



European  
Commission



DG ECHO Thematic Policy Document n° 5

# Disaster Risk Reduction

Increasing resilience  
by reducing disaster risk  
in humanitarian action

September 2013

*Humanitarian  
Aid and Civil  
Protection*



## **DG ECHO Thematic Policy Documents**

- N°1:** Food Assistance: From Food Aid to Food Assistance
- N°2:** Water, Sanitation and Hygiene: Meeting the challenge of rapidly increasing humanitarian needs in WASH
- N°3:** Cash and Vouchers: Increasing efficiency and effectiveness across all sectors
- N°4:** Nutrition: Addressing Undernutrition in Emergencies
- N°5:** Disaster Risk Reduction: Increasing resilience by reducing disaster risk in humanitarian action
- N°6:** Gender: Different Needs, Adapted Assistance

# Table of contents

	Introduction	2
<b>1</b>	<b>Policy</b>	<b>3</b>
	1.1 Introduction	4
	1.2 Background	5
	1.3 EU policy on DRR	6
	1.4 Disaster Risk Reduction in DG ECHO humanitarian policy	8
<b>2</b>	<b>Programming DRR in humanitarian action</b>	<b>10</b>
	2.1 Introduction	10
	2.1.1 Programming: levels and phases	10
	2.1.2 Integrated and Targeted DRR	10
	2.2 Prioritisation and criteria	11
	2.3 Needs and Risk Assessment	13
	2.4 Design and Implementation	14
	2.4.1 Sustainability, replication and scaling-up	14
	2.4.2 Complementarity, Coordination and Partnerships	14
	2.4.3 Advocacy	16
	2.4.4 Capacity-building	19
	2.5 Monitoring, Evaluation and Learning	20
<b>3</b>	<b>Operational considerations</b>	<b>22</b>
	3.1 Introduction	22
	3.2 DRR and Food Assistance	23
	3.3 DRR and Health	25
	3.4 DRR and Nutrition	28
	3.5 DRR and Education	30
	3.6 DRR and Shelter	32
	3.7 DRR and WASH	34
	3.8 Protection and cross-cutting issues in DRR	36
	3.9 DRR / Disaster Preparedness Sub-Sectors	38
	3.9.1 Local Disaster Management Components	38
	3.9.2 Institutional Linkages and Advocacy	40
	3.9.3 Information, Education, Communication	40
	3.9.4 Small Scale Infrastructure and Services	41
	3.9.5 Constituting Stocks of Emergency and Relief Items	41
	3.9.6 Livelihood and Economic Assets Protection	42
	3.10 DRR in different contexts	42
	3.10.1 DRR in slow-onset hazards	42
	3.10.2 DRR in urban contexts	43
	3.10.3 DRR in complex emergencies	44
<b>4</b>	<b>Annexes</b>	<b>47</b>
	4.1 Acronyms	47
	4.2 Terminology	48
	4.3 Advocacy Guidance Table	49
	4.4 Indicators	50

# Introduction

## Box 1: Terminology

*For consistency in language, DG ECHO follows the 2009 UNISDR terminology unless otherwise indicated. A selection of key terms is given below:*

**Disaster Risk Reduction (DRR):** *The concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events.*

**Hazard:** *A dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage.*

**Risk:** *The combination of the probability of an event and its negative consequences.*

**Resilience:** *The ability of a system, community or society exposed to a hazard to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions.*

**Preparedness:** *The knowledge and capacities developed by governments, professional response and recovery organisations, communities and individuals to effectively anticipate, respond to, and recover from, the impacts of likely, imminent or current hazard events or conditions.*

**Mitigation:** *The lessening or limitation of the adverse impacts of hazards and related disasters.*

**Prevention:** *The outright avoidance of adverse impacts of hazards and related disasters.*

The purpose of this document is to present DG ECHO's current policy, priorities, approach and practice on DRR. It does not seek to provide detailed technical guidance on DRR; such guidance can be found in the growing body of literature available on the subject.

The document is aimed at a number of audiences, including:

- Staff in DG ECHO and other EC services;
- Staff in its implementing partners, and
- Other stakeholders interested in understanding the focus and scope of DG ECHO's support in the area of DRR.

As presented in this document, DRR applies to all disaster contexts, including those in conflict.

The document is divided into three sections, with additional resources and tools provided in an Annex.

- The first section presents the policy framework guiding DG ECHO's support for DRR in all its interventions.
- The second section explains how DG ECHO programmes its support for DRR, following the main elements of the programme cycle: assessment, analysis, design, implementation, monitoring, evaluation and learning.
- The third section provides operational considerations for those most directly involved in DG ECHO funding for the implementation of DRR.

Where possible this document uses the definitions and terminology given by the United Nations International Strategy for Disaster Reduction (UNISDR).

# 1. Policy

In its work on DRR, DG ECHO applies the following guiding principles:

## **Guiding Principles for DG ECHO DRR actions:**

### **1. DRR is a key part of the Humanitarian Imperative**

DG ECHO supports DRR as an integral part of humanitarian action aimed at preserving life, preventing and alleviating suffering, maintaining dignity and strengthening resilience in countries and communities affected by disaster. Its support for DRR is evidence of its commitment to the principles of good donor-ship and is a key expression of the EU's solidarity with those at risk.

### **2. With a focus on natural hazards, DG ECHO adopts a multi-hazard approach**

In its DRR efforts, DG ECHO primarily seeks to strengthen resilience to shocks triggered by a natural hazard. It applies a comprehensive multi-hazard approach and advocates more widely to this effect. Climate change adaptation is supported through the DRR approach.

### **3. DG ECHO promotes a people-centred approach to DRR**

DG ECHO recognises that the people most at risk are central to all DRR activities. Special attention is given to promoting gender equity and the full participation of vulnerable groups including boys and girls, older people, people with disabilities, and other marginalised groups. In adopting this approach, DG ECHO recognises the need to engage with stakeholders, as actors of change, at all levels, international, national and local.

### **4. DG ECHO requires programmes to be risk-informed**

DG ECHO requires that all humanitarian action it supports is designed based on an assessment of risk, and is implemented to reduce risk.

### **5. DG ECHO seeks complementarity and partnership in its DRR action**

DG ECHO engages pro-actively with other services of the Commission, Member States, partners and donors to coordinate commitments to strengthening DRR and its contribution to resilience. In particular, DG ECHO recognises the strong link between relief, recovery and development.

## 1.1 Introduction

DG ECHO's policy on Disaster Risk Reduction aims to:

“Millions of people are regularly affected by hazards such as droughts, floods, volcanic activity, landslides, cyclones, earthquakes, tsunamis, and wild fires.”

