD's Drought Resilience and Sustainability Initiative, to community-based measurements of resilience, a strong multi-year approach to resilience must work across disciplines, institutions and levels of power.

Links to documentation:

- No Accident: resilience & the inequality of risk. Oxfam 2013: <http://policy-practice.oxfam.org.uk/publications/no-accident-resilience-and-the-inequality-of-risk-292353>
- Is cash fit for the future? <http://www.humanitarianfutures.org/wp-content/uploads/2014/03/Executive-Summary.pdf>

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Farmers using boats in camellones. ©Mark Chilvers

COMPENDIUM FICHE

Recovery of indigenous practices in Bolivia: reducing the vulnerability of crops to droughts and floods

Summary: *As part of an emergency response to the 2007 floods in Bolivia, a pilot project was implemented using archaeological evidence to improve the irrigation of crops and protect them from recurrent floods and drought, thereby improving food security and ensuring a better diet. This example illustrates how recovery of a relatively simple technique, the “camellones” or «waru waru», used in the past by a pre-Hispanic culture, reduced the impact of floods and droughts on people’s livelihoods. The method has already been adopted by many farmers and today it is part of agricultural production policies in the second largest department of Bolivia, El Beni.*

I. Brief description of the initiative

TOXFAM and local implementing partner FUNDEPCO created an alliance with the Kenneth Lee Foundation (Fundación para la Ciencia y el Desarrollo Sostenible del Beni,) which has been investigating the pre-Hispanic Mojo culture with the aim of recovering ancestral techniques that could benefit the population. Shallow floodwaters tend to cover much of the low-lying lands of El Beni Department in the rainy season while during the rest of the year dry conditions prevail and

water is scarce. The pre-Hispanic inhabitants created raised agricultural fields (camellones) to cope with floods while providing water in the surrounding canals during droughts, making the area highly productive and enabling a dense population to be fed. This ancient technique was tested in the response to the floods of 2007.

The purpose of investigating this technique was to raise awareness and provide practical instructions and orientation to the current population, for instance on specific construction parameters

(height of the beds or hills, depth of the canals, length and width, etc.) and their potential use (how many harvests, what crops produce the best results, etc.). The technique also needed to be adapted to social conditions of land ownership, available labour, crop needs (for market or subsistence) and other parameters.

The project created the capacity to maintain local production despite floods or drought episodes in the area. The technique also improved production due to the increased fertility of the soils and better water management.

Camellones by Night. ©Alejandro Chaskielberg.



Main contribution to resilience

In Bolivia's Amazonian region of El Beni, livelihoods are primarily dependent on rain-fed agriculture but production is severely constrained by unpredictable rain patterns, flood/drought cycles and poor soil conditions. Witnessing the beneficial effects of camellones after the 2007 floods, families living in flooded areas have adapted their production techniques and are better able to cope with floods. The severe flood situation in 2008 in the City of Trinidad, Beni, demonstrated that the technique reduced the impact of floods on livelihoods and helped to maintain food security. By preserving their production areas, people were able to continue growing a variety of crops for consumption and income generation despite the worst floods in 50 years, affecting 118,000 people.

II. Main contribution to resilience

This technique contributed to improved household food security in the short and longer term, due to the capacity of households to produce in times of drought or floods, and greater soil fertility which contributed to better harvests. The method allows for a second annual harvest during the dry winter season through access to irrigation water in the surrounding canals (capillary and direct watering), thus improving productivity for families. Communities improved their capacity to generate incomes, as they could sell excess crops at local markets and the environmental impact was reduced due to a reduction in slash-and-burn agricultural practices.

It is not known why this ancient practice vanished during colonial times. However, more farmers are now replicating the model, offering a sustainable solution to floods and droughts, and

demonstrating that ancient indigenous knowledge combined with modern scientific expertise can produce effective solutions to reduce disaster risks and contribute to food and nutrition security.

This technique was replicated in the Altiplano region, but with a different purpose: in 2013 camellones were constructed by FAO with the municipality of Toledo in a flood-prone area to provide shelter for cattle (cow, lama, sheep and goat), allowing them to withstand floods without an increase in diseases.

In 2014, massive floods affected this region again, and the only crops which survived the flood waters and could be harvested by the use of boats, were the ones using this technique. Nowadays, after having seen the impact of this initiative, the demand from municipalities to apply this method has soared.

III. Next steps and recommendations

The effect of the 2014 floods should be further documented to provide accurate data and evidence about the effectiveness of the camellones during flooding episodes in terms of production and livelihoods.

As in the Altiplano region, the technique could also be replicated and used by cattle breeders to protect their animals during floods, but a solution has to be found for the forage needs.

Links to documentation:

<http://www.new-ag.info/en/focus/focusItem.php?a=1015>

<http://www.oxfam.org.uk/what-we-do/content/changing-lives-in-bolivia>

Explanatory video: http://www.youtube.com/watch?v=Qc5-C09b_E

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COMPENDIUM FICHE

Productive Safety Net Programme: providing transfers to create productive assets at community level

Summary: *The Government of Ethiopia (GoE) designed a programme to address food insecurity and contribute to poverty reduction. The objective of the programme is to provide transfers to the food insecure population in chronically food insecure woredas (districts) in a way that prevents asset depletion at household level and creates productive assets, such as solid and water conservation structures, afforestation, water supply schemes, etc, at the community level.*

I. Brief Description of the initiative

The PSNP is made up of two components: labour intensive public works and direct support for those who are not able to work. The PSNP has been implemented for the last nine years covering the food gap of over seven million people annually and protecting their assets. PSNP, together with complementary interventions, has improved food security of beneficiaries from 8.4 months in 2006 to 10.1 months in a year in 2012. The Risk Financing Mechanism (RFM), which allows to scale up PSNP provisions during shocks such as droughts, floods, etc, has proved to be an effective instrument enabling an early and

preventive intervention before a shock becomes a crisis.

II. Background

For over 30 years, responses to food insecurity in Ethiopia were dominated by emergency food aid, costing on average USD 265 million per year from 1997–2002. While food aid saved lives, it often failed to protect livelihoods, resulting in millions of people sliding into poverty. By the early 2000s, there was a growing consensus between the Ethiopian Government and donors on the need to reform the emergency food aid system in favour of a more productive approach to provide a safety net to vulnerable populations.

In response, in 2005 the Government launched an alternative system, the Productive Safety Net Programme (PSNP), to help address the needs of chronically food insecure households. The launch of the PSNP represented a pivotal departure from the cycle of annual emergency food aid appeals. The PSNP provides cash or food to people who have predictable food needs in a way that enables them to improve their own livelihoods and therefore become resilient to the effects of shocks in the future.

III. Objective of the PSNP

The objective of the PSNP is to provide transfers to the food insecure population in chronically food insecure woredas in a way that prevents asset depletion and creates assets at the community level.

The PSNP is made up of two components:

- i) Labour intensive Public Works [such as natural resources rehabilitation through soil and water conservation activities, construction of rural roads, health clinics and schools construction] which create community assets; and
- ii) Direct assistance to households who are chronically food insecure, but who lack productive labour and have no other means of support.

The PSNP was expected to differ from the previous emergency responses in Ethiopia by improving the productivity effects of the transfers to the beneficiaries in two ways. First, through the focus on quality public works contributing to improved local infrastructures that enhances the local economy and rural productivity. Second, by providing a significant proportion of transfers in cash that can have multiplier effects on local economies by boosting local business and trade through an increase in demand (indirectly encouraging increased production and investment). Using this approach the Programme expects to address immediate human needs while i) simultaneously supporting the rural transformation process in terms of addressing the root cause of food insecurity such as land degradation, ii) preventing long-term consequences of short-term consumption shortages, (iii) encouraging households to engage in production and investment, and (iv) promoting market development by increasing household purchasing power.

IV. PSNP Implementation

The PSNP is an important component of the GoE's Food Security Programme (FSP) adopted in 2003. The PSNP has been under implementation since 2005 covering the needs of about seven million people on average per year.

The programme is implemented through government systems whereby the Ministry of Agriculture is responsible for the overall co-ordination and oversight of the physical activities, while the

Ministry of Finance and Economic Development is in charge of the financial management aspect of the programme. The programme is operational in 319 chronically food insecure woredas (districts) spread over eight regions of Ethiopia. Annual budget of the programme is estimated at about USD 450 million contributed by ten development partners, namely European Union (EU), the World Bank, the UK Department for International Development (DFID), Irish Aid, Department for Foreign Affairs, Trade and Development Canada (DFATD), Danish Development Assistance (DANIDA), Swedish International Development Cooperation Agency (SIDA), Netherlands Government, USAID and Women's Empowerment Programme (WEP). PSNP is often quoted as exemplary in terms of donor harmonisation and use of country systems for implementation in line with the Paris Declaration on Aid Effectiveness.

The EU is one of the major financial contributors to the programme, so far committing €241 million from various instruments (EDF, budget line, Food Facility). Within the EC SHARE an additional €11 million has been allocated to the programme, specifically to the Risk Financing Mechanism, which is designed to scale up the programme during the time of bigger shocks such as drought and floods.

V. PSNP Impact to date

The PSNP has significantly improved food security in all regions between 2010 and 2012 according to the most recent impact evaluation¹. Together, the PSNP and Other Food Security Programme/Household Asset Building Programme² (OFSP/HABP) can be credited with significant impacts on household food security; the average months of food security increased from 8.4 months in 2006 to 10.1 months in 2012.

PSNP public works have expanded infrastructure necessary for access to markets, water and social services. This includes 39,000 kilometres of new roads, 83,000 kilometres of maintained roads, 500 health posts, and 4,300 school rooms.

PSNP public works support soil and water conservation including the construction of over 600,000 kilometres of bunds, 644,000 hectares of land protection amounting to a reduction in soil loss of over 12 tonnes per hectare.

The PSNP has also made a significant contribution to the Climate Resilient Green Economy (CRGE) policy by reducing carbon emissions and increasing carbon sequestration through public works that focus primarily on water and soil conservation. The (2012) impact evaluation of public works estimates that 1.45 million tons of CO₂ have been sequestered through public works in two watersheds alone.

VI. PSNP and Risk Financing Mechanism (RFM)

PSNP design includes a 20% contingency budget that allows expansion of the PSNP coverage to account for changes in

¹ Source: PSNP – HABP Impact Evaluation 2012; IFPRI, Nov. 2013

² These are complementary programmes to the PSNP that focus on interventions that increase household incomes

the chronic caseload during implementation. The budget also allows the PSNP to respond to moderate and localised shocks, by addressing additional transitory needs of existing PSNP beneficiaries and transitory needs of non-PSNP beneficiaries in PSNP woredas. However, there are times when a shock results in transitory food insecurity, the scale of which is beyond the ability of the mainstream PSNP and the contingency budget to address. This requires additional temporary support. This extra funding comes from the Risk Financing Mechanism (RFM), an in-built mechanism within the PSNP resource envelope. The RFM allows the PSNP to scale up in times of crisis, and is designed to reduce the 'typical' timeline for humanitarian response, so that households receive assistance before a crisis makes itself felt.

The RFM has proved to be an effective instrument enabling an early and preventive intervention before a shock becomes a crisis. The release of resources through RFM in 2011 has prevented the drought turning into famine in Ethiopia as was the case in some neighbouring countries in the Horn of Africa, such as Somalia.

PSNP and Resilience

The core objective of PSNP is to address the food consumption gap and protect household asset depletion of programme beneficiaries and by so doing build their capacities to withstand moderate shocks. This is achieved through transfer of resources for six months in a year in a predictable and consistent manner. As the value of the wage rate (cash/food) increases over time, programme beneficiaries' resilience to shocks also improves. Moreover, the resource transfer enables beneficiaries to build their assets and strengthen confidence to tackle problems induced by shocks head on.

The public works component of the programme is an important intervention that contributes to climate resilience and disaster risk management efforts of the country and thereby reinforces the resilience capacities of vulnerable population. Each year, the PSNP initiates an estimated 40,000 public works subprojects that focus on soil and water conservation, social infrastructure, and roads. These projects are planned within an integrated watershed development planning framework.

VII. Lessons Learned

The following are, inter alia, key lessons learned during the implementation of the PSNP over the last nine years:

- It is possible to effectively combine productive and protective objectives within one safety net programme, but measures

need to be put in place to ensure that one objective does not usurp the other;

- A programme aimed at meeting predictable needs can have the potential to scale up during a crisis to address humanitarian needs if it allows increase of transfer levels, the extension of the duration of transfers and the addition of new beneficiaries;
- Government systems can be used to implement a national safety net programme at scale in low-income settings;
- To implement a safety net system through government institutions requires that the programme be fully integrated into the responsibilities of regular staff and management rather than being seen as an "add-on";
- It is possible to create a single Government-led safety net programme with multiple funding streams and multiple implementing organizations;
- Achieving timely transfers in low capacity environments is possible, but it requires investments in capacity building, continuous monitoring, and ongoing corrections to the payment process;
- Resources can be targeted to the poorest households in rural communities with widespread poverty and low levels of inequality;
- It is possible to combine both cash and food transfer modalities in a national safety net programme; and
- Adopting an integrated watershed management approach can maximize the impact of PSNP public works.

VIII. Challenges

Despite its scale and longevity, PSNP remains less than a fully national (or even fully rural) safety net. The combination of geographical restrictions (PSNP is limited to those woredas identified as chronically food insecure in 2004) and pressure for graduation has meant that its (shrinking) coverage has fallen far below the total number of people who experience a food gap or levels of consumption below the food or basic needs poverty lines.

Even though extensive capacity building efforts have been made in the past years and encouraging results have been achieved, limitations in implementation capacity such as financial management still remain one of the critical challenges of the programme.

IX. Next steps and Recommendations

The current phase of the PSNP (2010 – 2014) is approaching its conclusion. Social safety nets will continue to be an important instrument in Ethiopia in fighting poverty and addressing vulnerability.

PSNP is a cornerstone of Ethiopia's draft Social Protection Policy, which aims to provide an overall system and to create an enabling environment in which citizens have equitable access to social protection services that will enhance their growth and development.

The PSNP will enter into its third phase in 2015 dubbed as PSNP IV. The objective of PSNP IV is to «**build resilience to shocks, enhance livelihoods and improve food security and nutrition for rural households vulnerable to food insecurity**». In addressing vulnerability and nutrition as well as strengthening resilience PSNP IV will have a significant contribution to the attainment of the objectives of major government policies, namely the Social Protection Policy, the Disaster Risk Management Policy, the National Nutrition Policy and the Climate Resilient and Green Economy Policy.

Franky May 2013.



X. Major changes anticipated in PSNP IV compared with current phase

Area of change	Current phase	PSNP IV	Justification
Value of transfer	Only 3 kgs of cereals per person per day or cash equivalent	3 kgs of cereals plus 4 kgs of pulses per person per day or cash equivalent	Improve level of consumption & contribute to resilience and asset protection
Duration of assistance to direct support clients	6 months per year	12 months per year for permanent direct support clients (the old, disabled, orphans, etc.)	This category of clients lack labour in the household to support themselves
Complementary programmes	Two separate programmes PSNP and HABP	HABP has been merged as one output hence only one programme	To strengthen household asset building and reinforce graduation
Implementation arrangement	All direct support clients managed by MoA	Responsibility for permanent direct support clients will be shifted to Ministry of Labour and Social Affairs	To align with the Social Protection Policy (SP)
Targeting	Community + Administrative targeting	Proxy index testing	To focus more on poverty related causes of vulnerability
Approach	Series of time bound programmes	Shift to efficient and effective system building for SP	Need for alignment with SP
Financing	Entirely dependent on external resources	Gradual increase of GoE financial contribution to the programme	Exit strategy

The EU has been one of the major contributors to the PSNP, especially during Phases I & II. The overall resource need to implement PSNP IV is estimated at USD 3.4 billion over five years. Support to the PSNP will be one area of EU – Ethiopia Cooperation in the 11th EDF programming under the focal sector «Sustainable Agriculture and Food Security». PSNP is an important initiative for Ethiopia in tackling poverty.

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Links to documentation:

1. [Food Security Programme 2010 – 2014, Productive Safety Net, MoA, August 2009](#)
2. [Designing and Implementing a Rural Safety Net in a Low Income Setting – Lessons Learned from Ethiopia's Productive Safety Net Programme, WB, 2010](#)
3. [Review of the PSNP & HABP \(draft\) , MoA, 2013](#)
4. [Formulation Process for design of the next generation of PSNP/HABP IV](#)
5. [Is Cash Transfer Programming 'Fit for the Future'? Social Safety Net Report \(2013\)](#)





COMPENDIUM FICHE

Making Cities Resilient: A global movement of local governments, cities and partners supporting cities to become disaster resilient and safer

Summary: *The Making Cities Resilient Campaign is intended to raise awareness of disaster risk reduction issues at the local level. Through its tools, the “Handbook for Local Government Leaders”, the Local Government Self-Assessment Tool (LGSAT) and the Ten Essentials, the campaign aims at supporting cities in reducing their risk and to become disaster resilient. As of August 2014 2,000 cities have joined the campaign with one common objective: become safer. 500 cities have submitted LGSAT reports which have assisted in understanding progress, identifying baselines and the challenges cities are facing. Participating cities in the campaign are now being supported in the development of Resilience Action Plans. The Making Cities Resilient Campaign is the only platform focusing on urban disaster resilience and coordinating efforts to build capacity for implementation of the “Ten Essentials” or the Hyogo Framework for Action at the local level.*

I. Purpose

Fast growing cities are engines of growth and wealth accumulation. The primary urban centres with the highest

concentration of people and economic activity mostly overlap with the areas of extreme or high risk related to disasters, such as along coasts and rivers or in flood plains. There are nearly 180,000 people added to the urban population each

day and, by 2030, there will be nearly five billion urban dwellers, representing 60 per cent of the world's population. Over the past 30 years, the proportion of the population living in flood-prone river basins increased by 114 per cent and on cyclone-exposed coastlines by 192 per cent¹.

The United Nations Office for Disaster Risk Reduction (UNISDR's) Global Assessment Report (GAR) 2013 reiterated that the estimated exposure of economic assets in thirteen of the most populated cities in the world is expected to increase between 2005 and 2070 from USD 416 billion to USD 3,513 billion in Miami, USD 8 billion to USD 544 billion in Dhaka and USD 84 billion to USD 3,557 billion in Guangzhou.

In 2012 the Intergovernmental Panel on Climate Change (IPCC)² noted that in the next few decades, a major driver of the increasing economic damages and losses from disasters will be the increasing concentration of people and assets in hazardous locations, especially in urban areas.

In addition, there are also some one billion people living in informal settlements without adequate access to healthcare, clean water and sanitation and in locations that are exposed to hurricanes, cyclones, flooding, earthquake, epidemics and crime, as well as other man-made threats, including serious risks from catastrophic climate change.

A global campaign.

"As mayor of Mashhad, I declare that achieving resilience, transfer of knowledge and sharing experiences with other cities of Iran and others Persian speaking countries, represent the ultimate goal of all officials of my city."
Mayor of Mashhad, Seyd Mohammad Pejman

"San Francisco has worked tirelessly to increase our overall resilience by investing in our physical infrastructure and increasing the capacity of our residents and communities to respond to and rapidly recover from disasters."
Mayor of San Francisco Edwin M. Lee.

"Yogyakarta has proved that resilience may only be achieved through partnership and cooperation among government officials, civil society organizations, the private sector and communities at the grassroots level."
Governor of Yogyakarta Special Region, Hanengko Bawono X

Strengthening
Essential 4 & 5 Reconstruction, renovation & strengthening
Mashhad: Reconstruction, renovation and strengthening. Mashhad is the 2nd biggest city in Iran, with 2.7 mio population. Being an old city, the central districts of Mashhad are worn out with notable vulnerability level. Mashhad has a high potential for collaborative and contributive projects. Considering these two facts, and in accordance with 6 axis of Mashhad vision statement for a "safe city", the strategy of reconstruction and renovation of the worn-out textures and structures was chosen for reducing the risks to an optimum level. Renovation and reconstruction projects were initiated including but not limited to: Neighboring textures of "Imam Reza" tomb "Shohada" Square project "Shohada" Square project "Majid", and so forth.
www.unisdr.org/campaign

Leadership
Essentials 2: Assign a budget for disaster risk reduction
San Francisco has a dedicated DRR budget that funds free disaster response training for citizens and assistance for business continuity planning to non-profit organizations.
www.unisdr.org/campaign

Education
Essentials 7: Training, Education and Public Awareness
Yogyakarta is a well-known as a "student city". Many run graduate and post graduate programs in disaster management and primary and secondary schools have integrated Disaster Risk Reduction into their curriculums, empowering school children to be agents of change in building a culture of safety.
www.unisdr.org/campaign

UNISDR
The United Nations Office for Disaster Risk Reduction

II. Key Messages

The GAR 2009³ notes that poor urban governance drives urban risks. The inter-connected nature of poor urban governance and urban risk coupled with an increasing global reliance on the exchange of goods and services produced in cities strengthens the social, environmental, and economic imperatives for ensuring the resilience of all urban settlements.

The Making Cities Resilient Campaign, globally, is the only platform focusing on urban disaster resilience and coordinating efforts to build capacity for implementation of the "Ten Essentials". There is growing understanding of the central role that cities play as contributors to social, environmental, and economic progress, and the post-2015 Framework for Disaster Risk Reduction provides a much needed avenue to scale-up the engagement of the local authorities in ensuring that progress is protected.

III. Description of the Initiative

The Making Cities Resilient: 'My City is getting ready!' campaign, launched in May 2009 is a global movement of local governments, cities and partners to support sustainable urban development by promoting resilience activities and increasing local level understanding of disaster risks. The initiative provides

1 UNISDR, 2011: *Revealing Risk, Redefining Development. Global Assessment Report on Disaster Risk Reduction 2011.*

2 <http://ipcc-wg2.gov/SREX/>

3 <http://www.preventionweb.net/english/hyogo/gar/2009/>

technical and capacity support to the cities with the engagement of partners. To assist local authorities, the campaign supports an integrated approach in identifying progress and measuring resilience of cities to frequent disasters including extreme weather events.

The main objective of the initiative is to engage local governments, city officials and other stakeholders in reducing disaster risks and building resilient cities. The primary goal of the campaign is to strengthen decision-making at the local level in support of DRR, climate risk management and the achievement of the Millennium Development Goals, through the production and dissemination of credible evidence. The principles of the campaign were established based on a vision of disaster resilient cities as key to sustainable urban development and are underpinned by effective decentralisation, strategic urban planning and participatory approaches involving citizens, communities, the private sector and academia. Overall, the project contributes to the expected outcome of the Hyogo Framework for Action 2015-2015, Building the Resilience of Nations and Communities to Disasters, “the substantial reduction of disaster losses, in lives and in the social, economic and environmental assets of communities and countries”.

UNISDR coordinates and acts as the secretariat of the campaign. The campaign goals are supported through the campaign which includes city associations, UN Agencies, international financial institutions, civil society organisations, academia, private sector institutions and organisations with expertise in urban risk reduction.

The methodology of the campaign is divided into three main points: 1) Increase the knowledge and awareness of urban risk issues and solutions, as well as the role of local governments in addressing disaster risk at all levels; 2) To raise the political profile of DRR for local governments, and commitment to improve the development investments to reduce risk, and increase profile of local governments vis-à-vis national and global policies; 3) To enhance and improve tools to apply risk reduction at local levels. UNISDR’s advocacy for the Hyogo Framework for Action (HFA) implementation has proven successful at a local level through the campaign’s 1,969 cities committed to reduce risk. UNISDR’s support to local governments in participating more visibly through international forums, regional and national platforms has noticeably raised their profiles and commitments to DRR. UNISDR’s tools have increase knowledge of DRR and strengthened technical capacities of local governments.

The Making Cities Resilient Campaign, launched in 2009, will continue to be implemented based on the demand from cities and partners. It is envisaged that, with the post-2015 Disaster Risk Reduction framework a stronger emphasis will be given to local risk reduction, which, will support the principles of the campaign and its goals in scaling-up actions.

Achievements

As of August 2014, 2,000 cities from 97 countries participate in the campaign committed to implement the Ten Essentials⁴ for local resilience. Participating cities are supported with tools such as the Handbook for Mayors, Local Government Self Assessment Tool (LGSAT), City Disaster Resilience Scorecard to identify risks and respectively strengths or weakness in resilience strengths and technical support to reduce risks and protect investments. 500 cities have submitted their LGSAT reports which have assisted in understanding progress and identify immediate challenges. Cities participating in the campaign are now being supported in the development of Resilience Action Plans with the new City Disaster Resilience Scorecard.