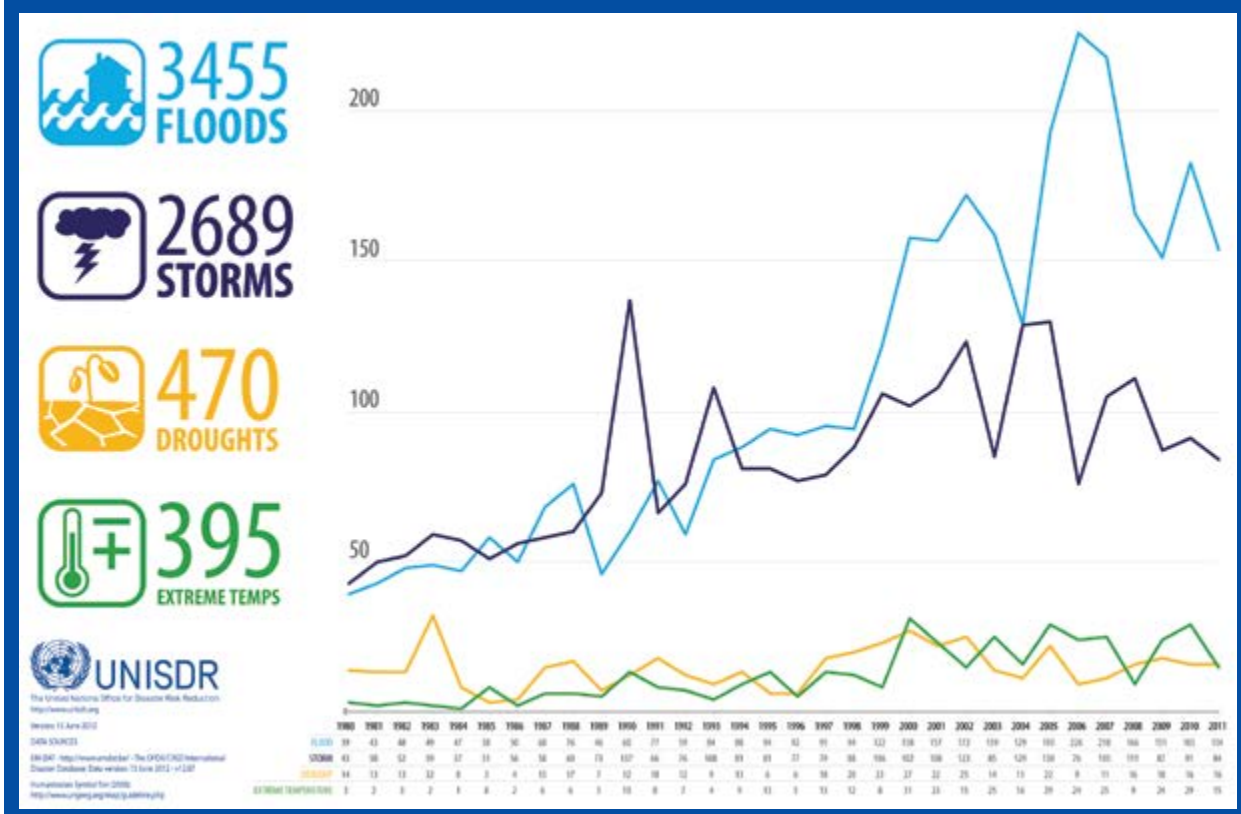
- Maximise the effectiveness, efficiency and relevance of DG ECHO-funded DRR actions;
- Strengthen DG ECHO's preparedness to respond rapidly to unfolding humanitarian crises;
- Increase the coherence of DG ECHO's decision-making;
- Enhance coherence with other DG ECHO policies;
- Inform partners and other relevant stakeholders about DG ECHO's policy on DRR.

The section provides guidance to a number of target audiences, including:

- DG ECHO staff;
- DG ECHO partners (the Non-Governmental Organisations, Red Cross/Crescent Movement, United Nations agencies, and other International Organisations);
- Other European Commission (EC) Departments (DGs) and Services;
- European Union Member States.

The wider donor community and other stakeholders interested in DRR will also find this of relevance.

FIGURE 1: INCREASE IN REPORTED NUMBER OF CLIMATE-RELATED EVENTS (1980-2011)



## 1.2 Background

Millions of people are regularly affected by hazards such as droughts, floods, volcanic activity, landslides, cyclones, earthquakes, tsunamis, and wild fires. The reported number of such hazardous events is increasing, as illustrated in Figure 1 above. The impact of these hazards is made worse by poverty, increasing population densities, rapid and uncontrolled urbanisation, environmental degradation and climate change.

As has been comprehensively demonstrated, the good news is that the impact of these hazards on lives and assets, and the associated need for humanitarian response, can be greatly reduced by modest investments in good DRR.

Over the years, DG ECHO has made substantive and pioneering efforts in DRR, particularly with the flagship DIPECHO (Disaster Preparedness ECHO) programme. DG ECHO's investment in DRR has increased significantly in the last decade, in funding and related activities. From an initial focus on piloting and replicating a community-based disaster risk management approach, DG ECHO has developed a more comprehensive people-centred approach, including engaging with institutions at all levels.

In its support for DRR, DG ECHO has been guided by the broad principles set out in the European Union's Humanitarian Regulation and subsequent Communications on disaster reduction. DG ECHO has recognised the need to develop a clear and specific policy, informed by an objective analysis of data and complemented by practical programming and operational guidance.

Strengthening resilience is critical for successful humanitarian and development policies. This new Communication, which draws lessons from the experience of responding to recent food crises, outlines a wide range of measures with which the European Union will help vulnerable populations reduce the impact of future crises and disasters.

This will require close cooperation between humanitarian and development workers, as well as the linking of emergency and development programmes, and a mix of short-term and medium-to-long term responses.

There is a strong link between Disaster Risk Reduction and the broad concept of Resilience. 'Building Resilience of Nations and Communities to Disasters' is at the heart of the UNISDR-led Hyogo Framework for Action (2005-2015), and will be central to discussions and commitments within the post-2015 framework for Disaster Risk Reduction.

DG ECHO has been playing an important role in supporting the priorities, implementing the guiding principles and providing practical means for achieving resilience within the scope of its humanitarian mandate as set by the Humanitarian Aid Regulation.

*“If we want our assistance to be effective and cost-efficient, we must not just put a bandage on the wound – we must help find a cure. This requires a shared vision from the humanitarian and the development communities and a joint commitment to act.”*

Commissioner Kristalina Georgieva –  
Press Release 'EU puts resilience at the heart of its work on fighting hunger and poverty' (October 2012)

The approach to DRR has focused on supporting strategies that enable local communities and institutions to prepare for, mitigate and respond adequately to disasters triggered by a natural hazard. This approach, implemented through a wide range of partners (UN, International Red Cross and Red Crescent Movement, NGOs and others), has demonstrable impact on saving lives and reducing suffering.