To fill the capacity and technical gap in cities, the campaign has engaged 20 Advocates based in different regions to provide pro-bono support to the cities that need expertise for the implementation of the “Ten Essentials”. In order to renew the political commitment, the campaign is supported by 35 Champions and 23 role model cities.

By the end of 2013, 850 cities in 62 countries had dedicated staff for Disaster Risk Reduction (DRR) as well as regular and systematic budget allocations for DRR. Cities in 86 countries now conduct regular capacity development programmes for their line departments as well as public education campaigns for risk-prone communities. Cities in 24 countries have assessed, or are in the process of addressing the safety of their schools and hospitals. Cities in 78 countries now have investments to reduce the risk of vulnerable urban settlements.

IV. Expected results

- Increased awareness and actions mobilised by local governments to reduce risk and build resilience.
- Stronger recognition and actions at local level for of DRR as integral to planning on climate risk management and sustainable development.
- More integrated approach towards local resilience compared to sectoral programming.
- Critical assets and infrastructures in campaign cities are identified and action taken.

V. Challenges

Compared to the number of cities joining the campaign and demand for support, there are not enough resources to fill the gap. Further, with the successor instrument to the HFA in place, the need for local implementation will further increase and so will the demand and requests from cities and local governments.

The Intergovernmental Panel on Climate Change 2014⁵ echoed that a high proportion of the world’s population most affected

⁴ <http://www.unisdr.org/campaign/resilientcities/toolkit/essentials>

⁵ <http://www.ipcc.ch/report/ar5/wg2/>

MAKING CITIES RESILIENT CAMPAIGN 2010–2015



ROLE MODEL CITIES
Demonstrating good practices and innovation



CHAMPIONS
Influencing for action



PARTNERS
Implementing for action

JOIN THE CAMPAIGN
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UNISDR
The United Nations Office for Disaster Risk Reduction

by extreme weather events is concentrated in urban centres. Most of the campaign cities lack both local governments with the capacity to reduce disaster risk, and much of the necessary infrastructure to deal with these risks.

VI. Next steps and recommendations

To support cities and local governments, UNISDR now has a Programme on Urban Risk Reduction and Resilience which will focus on capacity development, support cities in systematically accounting for disaster loss, assist campaign cities in better planning and measuring the progress of risk reduction at the local level while continuing to promote political commitment for urban resilience.

This campaign is complimentary to the EU Action Plan for Resilience in Crisis Prone Countries 2013-2020, which, "reaffirms and give new impetus for the implementation of the strong commitments made in the Disaster Risk Reduction (DRR) Implementation Plan". The Action Plan will strengthen the momentum gained by the Campaign through "a systematic and holistic approach to building resilience in crisis and risk-prone contexts, notably by supporting populations at risk to withstand, cope with, adapt and quickly recover from stresses and shocks without compromising long-term development prospects."

The campaign tools and guidance can be of assistance to the EU in implementing its resilience related commitments. The Action Plan, through the campaign, has the potential to support raising awareness and capacity building of local authorities

and communities, strengthen community-based risk reduction and ensure that socio-economic and fiscal impacts of natural hazards are minimised.

Links to documentation:

- Making Cities Resilient: My City is Getting Ready <http://www.unisdr.org/campaign/resilientcities/>
- Local Government Self-Assessment Tool (LGSAT) <http://www.preventionweb.net/english/hyogo/hfa-monitoring/local/>
- Report from Cities <http://www.preventionweb.net/english/hyogo/progress/reports/local.php>
- City Disaster Resilience Scorecard – <http://www.unisdr.org/2014/campaign-cities/Resilience%20Scorecard%20V1.5.pdf>
- UNISDR 2014-15 Work Programme <http://www.unisdr.org/we/inform/publications/36219>

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Children at school. ©UNICEF RD / R.Piantini / Dominican Republic

 **COMPENDIUM FICHE**

Innovative warning system: alert and response operations for cholera and other health hazards in the Dominican Republic

Summary: For more than a century, cases of cholera had not been reported on the island of Hispaniola. The disease reappeared in Haiti in October 2010 and in the Dominican Republic in November 2010. In the Dominican Republic the spread of the disease and active transmission reached a peak in May 2011 coinciding with the rise in temperature and the increase in rains that caused floods and damage to human excreta disposal systems and contamination of the drinking water supply. This pattern of transmission continued with outbreaks associated with poor access to safe water, basic sewer connections and sanitation infrastructure. Therefore to better respond to the epidemic, it was deemed necessary to improve the surveillance capacity for the control of water quality. This was accomplished through an ECHO funded project, implemented by the Pan-American Health Organization (PAHO), that introduced an innovative warning system built on an approach developed in Haiti. The system is called SISMOPA and is based on mobile pre-coded messages with geo-reference data, sent from local to central level and monitored directly by the Ministry of Health (MESPAS) and the Water Authority (INAPA).

In the Dominican Republic, the Cholera epidemic spread nationally over the last three years, causing more than 470 deaths out of 31,585 suspected cases. PAHO has been closely involved in the national response, providing technical support

to the Ministry of Health and co-ordinating with other actors in the field such as the Dominican Red Cross and its partners (International Federation of the Red Cross/Red Crescent (IFRC)), Spanish Red Cross and NGOs such as PLAN and OXFAM.

Cholera is an extremely virulent disease and can kill within hours. This acute diarrheal infection caused by ingestion of food or water contaminated with the *Vibrio cholera* bacterium has a very short incubation period and requires a rapid response. In the Dominican Republic, outbreaks were mostly associated with contamination of water after heavy rains disrupted water systems. To reduce the scale of infection and to save lives in high risk areas, harmonised actions were required to monitor water quality, maintain health surveillance and respond quickly.

This ECHO project, implemented by PAHO, had two phases. The first related to outbreaks in rural communities and border areas. The second, following the onset of the rainy season in May 2011, was a response to outbreaks in peri-urban areas near the main cities.

I. Brief description of the initiative

The overall objective of the project was to reduce morbidity and mortality associated with epidemics and other emergencies in the Dominican Republic. The planned outcomes were a strengthened alert and response system to effectively reduce mortality and morbidity associated with cholera outbreaks and other health hazards in the Dominican Republic, and improved surveillance capacity for monitoring of water quality.

The project increased the Dominican Republic's ability to face, respond faster to and recover quicker from cholera outbreaks. In areas at high risk of cholera, the project introduced and implemented the SISMOPA («*Sistema de Monitoreo de la Potabilidad del Agua*») local surveillance system to monitor water quality. This works by connecting 136 aqueducts to a virtual monitoring platform supported by the Ministry of Health and the water authority INAPA (Institute of Drinking Water and Sewerage), because in the past a direct relation between outbreaks and access to safe water was observed. As a result of the geo-referenced water quality data, sent automatically by SMS, it was possible to provide real time information directly to the population as well as to the authorities. Critically, this allowed an early response to improve water quality and to be prepared for further outbreaks. This was only possible because of the co-ordination, facilitated by the project, between two national services (health and water supply) and the participation of the private sector which provided free phones and SMS capabilities.

The project contributed to the development of SISMOPA, an adaptation of the water monitoring system in Haiti, the SISKLOR. The system is supported by the Dominican Republic Ministry of Health and the *Instituto Nacional de Aguas Potables y Alcantarillados* (INAPA). It consists of different sampling points mapped out in the provinces, where regular monitoring of residual chlorine is carried out by technicians using low-cost mobile phones (pre-coded). This information is linked to a server that compiles the collected data and issues alerts, if

necessary. A total of 505 water points located in provinces at high and very high risk of transmission will continue to serve as sampling points, indirectly benefitting more than 865,000 people.

The system has had a positive impact and has been adapted to health sector requirements and integrated within the structure of the Ministry of Health to ensure monitoring of water quality in health facilities. The authorities are interested in continuing the development of the system and in further exploring the possibility of scaling-up. The project also supported the early detection of and rapid response to cholera cases, especially in remote communities in high risk areas, where the assistance of patients is restricted due to difficult access and limited resources. Timely interventions in the face of epidemics such as cholera make a significant difference in saving lives. Through this action, people benefited from rapid assistance; first through telephone notification alerts, followed by the deployment of personnel that provided immediate care with treatment such as oral rehydration solutions, transport to referral health centres and follow-up at community level with increased sensitisation campaigns and hygiene and sanitation activities.

II. Main contribution to resilience

The capacity to anticipate is part of the resilience of institutions and communities. The development of an alert and response system with an integrated approach (alert, dispatch and care at local level) to respond to cases in remote areas is vital. In the past, assistance at community level was rarely given due to limited resources, and precious time was lost as the affected people received care only after arriving at health centres several hours later; in the case of cholera this delay meant rapid deterioration of the patient and a significant risk of death.

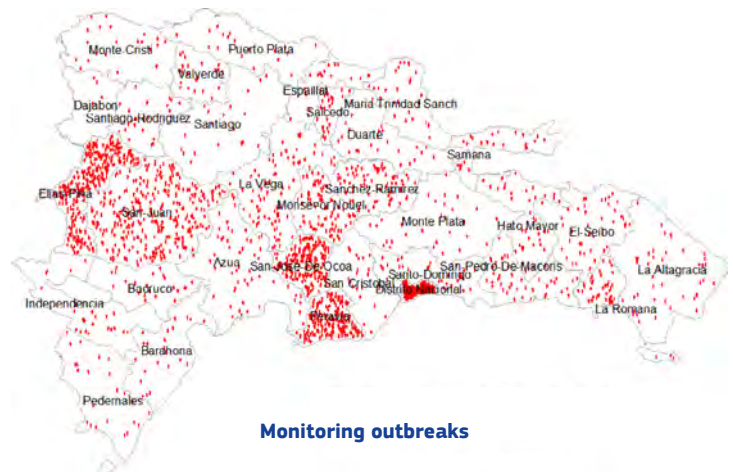
This emergency health intervention is an example of how a humanitarian response can build resilience to future and similar events. ECHO's sectoral policies, for example in food security, water and sanitation and livelihood support, now include guidance to apply a resilience approach into all our humanitarian assistance. The project reinforced the national capacity in surveillance of water quality in a practical way, allowing the collection of information in real time to facilitate timely decision making. Technical co-operation with Haiti enabled the adaptation of the Haitian information system for water quality to fit the needs of the health and water institutions of the Dominican Republic.

The project increased the country's ability to face, respond faster to and recover quicker from cholera outbreaks, through the following key interventions:

- Collaboration with the national authorities in developing an “alert and response systems” based on emergency co-ordinating centres. The centres are in charge of the reception of alerts at community level, the dispatch of teams and the referral of patients to hospitals in order to facilitate a rapid and co-ordinated response to avoid the loss of lives;
- Capacity building of integrated response teams that are deployed to remote areas. Emphasis on early detection of cases and effective assistance of cholera patients, in a short period of time. Early identification of the sources of the contamination in case of outbreak;
- Support for epidemiological surveillance through local personnel and sensitisation campaigns in the communities to highlight the importance of immediate notification of cases and the implementation of preventive measures;
- Contribution to the organisation of health supplies and materials in decentralised warehouses to improve access at a local level, with the integration of SUMA (humanitarian supply management systems), including training of local personnel for its use;
- Support to the development of a water quality monitoring system that facilitates access to safe water at community level, with sampling points identified in vulnerable areas. Notification of alerts are issued using low cost mobile phones and followed at central level. Consecutively, another system was adapted for monitoring water quality in health facilities;
- Enhanced co-ordination of authorities for water, sanitation and hygiene (WASH) and health interventions with frequent involvement of technical teams from different departments for the development and maintenance of the SISMOPA; and
- Inclusion of the private sector in the response to epidemics such as cholera opens the possibility for other stakeholders to intervene in the mid- to long-term actions.

III. Evidence of Impact

- The project contributed to the establishment of a disease control and residual chlorine monitoring system in 315 provincial and municipal aqueducts



Source: *Epidemiological Record (week 52 - 2011, DIGEPI-MSP)*
Map developed by J. Lance (based on the report *Cholera in the Dominican Republic: lessons learned one year after the epidemic.*)

which supply community water sources and provide safe drinking water to more than 4.7 million people. 15 targeted provinces, including those at high risk of cholera outbreak, out of the 31 in the country are now monitoring water quality.

- The project action helped improve the response to the disease outbreak. During the implementation period, outbreaks related to contaminated water sources were detected and therefore the response was quicker and there was enhanced co-ordination between national services. According to the Dominican Republic Ministry of Health (MESPAS), during 2013 a decrease in the number of cholera cases have been reported (attack rate of less than 0.15%).
- The surveillance and response systems for cholera have contributed to strengthening the Dominican Republic health sector preparedness capacities to respond to different health hazards and potential emergencies.

IV. Challenges

- Sustainability of the systems with permanent commitment of authorities and integration of other stakeholders for mid- to long-term actions.
- Continued support for the epidemiological surveillance in the country, capacity building of personnel and availability of resources (stocks of supplies/materials, etc.) in order to guarantee an effective response to epidemics.
- Keeping the private sector interested and involved (the phone company and key actors that could be more involved in health prevention awareness campaigns).



Lady at hospital. ©EC/ECHO / G.Sosa / Dominican Republic

V. Next steps and recommendations

- Further development and strengthening of the coordination among authorities of different sectors (health, WASH), key actors and other stakeholders.

Links to documentation:

- SISMOPA presentation (INAPA and Dominican Republic Ministry of Public Health)
<http://inapa.gob.do/tabid/56/itemid/355/INAPA-da-seguimiento-al-Sistema-Monitoreo-de-Agua.aspx>
- Cholera in Dominican Republic lessons learnt one year after the epidemic (Dominican Republic Ministry of Public Health and PAHO)
http://www.paho.org/hq/index.php?option=com_content&view=article&id=4499:cholera&Itemid=3467&lang=en

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Pan American
Health
Organization





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 **COMPENDIUM FICHE**

Poverty Reduction and Peace Building: A Conflict Sensitive Resource and Asset Management Programme

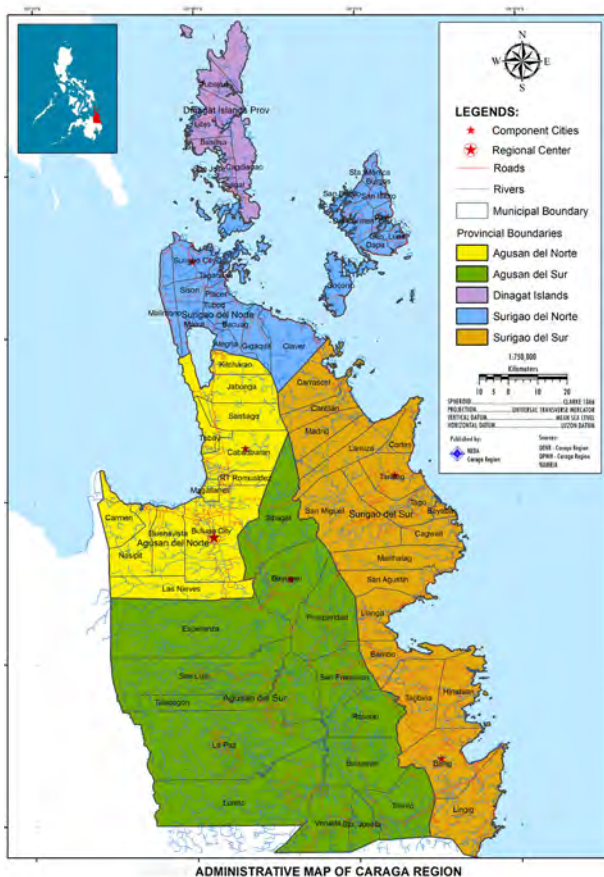
Summary: *The ‘Conflict Sensitive Resource and Asset Management’ (COSERAM) Programme together with the Civil Peace Service (CPS) Programme of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) has supported an integrated approach of poverty reduction and peace building in the region of Caraga in the Philippines since January 2011. COSERAM is a joint undertaking of the Philippine and German Governments implemented by GIZ, KfW (German Development Bank) and local partners. It aims to ensure that governance of natural resources and assets is implemented in a peaceful and sustainable manner, benefitting the marginalised parts of the population such as disadvantaged poor people, those affected by land-based resource conflicts, indigenous peoples, youths and women.*

I. Brief description of the initiative

About one-quarter of the population of Caraga (2 million) are indigenous people living in remote areas, often without access to public services, and are especially vulnerable to many of the existing conflicts and hazards. The programme’s multi-level strategy includes promotion of non-violent conflict transformation and improvement of service delivery through various approaches to resource governance, such as inclusive and conflict-sensitive land use and development planning or titling processes.

COSERAM and CPS work together with various local government units on local (25), municipal (15) and provincial (4) level, and with regional and national government agencies but also with NGOs, academic institutions and indigenous cultural communities. As one particular focus, the programme directly reaches more than 100 indigenous clans comprising over 12,000 indigenous beneficiaries.

The programme has been showcased by the Organisation for Economic Co-Operation and Development (OECD) as a best



practice model of resilience programming for its multi-level approach and inclusion of risks in programme design.

Why Caraga?

- Request from the Philippine Government to the German Government to work in Mindanao (2007).
- High rank in Poverty Index, but vast natural resources (forests, minerals).
- Multi-faceted conflict situation.
- Low presence of donor organisations, particularly in the field of conflict transformation.

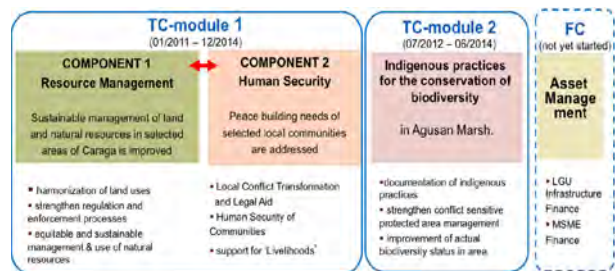
II. Implementation and main contribution to resilience

COSERAM and colleagues from the CPS programme in Caraga are closely interlinked and provide a broad range of advisory services and capacity development measures for the above mentioned stakeholders to improve the situation, especially for marginalised groups, and increase the awareness of comprehensive resource planning geared towards sustainability. The programme promotes inclusive processes, creates space for dialogue between (conflicting) parties and supports formal and informal dispute settlement processes. Through this, COSERAM links different layers of government and society with a strong emphasis on addressing resource governance and embedding best practices into local government structures, building their

capacities and clarifying the role and applicability of government legislation and regulations. There is a strong emphasis on the interplay of natural resource and ecosystem management with the use of a holistic 'Ridge-to-Reef' approach, recognising the inter-linkages between different land types, land use and potential risks generated by both natural and man-made risks. Following the holistic and inter-linked approach, COSERAM strengthens (para)legal aid and facilitates multi-stakeholder initiatives as well as local co-operation, particularly for the management of shared natural resources (e.g. coastal waters) and mutual conflict and problem solving.

COSERAM's programme structure comprises three key pillars responding to major peace building and development needs, to root causes of conflicts and to risks identified in thorough assessments.

III. Resilience characteristics



Although COSERAM and CPS have not been designed with a special regard to resilience in the first place, all modules address resilience development as framed in the current international discourse.

- Through thorough context analyses and a strong risk and conflict lens, the programme demonstrates constant appreciation of the existence of different types of risks in the region such as violence, conflicts, possible negative effects of climate change, the likelihood of natural disasters, and consequences of vast exploitation of natural resources.
- Increased awareness on peace and development needs by local government units and other relevant authorities as exemplified in a Regional and Provincial Peace and Development Framework developed in consultation with various stakeholders on all levels and of all sectors.
- The understanding of inter-linkages between different risks has been internalised in planning and operations through an inter-disciplinary approach, tools and mechanisms that have been distinctively developed for and used on different levels (individual, community and state).
- Indigenous communities included risk assessments and identification of response measures in their planning processes.

- Aiming at empowerment, ownership, and participation, the programme focuses on the most disadvantaged groups within society, incorporating in its capacity-building approach measures to strengthen people's, communities' and government institutions' abilities to cope, adapt, recover and transform. The use and encouragement of practices, knowledge and structures already existing is acknowledged as an important factor.
- Carefully planned sequencing of community entry in co-operation with local NGOs and land use/development planning activities by local government partners, including conflict and stakeholder analyses and recognition of the need to include marginalised groups in the processes.

in Caraga and strengthening of local enforcement mechanisms, taking into account the tension between protection measures and safeguarding livelihoods.

- Creation of multi-stakeholder management structures that involve local communities and the joint drafting of a conflict-sensitive development framework for settlers on an idle timber area by a city government and the Department of Environment and Natural Resources, ensuring the inclusive and sustainable economic development of the area.
- Improved co-operation between the provincial government of Agusan del Sur, the National Commission on Indigenous Peoples and the indigenous communities in recognising and delineating traditional/ancestral territories, thereby securing the indigenous population's property claims as guaranteed by law as well as safeguarding their livelihood.
- Emphasising ownership and participation in all supported planning and development processes while focusing on disadvantaged groups contributes to empowering society to make the best informed choices, with special regard to conflict and resource management. With particular emphasis on inclusion of indigenous communities as well as analysis of the conflict situations, the ecosystem-based participatory planning processes are currently replicated in ten municipalities of the province of Agusan del Norte.
- In Agusan del Sur the provincial government co-operates with the National Line Agency responsible to protect the rights of the indigenous people, providing substantial financial and technical support to the line agency as well as indigenous communities' land security.

Benefits and lessons - Key factors for strengthening resilience

- *It is fundamental to have a comprehensive and thorough understanding of the context: actors, conditions, policies, interrelated and interdependent factors and effects etc. Thorough analysis is a cornerstone for sound design and implementation of a programme.*
- *Understanding the inter-linkages of risks: integration into planning and operations helps to build the resilience of communities and individuals, as well as the state and its institutions.*
- *Abandon a compartmentalised technical approach in favour of a holistic and systemic attitude. Plan synergies by analysing gaps and enforcing linkages between levels and sectors to create and enhance impact.*
- *Linking policies, government institutions and local actors.*
- *Acceptance that there are no quick solutions and a need for long-term constructive engagement in order to create sustainable and inclusive (economic) development.*

Achievements of COSERAM and CPS from a resilience perspective

- Development of a holistic and conflict sensitive ridge-to-reef framework with local partners from several municipalities as well as the indigenous communities and the surrounding uplands and lowlands in Surigao del Norte, increasing understanding of the inter-connectivity of the effects of the use of natural resources.
- Establishment of several (marine) protection areas

Participatory exercise.





Community analysis.

- On national level three authorities responsible for local government, indigenous people and peace and security (DILG, NCIP, OPAPP) are currently exploring how to include the guidelines for indigenous land use planning and management on policy level, how to ensure conflict sensitivity in development planning and how to strengthen local and/or customary conflict resolution mechanisms. They are drawing on lessons learnt from COSERAM.

IV. Challenges

COSERAM has made considerable progress in strengthening the resilience of its target population, especially through the transformation of conflicts over land and natural resource usage and a shift of government approaches towards conflict sensitive and inclusive planning. This ensures flexible coping mechanisms, for example for disputes over land, which respond to needs on the ground and strengthen civil societies' capacity to cope with hazards (typhoons, flooding etc.).

The challenge now will be to make activities in this regard more explicit and tangible and explore the issue in more strategic terms. However, within international discourse there is no consensus yet on how to measure resilience. Therefore, developing indicators or frameworks for measuring resilience effects and impacts is currently one of the main challenges for COSERAM.

V. Next steps and recommendations

- COSERAM will shift from piloting and developing good practices towards the replication and up-scaling of products and lessons learnt. It will be a challenge to develop further ownership among local partners and to build capacity of local structures, ensuring the sustainable development of institutional and personal capacities for

these processes of replication and up-scaling.

- In the follow-up programme of COSERAM (2015-18) as well as CPS (2015-2017), strengthening resilience will become more prominent, i.e. options and indicators will be developed to assist the Philippine state to monitor the resilience of target groups in conflict-affected areas.
- Livelihood options (including value chains) will be explored, aiming specifically at the most marginalised, i.e. indigenous people, women and young men.