### 1.3 EU policy on DRR

The EU's commitment to Disaster Risk Reduction can be found in two key policy documents: the *European Consensus on Development (2005)*<sup>1</sup> and the *Consensus on Humanitarian Aid (2007)*<sup>2</sup>.

The Commission has developed a comprehensive and integrated approach on disaster risk reduction, both within the EU and in developing countries.

On 23 February 2009, the Commission adopted the Communication “*EU Strategy for Supporting Disaster Risk Reduction in Developing Countries*”<sup>3</sup>, alongside the Communication on a “*Community Approach on the Prevention of Natural and Man-Made Disasters*” addressing disaster risk within the EU<sup>4</sup>. This was later complemented by the *Communication on Resilience of October 2012* (see Box 2 below).

The EU Strategy supports disaster risk reduction through development cooperation and through humanitarian aid. It promotes an integrated approach to disaster management with prevention, mitigation and preparedness as equal priorities to response. In developing countries, the EU supports the following strategic objectives<sup>5</sup>:

- Integrating DRR considerations into their development policies and plans;
- Reducing disaster risk more effectively, through targeted action on disaster prevention, mitigation and preparedness;
- Incorporating DRR considerations more effectively into EU development and humanitarian aid policies.

“Local response to crisis and disaster risk reduction, including disaster preparedness and recovery, are essential to saving lives and enabling communities to increase their resilience to emergencies. Capacity building activities to prevent and mitigate the impact of disasters and to enhance humanitarian response are also part of EU humanitarian aid.”

“The EU is committed to promoting disaster risk reduction and disaster preparedness in developing countries through coherent and coordinated action at local, national and regional level.”

*European Consensus on Humanitarian Aid*  
– paragraph 9 & 75

1 - See paragraphs 22 and 51 of the *European Consensus on Development (2005)*.

2 - See paragraphs 9, 75, 76 and 90 of the *European Consensus on Humanitarian Aid (2007)*.

3 - European Commission, *Communication on EU Strategy for Supporting Disaster Risk Reduction in Developing Countries*, COM (2009)84.

4 - European Commission, *Communication on a Community Approach on the Prevention of Natural and Man-Made Disasters*, COM (2009)82. Council Conclusions were adopted on 30 November 2009.

5 - European Commission, *Communication on EU Strategy for Supporting Disaster Risk Reduction in Developing Countries*, COM (2009)84.



## Box 2: The EU approach to Resilience

See Communication from the Commission to the EU Parliament and the Council COM (2012)586 final.

For EU External Action, resilience is the ability of an individual, a household, a community, a country or a region to withstand, to adapt to, and to quickly recover from stresses and shocks.

The EU seeks a common humanitarian aid and development resilience strategy fostering an effective and inclusive approach, maximizing comparative advantages, strengthening capacity building in the long-term engagement, in line with country-owned and country-led resilience agenda, using flexible financing, enhancing risk assessments and financing, and developing innovative financing mechanisms.

Guiding principles set in the Resilience Communication:

**1 Resilience can only be built bottom-up.** The starting point for the EU approach to resilience therefore is a firm recognition of the leading role of partner countries. The EU will align its support with the partner's policies and priorities, in accordance with established Aid Effectiveness principles.

**2 Action to strengthen resilience needs to be based on sound methodologies for risk and vulnerability assessments.** Such assessments should serve as the basis for elaborating national resilience strategies, as well as for designing specific projects and programmes. The EU will support the development of national resilience strategies as part of wider development strategies. The EU will engage with partner countries and key international actors to improve the methodologies for developing the assessments underlying such strategies. In order to ensure effectiveness, the EU will moreover put in place a framework for measuring the impact and results of its support for resilience.

**3 In countries facing recurrent crises, increasing resilience will be a central aim of EU external assistance.** EU-funded programmes will be based on a common operational assessment prepared by humanitarian and development actors, covering medium to long-term interventions. They will focus on addressing the underlying causes of crises, notably through support for prevention and preparedness activities. It will work closely with partner countries to establish capacities to elaborate and implement strategies and Disaster Reduction Management plans at national and regional level.

**4 The Commission will systematically include resilience as an element in its Humanitarian Implementation Plans.** The Commission will moreover strive for joint programming of the resilience-related actions in its humanitarian and development assistance so as to ensure maximum complementarity, and to

ensure that short-term actions lay the groundwork for medium and long-term interventions.

**5 Flexibility will be key to responding to the needs of disaster-affected countries.** The Commission will continue to ensure maximum flexibility in implementing its humanitarian programmes. For development funding, in times of unforeseen crises and major disasters, the Commission will seek maximum flexibility in mobilising non-programmed funds. Additionally, the Commission will introduce flexibility into the programme design to allow quick and timely action. The EU will consider the use of Trust Funds to intervene in emergency or post-emergency situations.

**6 When working to improve resilience in fragile or conflict-affected states, the EU will pursue an approach that also addresses security aspects and their impact on the vulnerability of populations.** This will include an active political dialogue with partner countries and organisations in the region concerned.

**7 The EU will seek to replicate existing initiatives such as SHARE and AGIR, as well as successful projects on Disaster Risk Reduction (DRR).** It will share and exchange lessons with its partners in order to multiply and scale up successful approaches -with the objective of incorporating them in national resilience strategies. The Commission will review regularly progress made on the resilience agenda, looking in particular at programming, methodologies and results.

**8 The EU will promote innovative approaches to risk management.** Working with the insurance and re-insurance industries is a particularly promising way forward. The Commission will bring forward a Green Paper in early 2013 on the role of insurance in disaster management.

**9 For countries facing recurrent crises, the EU will work with host governments, other donors, regional and international organisations and other stakeholders to create platforms at country level for ensuring timely exchange of information and coordination of short, medium and long term humanitarian and development actions to strengthen resilience.**

**10 The EU will promote resilience in international fora** including the G8, G20, the Committee on World Food Security (CFS), the Rio Conventions, the process for revision of the Millennium Development Goals, the development of Sustainable Development Goals and discussions on the follow-up to the Hyogo Framework for Action of 2005-2015. Resilience will feature as a key theme in its partnerships with organisations such as FAO, IFAD and WFP, as well as UNISDR, the World Bank, and civil society organisations.

In practical terms, the EU Strategy:

- Defines responsibilities amongst Commission Services and Member States;
- Positions the EU strategy towards the Hyogo Framework for Action (2005-2015) “*Building the Resilience of Nations and Communities to Disasters*”<sup>6 and 7</sup>, and
- Advocates for more effective cooperation between the humanitarian and development actors within the EU.

All developing countries are covered by the Strategy, with special attention paid to disaster-prone regions and to least developed and highly vulnerable countries and groups. The disasters targeted are those caused by natural and technological hazards. Consideration is given to both slow and rapid-onset disasters; to large-scale as well as localised but frequently occurring disasters.

In addition, the EU fully supports the commitments made at the Busan High Level Forum on Aid Effectiveness (2011), which recognises the importance of partnering to strengthen resilience and reduce vulnerability among people and societies at risk of shocks. The outcome document<sup>8</sup> re-affirms that “investing in resilience and risk reduction increases the value and sustainability of (...) development efforts”, therefore the effectiveness of aid. Two additional points are emphasised:

- *“Developing countries will lead in integrating resilience to shocks and measures for disaster management within their own policies and strategies.*
- *Responding to the needs articulated by developing countries, we will work together to invest in shock resistant infrastructure and social protection systems for at-risk communities. In addition, we will increase the resources, planning and skills for disaster management at the national and regional levels.”*

## 1.4 Disaster Risk Reduction in DG ECHO humanitarian policy

The Council Regulation No 1257/96 of 20 June 1996 provided the basis for DG ECHO’s mandate in Disaster Risk Reduction. In Article 1, it states that humanitarian “*aid shall also comprise operations to prepare for risks or prevent disasters or comparable exceptional circumstances*”.

The main objectives of DG ECHO’s engagement in DRR are to:

- Reduce the number of lives lost to disasters triggered by natural hazards;
- Save and protect livelihoods and economic assets;
- Contribute to a reduction in the need for relief assistance;
- Encourage replication and scaling-up of DRR measures by development actors;
- Promote the systematic inclusion of DRR at all levels by development donors, governments and other relevant stakeholders.

The European Consensus on Humanitarian Aid (2007) supports the principles of ‘Do No Harm’ and ‘Build Back Better’. ‘Do No Harm’ is a minimum requirement for

<sup>6</sup> - [Hyogo Framework for Action](#).

<sup>7</sup> - *The European Consensus on Humanitarian Aid (2007) states in paragraph 75 “[...] the EU will promote international efforts within the Hyogo Framework for Action as well as support for the coordinating role of the International Strategy for Disaster Reduction, to increase coping capacities at all levels through strategic planning and action”.*

<sup>8</sup> - See [OECD website](#).

humanitarian action and seeks to ensure such action does not have unintended negative consequences. 'Build Back Better' requires an analysis of risk and the application of effective DRR measures.

A key feature of DG ECHO's DRR action over the past 15 years has been the ability to reach vulnerable populations at community level, while at the same time looking at gaps at regional or national levels and addressing those when necessary. This is recognised as a major contribution to the current approach to disaster risk reduction.

In 2010, DG ECHO brought together Civil Protection and Humanitarian Aid. This is intended to improve coordination and response inside and outside the EU. As the Civil Protection mandate covers distinct aspects of risk reduction<sup>9</sup> and preparedness<sup>10</sup> there is potential for synergy in actions outside the EU, particularly in DRR.

### Box 3: DG ECHO & Climate Change Adaptation

*DG ECHO will use DRR as its main approach contributing to developing adaptive capacities. Partners will be required to ensure their DRR efforts take into account the current, and likely future, effects and impacts of climate change.*

*The IPCC defines Climate Change Adaptation as "Adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities. Various types of adaptation can be distinguished, including anticipatory and reactive adaptation, private and public adaptation, and autonomous and planned adaptation" (IPCC TAR, 2001 a).*

*The 2012 Special Report of the IPCC on Managing the Risk of Extreme Events and Disasters confirms that most of the measures currently applied to manage current and future risks also have benefits in managing climate change. It refers to DRR measures as being "low-regret" measures, meaning that they are a good investment in their own right and make sense under a range of future climate scenarios.*

<sup>9</sup> - Including creating an inventory of information on disasters, sharing best practice, developing guidelines on risk assessment and hazard mapping, encouraging research activities, developing training policies, etc.

<sup>10</sup> - Including modules, training programmes, exercises, exchange of experts and cooperation projects.

# 2. Programming DRR in humanitarian action

## 2.1 Introduction

### 2.1.1 Programming: levels and phases

In programming its work, DG-ECHO adopts a medium to long-term vision and considers a wide variety of issues. It takes account of the programming and planning cycles of key partners, such as the Commission's Development Cooperation. DRR is to be considered at all significant points in this planning and programming.

It will be considered at all levels, global, regional, country and action. Strategic programming and planning is conducted using both top-down and bottom-up approaches involving all levels, and is presented in the DG ECHO's annual operational strategy. Civil Protection actions are covered by a separate annual work programme.

“*DRR is to be considered at all significant points in this planning and programming.*”

Operational information is provided through Humanitarian Implementation Plans (HIPs) drafted for each country or crisis, that may be complemented by operational recommendations or guidance. The HIP is the reference tool for humanitarian actions covered by the worldwide decision. These should increasingly be used to promote, in

each relevant context, the integration of DRR in the humanitarian action supported.

DRR is to be considered at all phases in the planning cycle, including:

- Assessment and Analysis
- Design
- Implementation
- Monitoring and Evaluation
- Learning