Links to documentation:

- <http://coseram.caraga.dilg.gov.ph/>
OECD Risk and Resilience Expert Group Meeting, Paris, June 2013.
- <http://www.oecd.org/dac/governance-development/risk-resilience.htm>

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COSERAM





A woman and her child displaced by fighting in Jonglei state, South Sudan. © Polish Humanitarian Action

COMPENDIUM FICHE

Developing new joint analysis and planning tools: guiding humanitarian and development coherence for resilience objectives

Summary: *The European Commission on Humanitarian Aid and Civil Protection (ECHO) and the European Union (EU) Delegation to South Sudan conducted a strategic analysis during the first quarter of 2014, using a process known as a Joint Humanitarian and Development Framework (JHDF). The initiative aims to enhance the strategic dialogue on food and nutrition security between humanitarian and development EU institutions in the country. As a result of the exercise, a twin-track holistic approach is proposed to build the resilience of vulnerable populations by complementing and linking immediate hunger relief interventions to longer-term development programmes in areas of protracted crises.*

The JHDF exercise identified a number of areas and options where EU development and Humanitarian programmes will complement each other to more effectively improve the situation of at risk populations and those receiving nutrition support.

This JHDF exercise conducted in South Sudan is still in its early stages and may be considered a 'best practices exercise or test'. The agreed next steps and managerial arrangements need to be acted on, in preparation of further joint strategic and programmatic exchange between ECHO and the EU Delegation.

Two options are to be explored to widen support and commitment to the approach: 1) To plan a second planning phase, with a more inclusive participation of technical and managerial staff of other sectors (i.e. governance, health, wash, etc); 2) To promote a more inclusive process with key stakeholders such as the Member States, the United States, the World Bank and the United Nations (UN) specialized agencies. This would support a more comprehensive humanitarian/development dialogue, in the context of a South Sudanese system that is currently facing an acute transition due to the recent conflict and disruption of basic services.

The Joint Humanitarian and Development Framework, initially developed to promote food security for the poor and vulnerable in "exceptional" situations where humanitarian and development actors will need to work together to achieve this objective, is a participative tool and process that follows the following steps:

Step 1: Understanding the overall nature of the crisis;

Step 2: Identification of target population;

Step 3: Joint analysis of the causes for food insecurity of target population;

Step 4: Identification of EU responses; and

Step 5: Assessment of the coherence of EU interventions, definition of strategic priorities and design of an action plan.

I. Purpose and Rationale

South Sudan is the newest and one of the poorest countries in the world. Widespread vulnerability is often tackled through humanitarian and development interventions funded by the international community. The magnitude of food insecurity, year by year, is caused and exacerbated by recurrent natural disasters such as floods and drought as well as man-made conflicts. High levels of chronic vulnerability to food insecurity are illustrated by child malnutrition rates above emergency levels in several States, even in years with good harvests. Food insecurity is a fact of life for 1 in 3 people in South Sudan - even in good years. ECHO and the EU Delegation

to South Sudan agreed to undertake a JHDF exercise so as to draft an initial paper on building resilience for food and nutrition security.

Joint key findings and a set of recommendations to enhance the evidence-base necessary for the preparation of future strategic and programmatic decisions during 2014 and 2015 were formulated as a result. ECHO and the EU Delegation will act on the recommendations and are committed to complement short and long term actions to support resilient households and communities, if minimum conditions are in place.

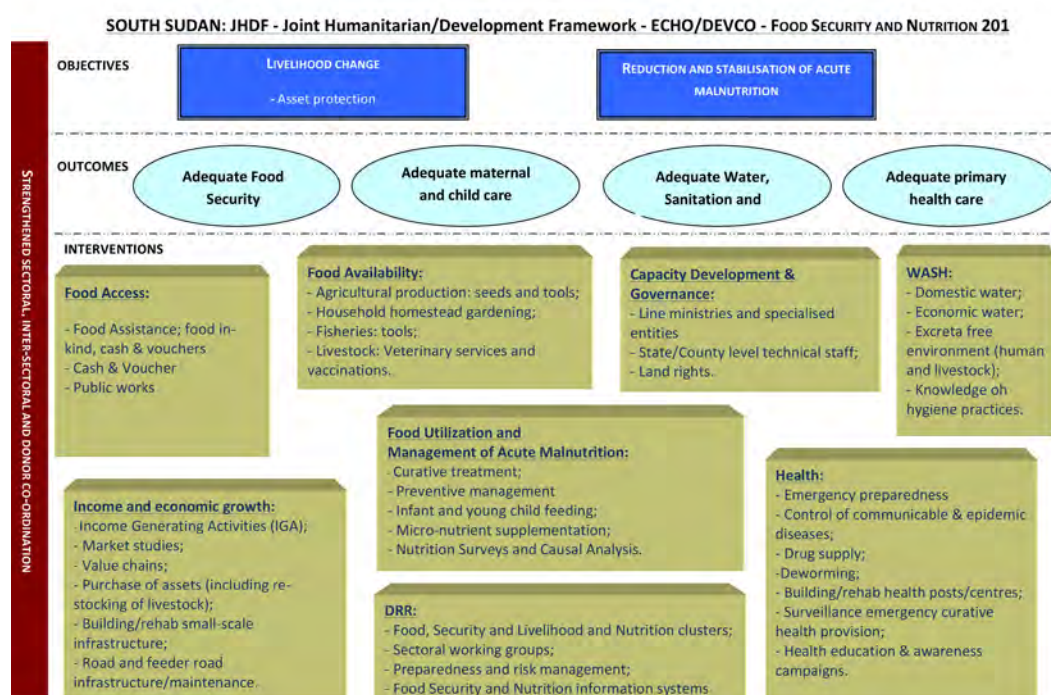
II. The Conceptual Framework

A multi-sectoral and holistic approach was agreed as the basis of the food and nutrition security conceptual framework adapted to the South Sudan context. The framework highlights a twin-track approach in which humanitarian and development actions complement one another.

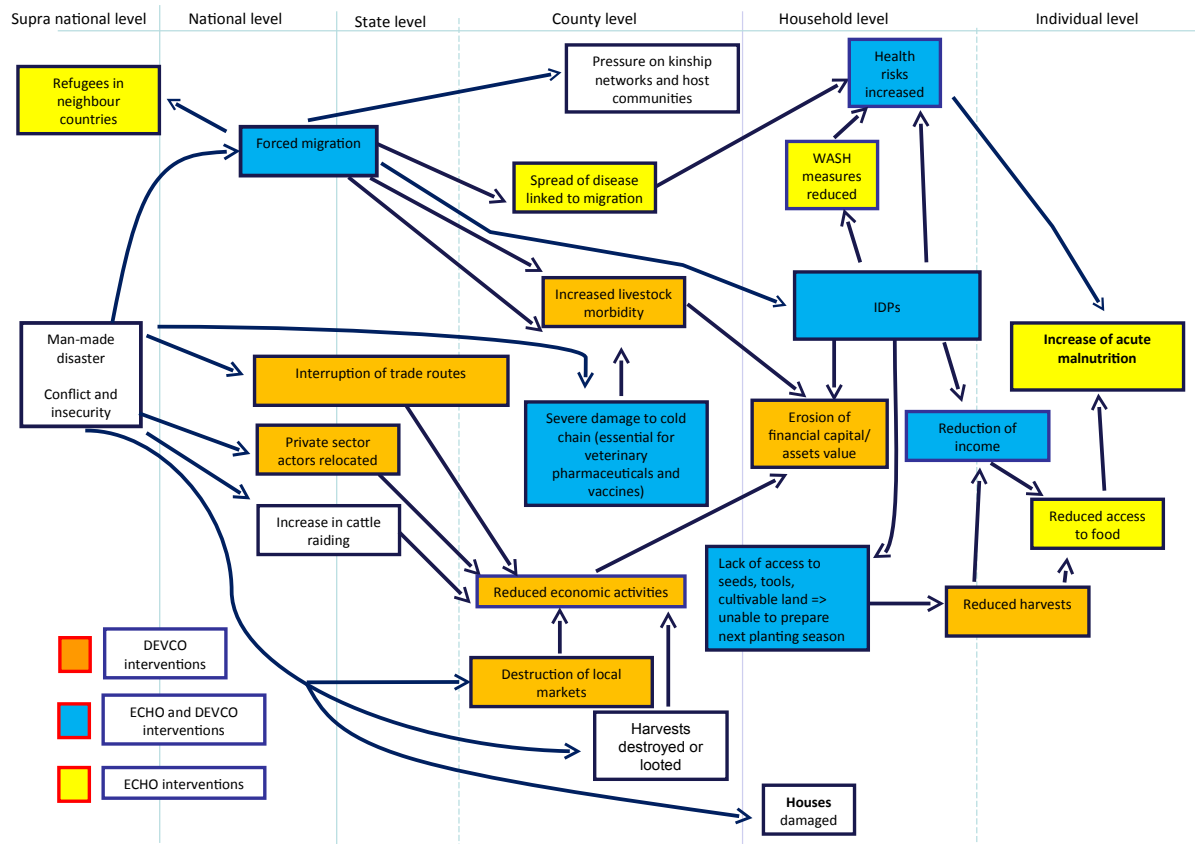
The holistic dimension addresses the immediate, multi-faceted and interlinked, and root causes of food and nutrition insecurity involving differing sectors at differing levels. The analysis allowed for the identification of four outcomes necessary for attain food and nutrition security in this fragile context, and the food and nutrition interventions necessary to attain them.

III. The JHDF process

The starting point of the JHDF is to reach an understanding of the crises faced, their impacts and drivers of vulnerability. As part



JHDF – CRISIS SCENARIO CONFLICT AND INSECURITY



Above is an example from one of the two scenarios developed to identify the different sectoral themes and locations of projects and programmes supported by ECHO and the EU Delegation, that relate to the crisis and causes of vulnerability. The crisis scenario focuses on the conflict, insecurity aspects and context.

of the process it is necessary to identify the dynamic links and interaction between sectors, levels and stakeholders. This helps to identify possibilities for programmes to complement each other and to identify gaps which, if filled, would provide better assistance to households and individuals.

The agreed first step was to brainstorm and build a crisis scenario based on the recurrent natural disasters striking the country and affecting the population. Furthermore, a second scenario was then built concerning the man-made crisis aspects. A most recent armed conflict has been ongoing since mid-December 2013 and is devastating the already fragile livelihoods of the most vulnerable groups with severe consequences in food and nutrition insecurity.

The joint analysis was then split into two, based on the different nature of these disasters and their different levels of predictability.

Whilst applied research has increasingly refined risk management tools to support practitioners to forecast the magnitude of natural disasters such as floods and drought, a much higher volatility and unpredictability concerns widespread armed conflict and the sudden rapid changing scenarios in terms of access, targeting and basic services to be delivered, etc.

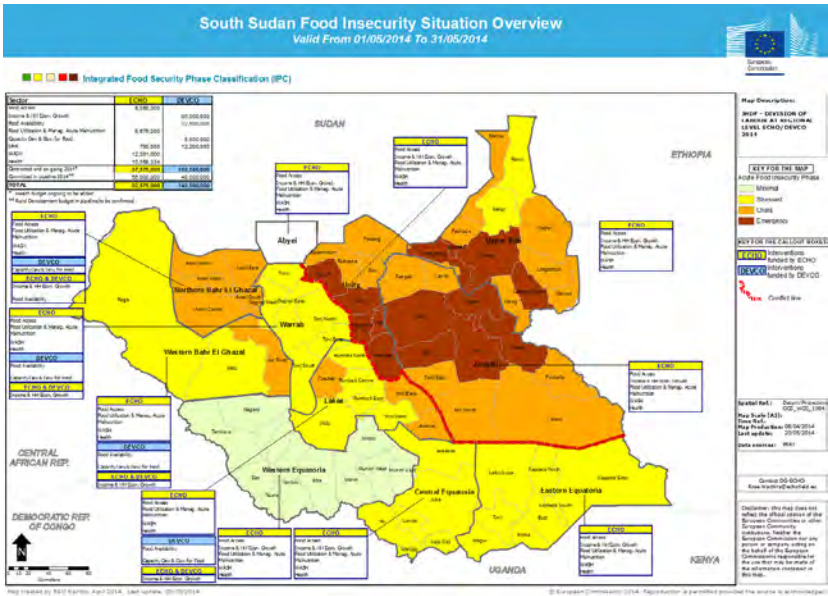
IV. The Joint Programming phases

Several tools were employed to support the preliminary discussion on the choices made regarding the key parameters selected in support of the analysis. The agreed starting point was the State of Play of the ongoing commitments from ECHO and EU Delegation in South Sudan.

A mapping exercise was built on the basis of the latest food insecurity map available (31st January 2014), highlighting, at State level, the current financial investments of ECHO and the EU Delegation in the multi-sectoral approach of food and nutrition security (as per conceptual framework, including health, wash and DRR).

A matrix based on a 3 W's exercise (Who/What/Where), including the current financial investments and the target groups supported, was designed to support the strategic discussion.

A matrix built on ongoing funded interventions, indicating sectors and sub-sectors including the current financial investments and the target groups supported, was drafted for the purpose of a more technical and programming exchange.



2014. Among those people, one million are facing IPC level 4 – Emergency threshold. IDPs, refugees and returnees living in rural areas are among the most vulnerable groups. Action: ECHO and the EU Delegation will enhance the technical dialogue on targeting, prior funding decisions, in order to seek a continuum of aid received by the most vulnerable population, if the conditions are in place.

Option to invite the Member States and other stakeholders.

As the JHDF has been a promising exercise between ECHO and the EU Delegation on building resilience for food and nutrition security, a more inclusive process with key stakeholders such as the Member States, the US, the World Bank and the UN specialized

V. The results

The exercise conducted proposes a twin-track holistic approach to complement strategic decisions for immediate hunger relief interventions and link these with to long-term development strategies in protracted crises for building resilient communities. The following action points were recommended:

Treatment of malnutrition. Acute malnutrition of children and pregnant and lactating mothers level exceeds international standards. This is among the priorities to be addressed in the country, based on the recent alarming statistics. Although ECHO and the EU Delegation do fund nutrition interventions, there is a particular financial gap in the curative treatment of malnutrition. Action: 1) ECHO should continue funding curative nutrition interventions, while the EU Delegation should take into consideration the option to start funding nutrition actions under the health budget. 2) ECHO and EU Delegation should have a closer dialogue at strategic and programming level in the domain of nutrition.

Geographical targeting. High levels of food and nutrition insecurity are affecting the livelihoods of the most vulnerable groups in several States of South Sudan. The ongoing conflict is displacing approximately one million of people and is having a negative impact on harvests, livestock and markets. Surveys conducted shown that people living in Jonglei, Unity and Upper Nile States are facing the highest level of food and nutrition insecurity. Action: 1) During 2014, ECHO prioritizes conflict affected people with high rates of food and nutrition insecurity. 2) EU Delegation to start funding food and nutrition specialized agencies in conflict affected areas to complement the short-term life-saving response of ECHO’s partners.

Targeting of the vulnerable groups. Almost one third of the South Sudanese population is at risk of food insecurity during

agencies should take place for a comprehensive humanitarian/development dialogue, considering transition faced by the South Sudanese system is due to the recent conflict and disruption of basic services. Action: ECHO and the EU Delegation should discuss during 2014 how to use the process and the findings of the JHDF conducted with regards to the key stakeholders of the international community.

Links to documentation:

- EC document: Communication on Resilience (2012), Action Plan on Resilience (2013), Communication on Nutrition (2013), EC letter on Resilience to EU Delegation and ECHO field offices (October 2013).
- http://capacity4dev.ec.europa.eu/resilience_ethiopia/document/joint-humanitarian-development-framework-jhdf-context-food-security - Europeaid, Capacity4Dev, Joint Humanitarian-Development Framework (JHDF) in the context of Food Security.
- Other sources: all the most relevant literature published by the humanitarian and development agencies and research hubs.

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European Union Food Facility and Purchase for Progress Project, Kamilombe, DEMOCRATIC REPUBLIC OF CONGO. © FAO/Olivier Asselin

COMPENDIUM FICHE

Information for decision making: enhancing resilience measurement and analysis

Summary: *Given the increasing number and complex nature of crises, co-ordinated action and holistic approaches are needed that address the underlying causes of vulnerability and build resilience to food insecurity and malnutrition. International interest is growing in developing a common approach, and demand from countries and regions for guidance on resilience analysis and measurement is increasing. Against this background, the European Union (EU), Food and Agriculture Organization of the United Nations (FAO), World Food Programme (WFP) and other partners such as IFAD (International Fund for Agricultural Development) are working to develop specific technical capacities and analytical tools to strengthen rigour and transparency of resilience measurement and analysis whilst improving response and decision making.*

I. Background and Rationale

Co-ordinated action towards a more holistic approach to addressing the underlying causes of food insecurity and malnutrition is essential, especially in light of the increasing number and complex nature of crises affecting the world. Crises often occur simultaneously and can be protracted over a long period of time. Understanding and building resilience to these crises is crucial to promoting global food security and nutrition.

Resilience programming focuses on strengthening capacities of organisation and institutional systems at all levels. In order for these capacities to be supported and strengthened, they need to be understood, analysed and measured.

The long-standing collaboration between the EU, FAO, WFP and others has already accomplished a great deal in the development and improvement of methodologies on resilience measurement and support to countries. Common activities include the creation of the Resilience Measurement

¹ Please refer to the section below "Areas of work".

Technical Working Group¹ (RM- TWG) and country-level promotion of resilience analysis.

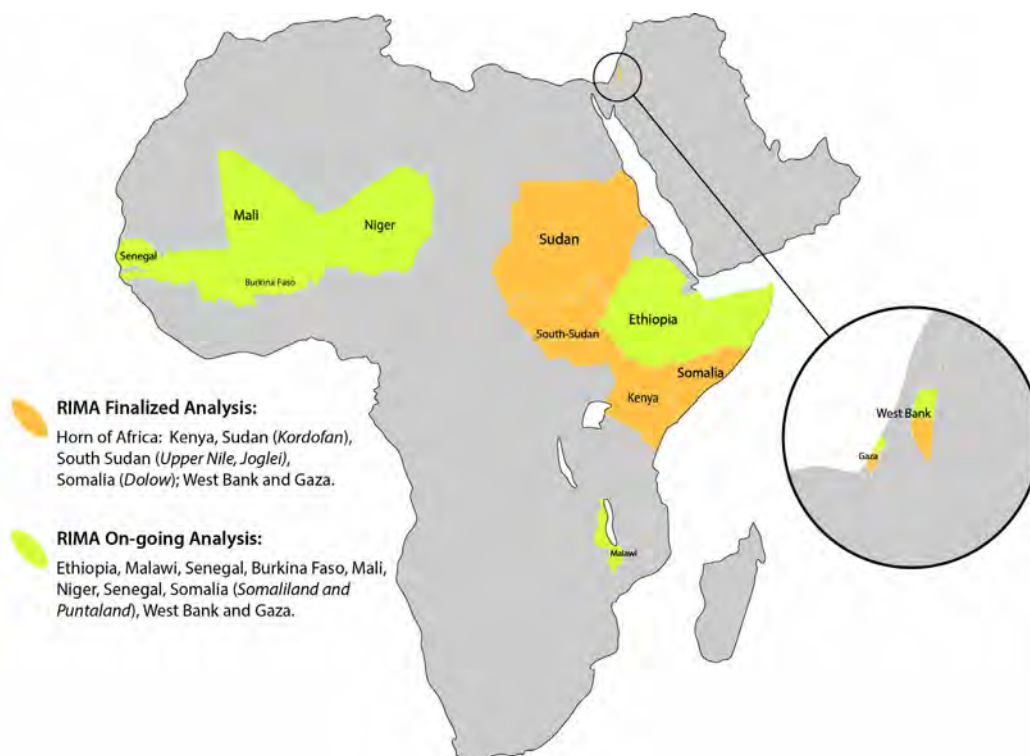
FAO has been on the front line of resilience measurement since 2008. Over the course of the last three years, FAO, in collaboration with partners, has ramped up its resilience efforts to better assist countries fighting food insecurity and malnutrition, especially in the face of crises. Results and added value of this approach include: servicing the resilience, food security information and capacity needs of countries and regions through an expanded and improved Food Security Information Network (FSIN); and promoting resilience measurement and analysis through newly established stakeholder/co-ordination platforms.

II. Objectives and Purpose

Resilience actions at country and regional levels in protracted crisis/recurrent disasters situations are supported by robust analysis. In order to promote a transformative resilience agenda the analytical work should become systematic and be mainstreamed to:

- Provide decision-makers with clear indications of where and how to intervene;
- Identify populations most in need;
- Monitor and evaluate the impact of interventions;
- Align humanitarian and development goals;
- Be anchored and owned at country level in national and local actors' realities and context; and
- Put efforts on the analysis of cost-benefits of resilience and the value for money of different types of interventions.

III. Resilience Index Measurement and Analysis (RIMA) Model Application



IV. Expected Results

- Resilience measurement tools standardised harmonised and disseminated.
- Resilience analyses and impact assessments at country and local levels undertaken.
- M&E systems established and based on adequate resilience related analytical work.
- National, regional capacities to measure and analyse resilience enhanced.

V. Areas of Work

A. Technical development through the Food Security Information Network

• Harmonisation and standardisation of methods used for resilience measurement

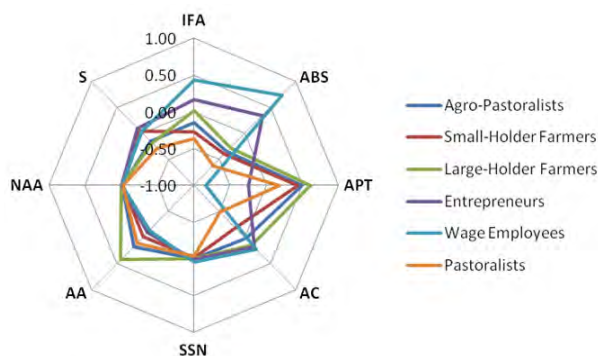
Together with WFP and IFAD, under the umbrella of the Food Security Information Network (FSIN), FAO is supporting the effort of the Resilience Measurement Technical Working Group in order to secure consensus on a common analytical framework and guidelines for food and nutrition security resilience measurement

• Improving understanding of resilience dynamics and dimensions linked to policy recommendations and reflected in intervention designs and investment prioritisation

Outcomes of analyses, lessons learned and findings from the research and impact evaluations are used to advise on resilience programming, including household, community and higher levels.

• **Collating, sharing and communicating analysis at the global level**

All results, methodologies and tools are made available to the global community including development and humanitarian practitioners and policy makers who are also targeted through global, regional and country events.



RIMA identifies and weighs the factors that make a household resilient to food insecurity and traces the stability of these factors over time, e.g. with different livelihood groupings. This provides the evidence required to more effectively design, deliver, monitor and evaluate assistance to populations in need, based on what they need most.

B. Promote resilience measurement at country and regional level

• **Boosting analysis capacities in the Horn of Africa**

Upon request of the Intergovernmental Authority on Development (IGAD) and in partnership with the United Nations Development Programme (UNDP), United Nations Children’s Fund (UNICEF) and World Food Programme (WFP), FAO established a Resilience Analysis Unit (RAU) in the Horn of Africa. Through the RAU, partners work with countries to: i) develop resilience measurement and analysis capacities; and ii) inform policy processes and resilience programming and implementation.

• **Strengthening resilience measurement in the Sahel**

Building on the successful collaboration in Horn of Africa and following specific country requests, the Comité permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel (CILSS) asked FAO to explore the possibility of putting in place a Technical Platform on Resilience measurement in the Sahel Region.

• **Analysis support to the countries**

Analysis is run through both ad-hoc surveys and existing data (depending on the availability of data). FAO places specific emphasis on improving the RIMA model and using it in combination with qualitative and quantitative methods to inform and complement each other.

VI. Challenges

1. Data availability: A common concern for a proper resilience analysis is lack of data. The RIMA and other quantitative models draw on data that is often but not always readily

Adding Value to the Resilience Agenda

A. Bringing together development and humanitarian efforts

Building resilience requires multi sector, multi-disciplinary approaches that bring together development and humanitarian efforts. Results from resilience measurement will provide a solid common ground to start to understand better what needs are in terms of humanitarian interventions that can build the future ground for development interventions.

B. Boosting knowledge and evidence

Improved understanding is needed to inform methodologies for monitoring and evaluating impact and effectiveness. Through the research agenda of the RM-TWG and information sharing through the FSIN, partners will support a better understanding of the processes that help to strengthen resilience at different levels. Through analyses in the various countries, evidence such as case studies of resilience-related improvements and approaches will be provided.

C. Global technical development of the resilience measurement agenda

The primary objectives of the FAO’s and partners activities are through the RM-TWG to secure consensus on a common analytical framework and guidelines for food and nutrition security resilience measurement, to promote adoption of agreed principles and “best” practices on data collection and analysis tools and methods, and provide critical reviews and analyses of RM methods and approaches. These may cover both diagnostic, as well as monitoring and evaluation (impact analysis), issues.

available in many countries, including the Living Standard Measurement Study (LSMS) or the Integrated Household Budget Survey (IHBS). Complementary qualitative analyses are also required.