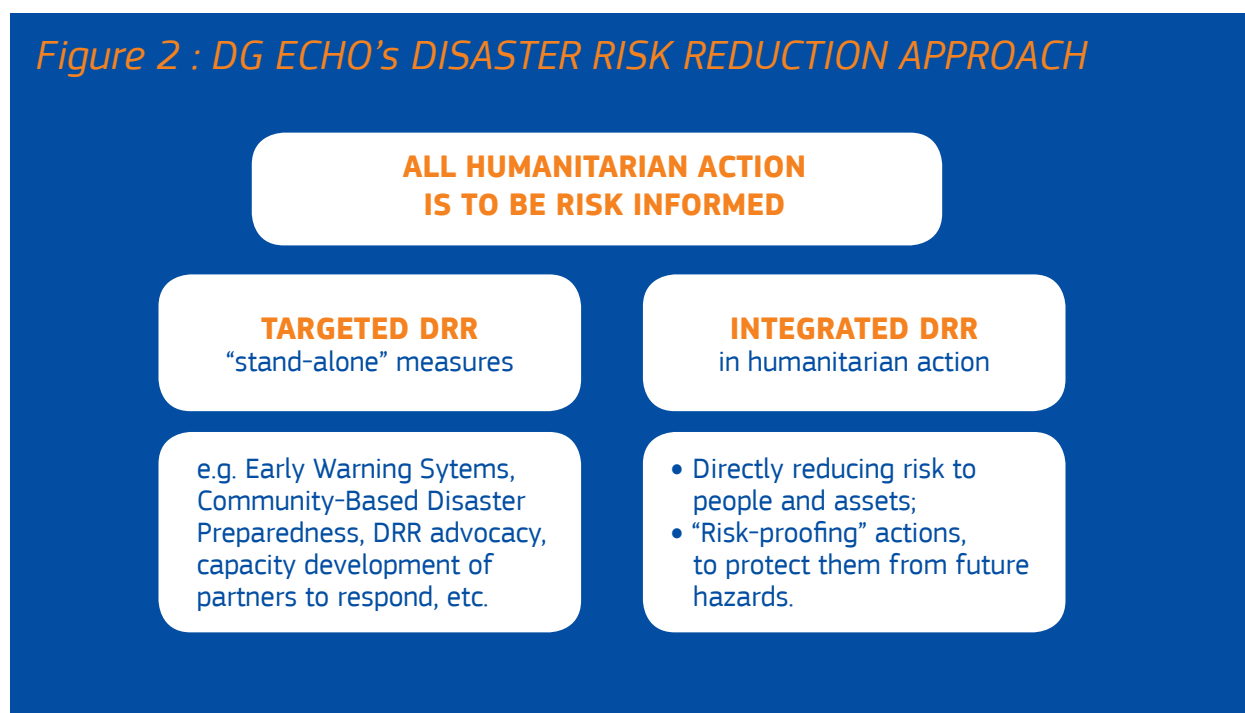
### 2.1.2 Integrated and Targeted DRR

DG ECHO supports DRR in two main areas: integrated and targeted DRR.

**Integrated DRR** means that all interventions are to be risk-informed. Analysis and design should be based on a sound assessment of risk and the intervention should seek to reduce immediate and future risks. It can involve “risk-proofing” of interventions to protect them against future hazards (e.g. ensuring water points are located above high water levels in flood-prone areas so they are not damaged by floods) or ensuring that interventions reduce risk to people (e.g. incorporating adequate fire-protection in shelter). DRR results/activities may be included in a sector response, for example, through the inclusion of a surveillance system in an epidemics response project.

**Targeted DRR** refers to specific disaster risk reduction actions. Typical examples are actions promoting community-level preparedness or advocating for the institutionalisation of DRR in policies, strategies and plans. DG ECHO has several funding instruments supporting targeted measures, including the DIPECHO and Drought Risk Reduction Action Plans, and to a certain extent the Enhanced Response Capacity Funding. In addition, Ad-Hoc funding may be provided to specific actions as part of an emergency response.

The following diagram (Figure 2) illustrates the forms of DG ECHO support in DRR:



## 2.2 Prioritisation and criteria

To optimise its use of available resources, DG ECHO has to make choices about what and what not to support, which requires prioritisation. Prioritisation will be carried in a transparent and systematic manner against clear and agreed criteria and will involve a dialogue with stakeholders at all levels.

General criteria for any humanitarian intervention include:

- A sound assessment of needs and risk;
- The likely impact of the intervention on both immediate and future risks;
- The partner’s institutional commitment to and operational capability in managing risk, including having the requisite technical competence in the relevant sectors of intervention.

For integrated DRR, prioritisation of risk reduction measures will be aligned with the priorities of the humanitarian intervention. Similarly, the priorities of the intervention will be informed by the risk analysis.

For targeted DRR, prioritisation takes place at a strategic, programme and project level using, as relevant, the following criteria:

## Case Study 1: Participatory prioritisation, Central America

Since 2004, DG ECHO, its partners and the National Systems in charge of Disaster Risk Reduction of Central America have made efforts to identify and prioritize the most-at-risks areas for urgent action.

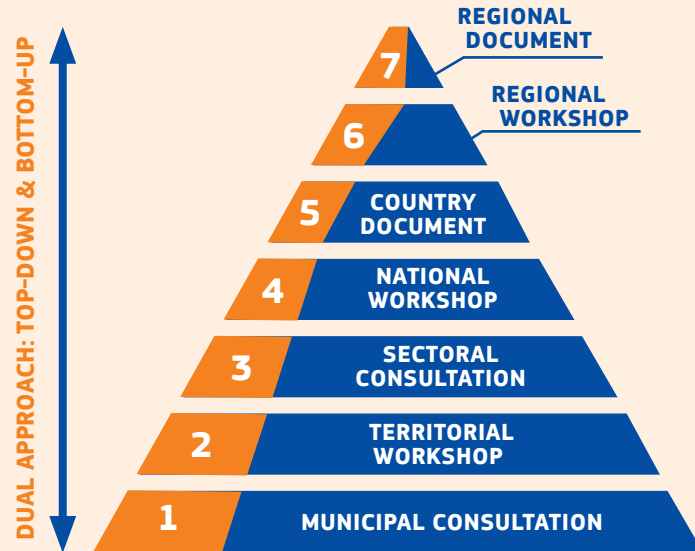
These efforts have led to the organisation of a participatory consultation process at various levels led by the National Systems. This allows stakeholders to define the DRR priorities and coordinate efforts based on a comprehensive analysis of risk, including hazards, vulnerabilities and, more recently, on capacities.

The consultative process starts from the municipal level, using an 'Indicators Matrix', an instrument agreed by Central American countries to measure the Response and Preparedness capacities at the local level. In 2011, this was applied in 250 of the most-at-risks municipalities of the region by the National Systems and partners. The information collected provides a picture of existing capacities in the country and the most urgent needs on specific areas of DRR.

The consultative process is then applied to other levels, such as the departmental, sectoral and national levels, culminating with a regional exercise. The main products of this process are the country and regional documents that are the basis for DG ECHO strategy, but they are also useful for others as the products are currently used by all stakeholders in the region.

A key point is that this participative process has been judged as much or even more important than the product. The process fosters opportunities for each level to understand where the major challenges and priorities in DRR are and how to address them in a unique and integrated manner.

### Diagram illustrating the 7 steps



- A global assessment of needs and risk;
- The level of risk to people's lives and livelihoods;
- The capacity and commitment of the main actors, including regional and local organisations, institutions and governments;
- The organisational capacity of DG ECHO and its operational partners;
- DG ECHO's added-value;
- The likelihood that bottom-up approaches at community or local level will complement and be supported by top-down approaches from national or regional level.
- The intervention is, or very likely to be, part of a programmatic approach, with a clear exit strategy;
- In certain circumstances, DG ECHO may provide support to help maintain its own presence in high-risk areas that are not currently engaged in disaster response.

For previously funded programmes or projects, decisions to continue funding will be taken on a similar basis as for new interventions, using the above criteria. In addition, when deciding to continue or exit, DG ECHO will consider progress towards the overall goal of resilient communities, using the following criteria:

- Progress is good and is likely to be maintained without its further support;
- Progress is poor with little prospect of progress in the near future;
- The amount of funding available.