2. Multi sector country ownership: conducting resilience analysis should be demand-driven and a consensual process facilitated by a broad interagency working group, especially government and key constituencies. It is fundamental to work closely with beneficiary government institutions to promote national collaboration and buy-in.

3. Country-level capacity constraints to conduct resilience analyses: To conduct a resilience analysis



01 November 2013 - Kassim Suleimani waters a teak tree planted at Kiroka Primary School. A FAO project to strengthen capacity of farms for climate change is underway in Kiroka, Tanzania. The project aims to improve land and water management, promote climate resilient agriculture and encourage dialogue and understanding regarding climate change adaptation practices. ©FAO/Daniel Hayduk

deep knowledge of econometrics is needed and not always available.

4. Limited resources: Resources to conduct post-analysis technical backstopping and for capacity development of agencies and governments are limited.

5. Use of the analysis for policy and programme formulation: translating complex analytical messages into clear policy messages is a difficult exercise which is currently been addressed.



05 November 2003, Narok, Kenya - A farmer woman carrying a freshly harvested crop. FAO Project: GCP/INT/725/IFA - East African Sub-Regional Pilot Project for Farmer Field Schools (FFS) in Kenya, the United Republic of Tanzania and Uganda. ©FAO/Ami Vitale

VII. Next Steps

A. Technical development through the FSIN

- Analytical framework and guidelines.
- Action oriented research in the Horn of Africa and the Sahel.
- Guidelines and other training tools.

B. Resilience measurement

- Support country level analyses Somalia (Hargeisa district), Senegal, Mali, etc.
- Consolidate to the RAU.
- Support setting up Resilience Technical Platform under CILSS - West Africa.

Links to documentation:

At regional and global level:

- <http://www.fsincop.net/about/whoweare/en/>
- <http://www.foodsec.org/web>

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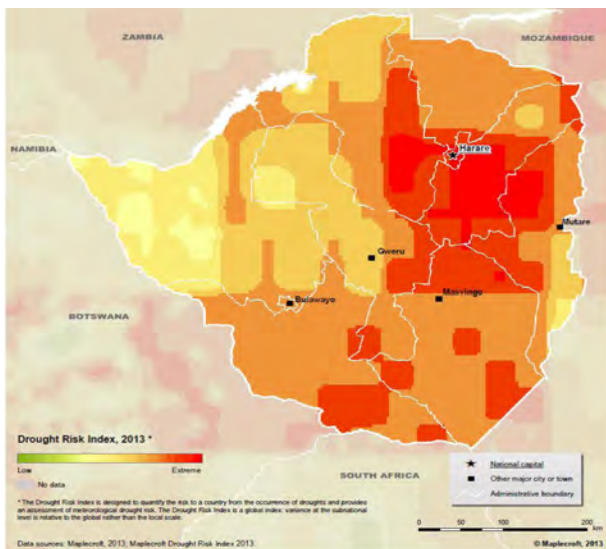
COMPENDIUM FICHE

Development of a Joint EU-DFID Resilience Strategy for Zimbabwe: addressing underlying vulnerability and chronic food insecurity

Summary: *In line with the UK's Department for International Development (DFID) and the European Union's (EU) policy on embedding resilience in country programmes, and particularly regarding EU and Member States (MS) commitment to work jointly on resilience, DFID, the EU Delegation in Zimbabwe and the European Commission for Humanitarian Aid and Civil Protection (ECHO) came together to design a joint resilience strategy for the country. With an aim to transform the current emphasis on emergency food assistance to deal with chronic food insecurity towards a resilience approach that focuses on addressing underlying vulnerability, while including preparedness and emergency response capacity aligned to longer term developmental processes.*

A draft paper has been circulated that articulates the key process and steps to a Joint Donor Disaster Resilience Strategy for Zimbabwe. The starting point is the persistent and chronic nature of food insecurity and child malnutrition experienced in Zimbabwe. This is caused by poverty and cyclical humanitarian spikes which will continue to occur but needs to be addressed through strategies which address the underlying causes of peoples' vulnerability. The key drivers are seasonal droughts exacerbated by lack of political settlement, with weak institutions and governance, limiting the prospects for economic growth, poverty reduction and graduation from aid.

The paper proposes a set of seven overarching principles donors can gather round to change the way development is carried out in Zimbabwe. These are: recognise the chronic nature of poverty and vulnerability; commit to longer term funding; undertake improved poverty analysis; better articulate the needs of the poor; identify more appropriate programming options; adopt a cash first approach and identify the best and most flexible partners to implement at scale. It then details key focus areas to build the resilience of the poorest, mainly rural, households and communities in Zimbabwe. Finally, there is a list of proposed next steps to take it forward.



Community water pump and trough rehabilitation.



I. Brief Description of the initiative

In common with most of the other countries in the southern Africa region, Zimbabwe experiences periodic prolonged dry spells/ droughts and has a background of political violence and macro-economic instability and long-term decline. While these exogenous shocks have an important impact on food security, underlying chronic poverty and vulnerability need to be addressed in order to break the

Principles of a joint DR Strategy

To start the process of developing a broader joint donor position, below are a set of seven guiding principles for taking the new strategy forward. These propose a common understanding and approach through which donors can coordinate, scale-up programming and engage with government and implementing agencies and which can complement innovations or stand-alone resilience building programmes. The principles are:

- 1) *Recognise the chronic nature of poverty and vulnerability of the poorest rural populations in Zimbabwe and the relative resilience of the communities in responding to the stresses and occasional climatic shocks (mainly prolonged dry seasons, crop failure, pest and floods);*
- 2) *Commit to longer-term funding, 3-5 years;*
- 3) *Improved and more appropriate poverty and vulnerability analysis, challenging the current food security focus using verifiable national data, information and statistical analysis. In order to deliver better understanding of the nature of vulnerability, who and where they are and when. This should be done as a joint process. Donors and external experts (one-off analysis) with UN and INGOs;*
- 4) *Better articulate the needs of the different livelihood groups. Community engagement should assess community needs and inform design and planning. Donors and external experts with UN and implementing partners;*
- 5) *Broader and more appropriate programming options, including contingencies for response and transfer modalities, and building on the risk financing/ crisis modifier approach. Test new and innovative interventions;*
- 6) *Cash first approach. Food only delivered when rigorous and independent analysis, especially around markets has been undertaken; and*
- 7) *Select best and most flexible partners to implement at scale, while managing transaction costs through consortia models.*

cycle. Generally, traditional humanitarian programming in response to spikes in food insecurity has undermined longer development programmes. The response modality to the very poorest populations is still too focused on humanitarian programming, in the form of food distributions, together with disconnected and ad hoc livelihoods protection and support.

While this discussion has taken place before in Zimbabwe, a number of factors acting together are providing an opportunity to change the narrative and programming. Firstly, the drought of 2011-13 has ended with the 2013/14 rains that are the best for 20 years. Secondly, the partial lifting of EU sanctions has meant that Zimbabwe is eligible for the European Development Fund (EDF) and the Bridging Facility this year. Thirdly, there is a growing consensus among donors and partners and communities themselves that protracted humanitarian food assistance has created a dependency that needs to be reversed for the long-term benefit of Zimbabweans.

II. Purpose

Following the EU Communication on Resilience and its Plan of Action, the EU and its Member States came together to carry out a joint mission in order to develop a common resilience strategy for the country. Importantly, preparedness and humanitarian response capacity needs to be incorporated both through flexing longer term resource transfers (crisis modifier approach), integrating DRR and risk-proofing, and stand-alone capacity. This is an early example of a joint EU-MS resilience strategy being developed, and as such will need to evolve as progress is made on the ground.

III. Expected results

The main initial result will be a resilience strategy that is bought into by key donors, Government, UN agencies and NGOs. Commissioning a detailed vulnerability assessment and response analysis is expected to pave the way to a more articulated strategy that will also include a multi-donor basket fund mechanism for financing resilience building in Zimbabwe.

IV. Challenges

- Maintaining the momentum and partnership established between DFID and the EU (DEVCO and ECHO) throughout the design process and into a joint financing mechanism.
- Getting the buy-in and eventually contribution of other donors.
- Managing Government involvement given political sensitivities.

V. Next steps and recommendations

In the field of DRM and CCA, there are a number of activities funded by the EU, in particular in the context of the Intra-ACP co-operation strategy, together with the ACP Group major donors. To avoid overlap and duplication of efforts, co-ordination with the EU and other relevant partners at country and regional levels is an integral part of the programme.



Cattle dip rehabilitation implemented as a cash for assets project by WFP.

Institutional and/or absorption capacity of national and regional authorities are in some cases limited. To ensure sustainable and long-term results, the programme focuses on building institutional and technical capacity to ensure that the supported governments have the necessary knowledge and skills to achieve their DRM and development goals.

There is growing awareness and evidence, demonstrated also by Post Disaster Needs Assessments, that the recovery phase represents a critical moment and value in reducing vulnerability. Donor funding invested in recovery and reconstruction, however, still does not adequately integrate disaster risk reduction into long-term planning and development.



ECONET outlet next to a WFP in-kind food distribution point, illustrating both the potential to deliver cash through ECONET agents and the presence of a functioning market.

VI. Next steps and recommendations

The way forward requires that donors work together to finalise a Joint Resilience Strategy. The causes and forms vulnerability takes in Zimbabwe and the potential ways to address it need to be professionally addressed. Areas for study and research need to be identified and will probably include looking at lessons

Commercial Stock-fattening business, illustrating the potential for value addition in the livestock trade in southern Zimbabwe.



learned so far from work on resilience and understanding and attacking the problems of chronic malnutrition and stunting. The form of a joint donor response should be addressed in the Joint resilience Strategy and could take the form of a Multi-Donor Trust Fund (MDTF).

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World Bank Vice President for Operations Policy and Country Services Jeffrey Gutman, UN Development Group Chair Kemal Dervis, and European Commissioner Benito Ferrero Waldner shake hands after signing the Joint Declaration: 25 September 2008.

 **COMPENDIUM FICHE**

EU/UN/WB partnership on Post-Crisis Assessments and Recovery Planning: 'Building Back Better'

Summary: *Post-Crisis Assessments and Recovery Planning, led by government and supported by the international community, can strengthen countries' resilience to crises by answering to recovery needs of vulnerable populations and strengthening the capacity of national institutions for effective prevention, response and recovery. This is the central aim of the 2008 Joint Declaration on Post-Crisis Assessments and Recovery Planning signed by the European Union, the United Nations and the World Bank. Since then, 35 post disaster needs assessments have been undertaken, and seven post conflict needs assessments undertaken or in process of being undertaken.*

I. Overview

The framework of the partnership: the Joint Declaration on Post-Crisis Assessments and Recovery Planning

In 2008, the European Union, United Nations and World Bank signed a joint declaration on Post-Crisis Assessments

and Recovery Planning. This committed their organisations to collaborate on harmonising and co-ordinating post-crisis frameworks to support post-conflict and post-disaster needs assessments and recovery planning.

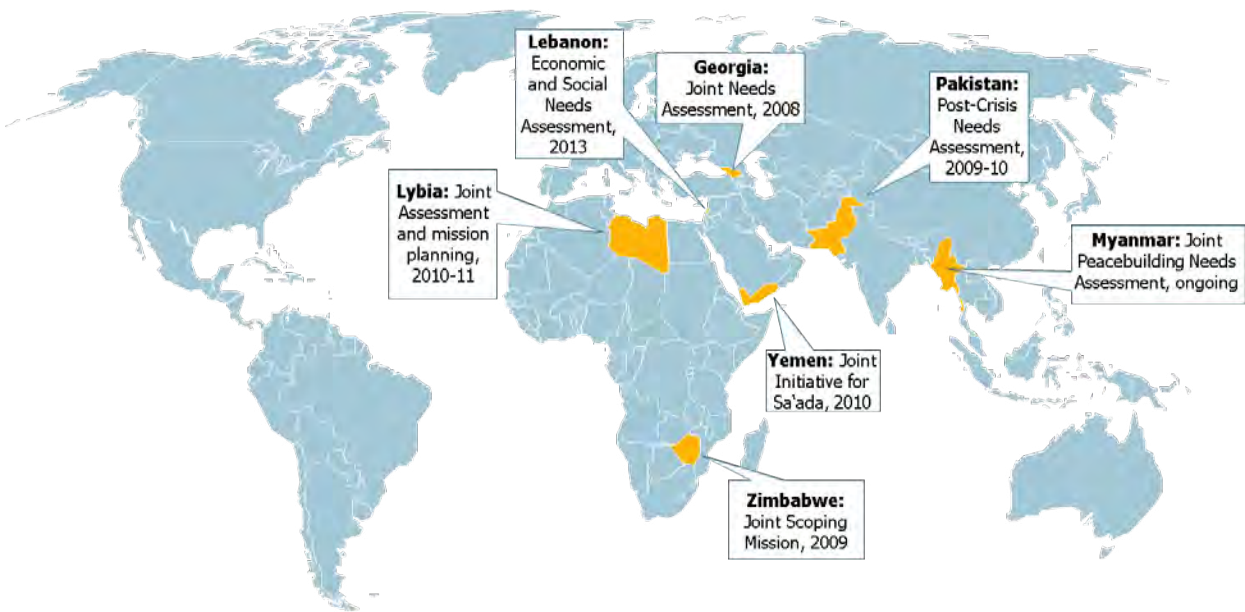
The joint declaration aimed to strengthen countries' resilience to crises by effectively responding to the recovery needs of

vulnerable populations and enhancing the capacity of national institutions to undertake effective prevention. To achieve this goal, a key step was the establishment of a common platform for partnership and action to guarantee joint strategic action in relevant areas of post-crisis support to affected countries.