## 2.3 Needs and Risk Assessment

DG ECHO requires that all humanitarian interventions it supports be based on a sound assessment of needs<sup>11</sup>. The assessment of need will include an assessment of risk, defined by UNISDR as the combination of the probability of an event and its negative consequences. The level of risk is related to:

- the hazard: probability, frequency, intensity, warning and likely impact, and
- the vulnerabilities and capacities of the affected people and communities.

The risk assessment<sup>12</sup> should contribute to an understanding of:

- the range, impact and relative importance of all the major hazards affecting the population;
- how the community prioritises the risks it faces;
- the groups most likely to be severely affected and why.

<sup>11</sup> - Where a rapid response is urgently needed, DG ECHO accepts that this assessment may be rapid and rudimentary.

<sup>12</sup> - Please refer to the Commission Staff Working Paper on Risk Assessment and Mapping Guidelines for Disaster Management, SEC (2010) 1626 final. The main purpose of this paper is to improve coherence and consistency among the risk assessments undertaken in the Member States at national level. The guidance and recommendations are relevant beyond the borders of the EU.



© Gobierno Autónomo Municipal de la Paz

© OXFAM/FUNDEPCO



### Box 4: Fragile States

*“It is essential for international actors to understand the specific context in each country, and develop a shared view of the strategic response that is required.*

*It is particularly important to recognise the different constraints of capacity, political will and legitimacy, and the differences between: (i) post-conflict/crisis or political transition situations; (ii) deteriorating governance environments, (iii) gradual improvement, and; (iv) prolonged crisis or impasse.*

*Sound political analysis is needed to adapt international responses to country and regional context, beyond quantitative indicators of conflict, governance or institutional strength.*

*International actors should mix and sequence their aid instruments according to context, and avoid blue-print approaches.”*

*Fragile States Principles (2007) - Principle 1*

### Case Study 2: Risk-informed response saved hundreds of lives, Bolivia

La Paz is a city of 1.6 million inhabitants where more than 70% of houses are erected in areas exposed to recurrent floods and landslides, which are major hazards for large numbers of people. To help in responding to these hazards in a timely fashion, the municipality, with the support of Oxfam Great Britain, initiated a project to develop risk maps and a geodynamic hazard monitoring system.

At the end of 2010, this risk monitoring made it possible to detect in advance the imminence of large-scale landslide in one of the most vulnerable zones of the city. In view of this, Oxfam GB secured emergency funding from DG ECHO, under the Small Scale Response Mechanism. In February 2011, a rapid emergency operation was carried out involving the immediate evacuation of at risk families to temporary shelters. The emergency shelters provided were wooden huts, toilets and communal kitchens. After use they could be dismantled and stored for future emergencies.

Just a few days after the evacuation, a mega landslide swept away a whole neighbourhood and destroyed the houses of more than 5,000 people. However no victims were reported, as when the event happened families were already relocated to the temporary shelters built by Oxfam in safe areas. With DIPECHO funding, the monitoring system was then fully established.

This is an example of how emergency operations can be more effective, timely and pertinent when they are based on a solid risk assessment. Risk-informed programming can greatly reduce the suffering caused by disasters and the need for future humanitarian response.

The assessment needs to acknowledge that groups may have different levels and perceptions of risk. A participatory approach to risk analysis, involving different stakeholders, can give useful perspectives on who is at risk and how specific risks can be reduced.

Whilst acknowledging the value of risk-perception, due consideration must be given to relevant scientific evidence. This includes changing patterns of risk associated with factors such as climate change, urbanisation, demographic pressure and environmental degradation.

*“ In the design of interventions, consideration should be given to how planned humanitarian actions can be protected from future risks (disaster ‘proofing’) and to how such interventions can contribute to reducing future risks (necessary to Build Back Better). ”*

With a view to strengthen the capacities of planners and responders in assessing physical damage in the aftermath of disasters, DG ECHO recognises the importance of global/regional/national/local databases.

For rapid onset emergencies, DG ECHO recognises that decisions will have to be made quickly and on the basis of a rapid assessment of need and risk. This rapid initial assessment will be followed up by a more detailed assessment when time and resources permit.

In the design of interventions, consideration should be given to how planned humanitarian actions can be protected from future risks (disaster ‘proofing’) and to how such interventions can contribute to reducing future risks (necessary to Build Back Better).

## 2.4 Design and Implementation

The following section gives a brief overview of selected key elements to be considered in design and implementation.

### 2.4.1 Sustainability, replication and scaling-up

As a pre-condition for project approval, DG ECHO will require that potential partners explicitly address sustainability, replicability and scaling-up of DRR actions within a reasonable timeline. This will involve a clearly defined approach to phase-out or handover either to the target group, the appropriate authorities, or to an appropriate longer-term funding instrument.

DG ECHO will also require that partners have strong and demonstrated capacities in community-based approaches, in advocacy with relevant institutions and that they plan to integrate the proposed action into longer-term DRR programming.

### 2.4.2 Complementarity, Coordination and Partnerships

To prevent gaps in assistance, avoid duplication, ensure continuity and maximise sustainability, DG ECHO will ensure, as far as possible, that current and future DRR needs are addressed in an integrated manner. To do this it will coordinate with other international donors and national actors involved in DRR.



## Box 5: Learning from the DIPECHO programme

A recent review of past evaluations and studies of the DIPECHO (Disaster Preparedness ECHO) programme has highlighted some key findings and factors to be considered for future programming.

The DIPECHO programme has established an exceptional reputation in several countries and international DRR forums. Over the course of its evolution, many initiatives have proved to be effective in limiting damage and saving lives at community level. There is clear evidence in evaluations and studies that DIPECHO projects have had a positive impact on communities: evacuation sites have provided safe shelter during hurricanes, cyclone resistant housing have protected populations, early warning systems have triggered evacuations, trained intervention teams have provide rapid relief, etc.

DIPECHO projects have had an impact beyond project locations. There are numerous examples of activities being continued, replicated and scaled-up. They have proven an invaluable source of experience in disaster preparedness and DRR for many NGOs and government agencies.

The programme took a lead promoting community-based disaster risk reduction at a time when few donors were engaged in this emerging area, and since has helped to mobilise donors. It continues to make a large contribution to developing more effective methodologies and approaches, increasing awareness of the benefits of CBDRR and contributing to more wide-spread implementation.

Many of these successes are the result of a systematic approach based on the principles of demonstration, sustainability and replication. The programme has been at the forefront of creating “multi-stakeholder

communities of practice” in all regions.

Notwithstanding these successes, there is scope to amplify results. Most evaluations indicate that in instances where there have been positive local results, impact beyond the commune and village level has yet to be achieved and will only happen when pilot initiatives have been replicated elsewhere.

A vital component needed to persuade others (to replicate), is for all DIPECHO funding decisions to collate and present evidence that a methodology or approach works. The way the impacts of DIPECHO projects and systems are recorded should be improved. More quantitative portrayals of costs and benefits are required.

Some DIPECHO projects and community initiatives have not continued beyond the end of a DIPECHO project cycle leading to questions over funding cycles and administrative mechanisms. On the one hand sustainability (e.g. continuation or maintenance) is often an indicator of whether delivery is effective or of how appropriate. On the other, there may have been an expectation of continued funding support from DIPECHO or elsewhere. The duration of funding is known and partners should be selected on the basis of prior engagement with a community or the possibility of receiving further resources.

Despite a lot of efforts, especially in the field, there remains a disconnect between DIPECHO efforts and EU Delegations on DRR. It is still very frequent that country programming documents allow very little room for post- DIPECHO efforts and to ensure that development programming is risk informed. Strengthening these links could contribute to replication and scale up.

### Factors that should be consolidated and built upon in future DIPECHO decisions include:

		Field level effects	Sustainability	Replicability	Scaling-up
Factors affecting DG ECHO partners capacity to facilitate replication and scaling up of DIPECHO projects	Strong and demonstrated capacities in community based approaches	+++	+++	+++	
	Ability to integrate DIPECHO into broader and longer-term DRR programming		+++	+++	+++
	Ability to link humanitarian action to development	++	++++	+++++	+++++
	Realistic planning (i.e.feasible - timeframe and resources)	+++	++++	++	
	Capacity to mobilize resources beyond DIPECHO funding	+	++++	+++++	+++++
Factors affecting the usefulness, appropriateness and ownership of DIPECHO projects	Risk assessment with mix of local & scientific knowledge	++++	++++	+++	+
	Proper prioritization of most at risk areas and specifically vulnerable or marginalized groups	++++	++++	+++	++
	Local capacities are identified and properly supported so they can implement the project correctly	++++	++++	++++	++
	The choice of appropriate technologies	++++	++++	+++	++
	Efforts made to ensure ownership of DIPECHO projects by the communities and local institutions	++++	++++	++++	++
Factors affecting the involvement and commitment of different institutional levels	Relations and involvement of local/central administration/ government	++	++++	++++	++++
	Sharing of experience at country and regional levels	++++	++++	++++	++++
	Creation of a multi-stakeholder community of practice		++	++++	++++
	Making DRR networks more dynamic	++	+	++++	++++

### Case Study 3: Scaling up participatory DRR, Pacific

*In Vanuatu and the Solomon Islands, remote communities face a wide range of natural hazards (floods, cyclones, tsunamis, volcanic eruptions, etc.). Their vulnerability is high due to their lack of access to most public and private services and to demographic pressure on natural resources and changing climate patterns. Since 2010, DG ECHO has been supporting the French Red Cross in implementing a multi-hazard community-based DRR project covering 47 communities, and strengthening the capacities of the two National Red Cross Societies to plan and implement community-based disaster risk reduction projects. This DIPECHO project is conducted in collaboration with the Red Cross and the National Disaster Management Office (NDMO) of each country.*

*Through a participatory process, applying the Vulnerability and Capacity Assessment, communities develop their own plans of action to reduce risk. These plans encompass various issues such as health, water and sanitation, disaster preparedness, shelter, communications, agriculture, etc. They are formulated by community members and their content is acknowledged by local authorities and NDMO representatives. Finally, their implementation is monitored regularly by Red Cross volunteers based in the islands.*

*This process also serves as a basis for the project team to advocate for the resources needed to cover the gaps identified in their action plans. At local level, based on the priorities identified, the provincial authorities are approached with requests for assistance. These community grant proposals are collated at national level and sent to embassies or to the private sector. As a result, responding to the three major needs identified by the communities, a project covering water, radio communication and cyclone community shelter was initiated. An international donor is now funding this project.*

*This bottom-up community-based DRR project is a good example of how community action can be linked to national processes. A crucial element in the success of the project is the leverage with external donors.*

DG ECHO sees DRR as a key strand in supporting efforts to link relief, recovery and development and, where feasible, will promote joint working between humanitarian and development actors through the entire project cycle.

DG ECHO views partnership, whether contractual or not, as a key element in its approach to DRR. It will therefore work with a range of partners in the delivery of DRR actions at local, national, regional and global level. This includes all organisations eligible under the regulations of the Framework Partnership Agreement (FPA) and the Financial and Administrative Framework Agreement (FAFA). Although not eligible for DG ECHO funds, state actors and local civil society organisations are considered essential stakeholders for DRR actions. Where such entities are credible and viable DRR actors, and where humanitarian principles are not compromised, DG ECHO will support its partners in establishing partnerships with such entities, particularly in relation to capacity building. Where DRR actions promote replication or scaling up, such multi-stakeholder engagement is a pre-requisite.

In the integration of DRR into general humanitarian response, DG ECHO will support coordinated action; in particular it will engage with the cluster system to integrate DRR.

#### 2.4.3 Advocacy

DG ECHO recognises that for DRR to be effective, a sound advocacy strategy is needed.

Advocacy is particularly important in promoting the adoption of DRR by partners, local and national institutions and other stakeholders. It is therefore a fundamental tool of EU action on DRR, is a key element in many targeted DRR actions supported by DG ECHO, and is particularly important in DIPECHO actions, where the aim is to influence adoption at large scale. Advocacy should be carefully planned and its results monitored and evaluated.

The objectives of advocacy include:

- The scaling up and promoting the sustainability of pilot interventions;
- The integration of DRR in humanitarian and development action;
- Improving legal and institutional mechanisms, processes and means to apply DRR;
- Promoting and defending the rights of disaster affected people and vulnerable groups exposed to disaster risk, including giving a voice to men, women and children with duty-bearers.

The targets for advocacy on DRR include decision-makers at different levels, including those in Commission departments

and services and in institutions of Member States, local and national authorities, national bodies on Disaster Risk Management or Civil Protection, sectoral ministries, humanitarian and development donors, private sector, the media, international organisations and the at-risk communities themselves.

Advocacy can be done directly through DG ECHO and EU delegations or through DG ECHO partners, civil society, institutional partners or beneficiaries through 'rooted advocacy'<sup>13</sup>.

The approach to take will depend on different factors, as the openness, willingness and capacities of target institutions to carry over the requested changes, and the leverage of DG ECHO and its partners in a certain institutional context. Advocacy can be done through documents and petitions, promoting accountability mechanisms, media, demonstrations, public events, presentations in meetings and workshops, or simply through direct relationship and conversations.