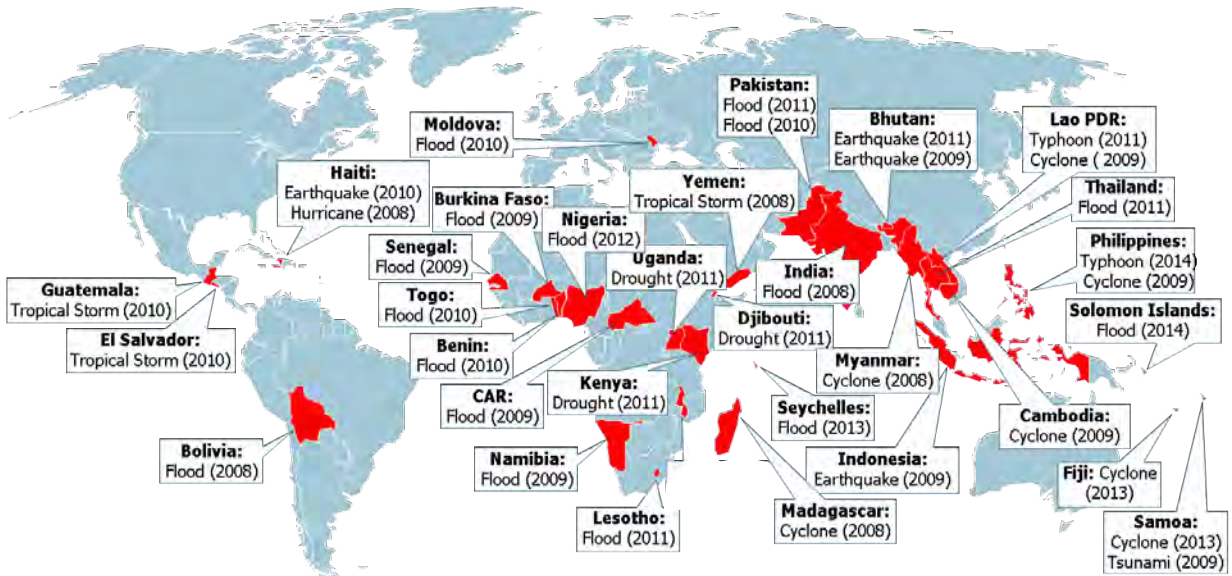
Post-Crisis Needs Assessments (PCNA) and Post-Disaster Needs Assessments (PDNA) are requested and led by government, and receive technical support where needed from the Joint Declaration partners. This support can include the Assessments after a major crisis, building capacities for future assessments, or institutionalising the methodology at country level.

The partnership in action: Post-Conflict Needs Assessments

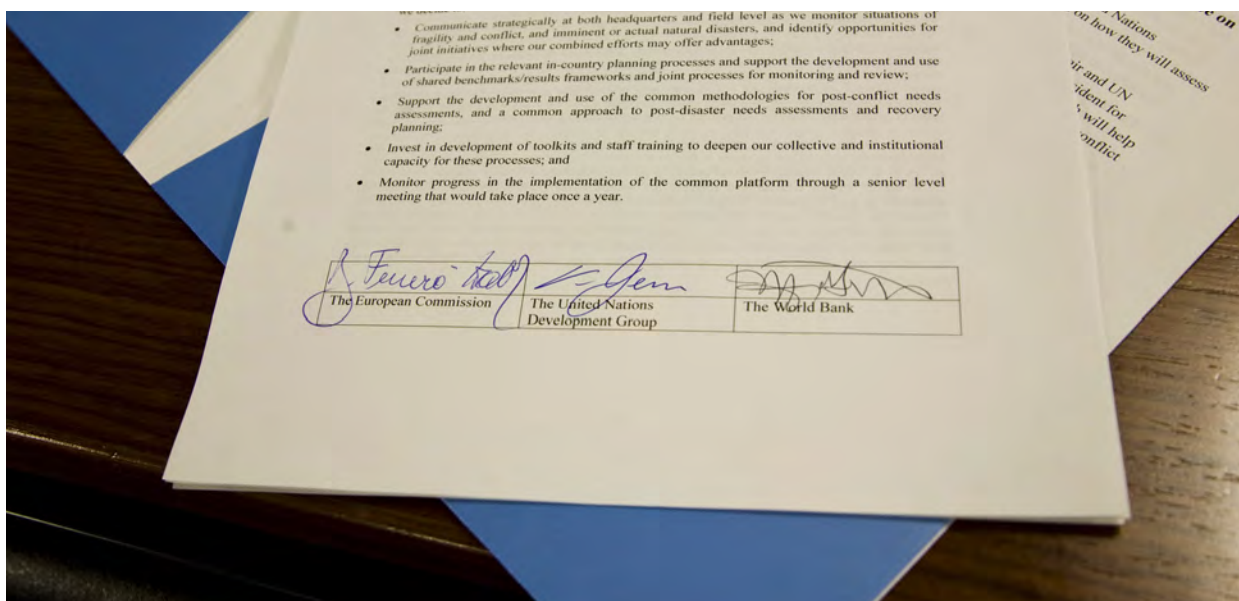
PCNA is an important instrument for peace building: both in consolidating peace and preventing a return to conflict. Priority is given to issues including security, political governance and justice. Practical examples include Reform of the Security System (SSR), Disarmament, Demobilisation, Reinsertion and Reintegration of former combatants (DDR), as well as interventions to assist social cohesion and national reconciliation, and protect the civilian population. Peace-building support means ensuring an equitable participation of



PCNAs and PDNAs undertaken since 2008



PDNAs since 2008



The 2008 Joint Declaration Agreement

all groups concerned during the needs assessment as well as in the implementation of programmes to meet those needs.

To date, PCNAs have been undertaken in a variety of country contexts, including Timor-Leste, Iraq, Liberia, Haiti, Sudan (North/South), Sudan (Darfur), Somalia, Pakistan, Georgia, Yemen, and Libya. More recently the methodology has been used in Lebanon (an economic and social impact assessment of the Syrian conflict) and is currently being developed in Myanmar (a joint peacebuilding needs assessment).

The Partnership in action: Post-Disaster Needs Assessments and the Recovery Framework

The Post-Disaster Needs Assessment (PDNA) is a mechanism for joint analysis and action; a tool to assess the impact of a disaster and define a strategy for recovery. A PDNA includes financial considerations, and highlights priorities from a human development perspective.

A PDNA is designed to facilitate a comprehensive analysis that captures the impact of the disaster on the affected areas, its people and communities. A PDNA looks ahead to restoring damaged infrastructure, livelihoods, services, governance and social systems while enhancing resilience and reducing future disaster risks. It allows the analysis of the post-disaster financial needs, and helps determine the extent to which the affected country can cope within its own capabilities, and the extent external co-operation (technical and financial) may be required from the international community. Since 2008, over 50 PDNAs have been undertaken, dealing with the effects of cyclones, droughts, earthquakes, floods, tropical storms, tsunami and typhoons.

II. Latest developments

The greater the crisis a country faces, the greater the challenge on its capacity to deal with that crisis. When the international

community engages collectively with the government in determining the needs in response to crisis, the response is better co-ordinated, and the government and communities are best served.

Based on experience since 2008, a number of initiatives are underway to strengthen the implementation of the Declaration.

2.1 PCNA and PDNA Advisory Groups

The Joint Declaration calls for annual senior-level meetings to monitor progress in post-conflict and post-disaster support to affected countries. To achieve this goal, the three partners have decided to create two Advisory Groups for post-conflict and post-disaster needs assessments respectively. These groups will bring together relevant staff and experts from the three partner organizations to share information, co-ordinate joint responses, monitor progress and address issues of common interest.

2.2 Revising the PCNA guidance

The PCNA guidance is being reviewed to ensure that the assessment is sufficiently relevant and flexible to accommodate present day needs. This requires reflecting on areas such as the changing nature of conflict related crisis, the time-frames in which PCNAs need to be planned and undertaken, the roles of key stakeholders, communications and co-ordination between Declaration partners and between national governments, and the synergies with new policies and processes.

2.3 PDNA guidance notes

The PDNA guidance notes comprise two volumes. Volume A provides a summary of the procedures required for undertaking the assessment, and Volume B includes guidelines which provide technical guidance to conduct assessments of sectors and cross cutting themes. The guidelines for Volume B are being revised to incorporate lessons learnt and to better harmonise assessment approaches.

2.4 PDNA Roll Out

The PDNA rollout project aims to increase the capacity of Government and supporting partners and stakeholders in undertaking informed and sustainable recovery processes. The project is being 'rolled out' in six regions and ten high risk countries, and responds to the growing need to both undertake PDNA and to institutionalise the methodology.

2.5 The Disaster Recovery Framework Guide (DRF)

A Disaster Recovery Framework Guide was launched in 2014 as a tool that builds on the PDNA, providing a prioritised and sequenced recovery plan. This builds on recommendations from the World Reconstruction Conference held in Geneva in 2011, and the Global Platform for Disaster Risk Reduction in 2013. The DRF Guide will provide guidance to help governments build back better, by designing and implementing disaster recovery programs that reduce vulnerability, capitalize on the strengths of various stakeholders, and incorporate strategic interventions such as building code enforcement, disaster-resistant housing, and climate change adaptation. By following the Guide, disaster recovery will be seen not as a short-term, remedial response, but an opportunity to build resilience and contribute to long-term development.

The Joint Declaration seeks to "mobilise our institutions and resources to harmonise and co-ordinate post crisis response frameworks to enhance resilience to crisis, by answering recovery needs of vulnerable populations and strengthening the capacity of national institutions for effective prevention, response and recovery".

VIII. Contribution to resilience

Resilience as an overarching concept is embedded in the Joint Declaration.

In a post-disaster context, PDNAs help to identify recovery needs from a human, socio-cultural, economic and environmental perspective. In turn, an effective recovery plan will aim to strengthen the capacity of institutions and communities to face future crisis, and to ensure where feasible that the concept of 'building back better' is incorporated into infrastructure works. In a crisis caused by conflict, a focus on addressing the causes of conflict will strengthen the peace-building process.

In both post-disaster and post-conflict assessment, individuals and communities should be more resilient to future crises. In a post-disaster setting this could mean that infrastructure is better able to withstand future shocks, or that communities have

a clearly established plan to reduce loss of life and minimise damage to property. In a post-conflict setting, the resilience of individuals and communities will be strengthened for example through more inclusive administration, through access to judicial processes, or through secure access to land for livelihood opportunities.

Links to documentation:

EU, UNDG, World Bank (2008): Joint Declaration on Post-Crisis Assessments and Recovery Planning:

<http://www.undg.org/docs/9706/EC-UNDG-WB-Joint-Declaration-signed-Sept-25-2008.pdf>

PCNA assessments, guidelines, and lessons learned:

http://www.undg.org/content/post-crisis_transition/post-conflict_needs_assessments_pcna/pcna_reviews_and_guidance

PDNA assessment methodology:

http://www.recoveryplatform.org/pdna/about_the_pdna

PDNAs undertaken since 2008:

<https://www.gfdrr.org/PDNA>

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PDNA and Recovery Framework

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