The following is a list of key messages about DRR for DG ECHO. These messages may be adapted, developed and elaborated for specific audiences. See also the Annex with a table of advocacy stakeholders and selected messages.

### **DRR saves lives and livelihoods**

*Reducing the risk from disaster is part of the humanitarian imperative to help those in need. Solidarity means more than waiting until a disaster happens before providing a humanitarian response. It means reducing the risk of the disaster happening in the first place. In addition to saving lives, reducing the risk of disaster protects economic assets and livelihoods. Good DRR is a sound investment.*

13 - Rooted advocacy refers to "giving national and local civil society groups the support they need to build their capacity, in order to advocate for themselves" (WaterAid, *The Advocacy Source Book*, 2007).

## **Case Study 4: Promoting inclusive DRR through Consortium, Myanmar**

*With funding from the DIPECHO programme, six partners have joined efforts through the Myanmar Consortium for Community Resilience (MCCR) to support Safer Coastal and Urban Communities. These agencies are ActionAid (lead), HelpAge International, Malteser International, Oxfam, Plan and UN-Habitat.*

*This Consortium supports a range of activities including inclusive Community Based Disaster Risk Reduction, strengthening institutional mechanisms for disaster management, city-level earthquake assessment, small-scale infrastructure and services, and information, education and communication.*

*A highly inclusive community-based approach is used, actively engaging children, women, people with disabilities and older people.*

*In addition to working with local partners, the group works closely with the national DRR Working Group, so enhancing coordination and advocacy at different levels.*

*The programme is a good example of collaborative efforts between DG ECHO partners, which has demonstrated positive results from the national to local level.*

## **Box 6: Supporting DRR through the International Humanitarian Architecture**

*The International Humanitarian system supports the integration of Disaster Risk Reduction (DRR) into humanitarian response. For example, the Education Cluster, co-led by Save the Children and UNICEF, has produced DRR guidance and a DRR toolbox to support cluster work. To roll this out, in October 2012, Save the Children organised two 4-day Education Cluster Trainings for 50 members of the education sector disaster management working groups from nine countries in Asia and the Pacific. The training included sessions on Comprehensive School Safety and INEE Minimum*

*Standards, which introduced integration of disaster risk reduction into education in emergencies practice. The training is expected to promote humanitarian action that is 'risk informed' as well as to provide partner staff with the skills and capacities to promote DRR Education and School Safety within development programmes.*

*A similar initiative was promoted by the Global WASH Cluster. Under the WASH Cluster Coordination, guidelines on DRR were produced by CARE Nederland for field practitioners planning and implementing WASH interventions.*

## Case Study 5: Joint DRR Advocacy, Vietnam and Bangladesh

With the support of DIPECHO funding, two advocacy consortiums have been promoted in Asia: JANI in Vietnam and NARRI in Bangladesh.

The **JANI (Joint Advocacy Network Initiative) consortium**, set up in 2007, is a joint action initiative led by CARE International in Vietnam with 14 partners (mainly INGOs and mass organisations) that work in the field of Community-Based DRR (CBDRR). It aims to strengthen CBDRR advocacy, information sharing and coordination through effective networking and joint initiatives.

For the last 15 years, several INGOs have been implementing various CBDRR models across Vietnam focusing their action mainly at commune and village level. To capitalise on the lessons in good practice from these experiences, there was a need to advocate for their replication. This required a network of organisations working closely with the government. The most noticeable result so far is that the government decided in 2009 to issue the Prime Minister's decision 1002 that aims to scale up CBDRR activities in two thirds of the communes in Vietnam.

**NARRI (National Alliance for Risk Reduction Initiative)** is a consortium of 6 INGOs and 2 technical partners in Bangladesh. It is supported by DIPECHO and other donors.

NARRI has developed an informal advisory role to the government – Disaster Management Bureau – and supports activities such as:

- Developing the Disaster Management policy for the government of Bangladesh (e.g. setting standards for risk assessments in urban and rural settings);
- Supporting the preparation of reporting on the Hyogo Framework for Action implementation, including among others, a CSO perspective;
- Promoting mass casualty management, and broader earthquake disaster preparedness, in health departments through the amendment of medical curriculum for doctors and nurses.

These examples illustrate the benefits of collective influence and voice in advocating for DRR practices, policies and programmes at all levels, including community-based action.

### **DG ECHO has a people-centred approach to DRR**

People in the communities affected by disaster are the first victims; they are also the first responders as they help each other in immediate life-saving and recovery actions. By adopting a people-centred approach to DRR, DG ECHO commits itself to empowering those most at risk to cope with disasters, so reducing the need for aid and the potential for dependency.

### **DRR is good practice and essential to strengthening resilience**

DRR enables communities to anticipate, absorb and bounce back from shocks. In humanitarian assistance it is the foundation for 'Do No Harm' and 'Build Back Better' and is essential to sustainable development. By promoting DRR, DG ECHO contributes to global efforts to build a culture of safety and resilience at all levels.

“ DG ECHO has a people-centred approach to DRR. ”

### **A disaster is an opportunity to promote risk reduction**

A disaster may heighten people's awareness of and willingness to address the risks they face. In this sense there may be an opportunity, during the humanitarian response phase, to develop long-term risk reduction measures. It is essential that humanitarian actors take this opportunity to help reduce longer term risk.

### **DRR is a shared responsibility**

While recognising the core responsibility of the State, DG ECHO understands that DRR requires and fosters coordination at various levels. In particular it requires development and humanitarian actors to work together. DRR is everybody's business.

**For these reasons, DG ECHO will continue to invest in specific DRR measures and will require that all humanitarian interventions it supports are risk-informed.**

#### 2.4.4 Capacity-building

DG ECHO recognises the need to strengthen capacity in DRR of its partners and their beneficiaries. In pursuit of this, it intends to support:

- Global efforts to implement the Hyogo Framework for Action (HFA). Specifically DG ECHO supports the strengthening of UNISDR coordination capacities and field based DRR actions.<sup>14</sup>
- The promotion of comprehensive and effective national DRR policies and strategies.
- The development of effective mechanisms, skills and resources among local stakeholders for the replication and scaling-up of DG ECHO funded DRR action. Capacity building efforts should be in line with national DRR policies and promote their implementation.

The primary targets of DG ECHO funded capacity building are the UN agencies, the International Red Cross and Red Crescent Movement and the International NGOs. Acknowledging that all need to develop effective capacities, DG ECHO will support the strengthening of partners' internal institutional and operational capacities.

<sup>14</sup> - See paragraph 75 of the [European Consensus on Humanitarian Aid \(2007\)](#).

### Case Study 6: Strengthening capacities of local partners to integrate DRR, Nepal

*Nepal has a high level of disaster risk associated in particular with earthquakes or floods. A large-scale disaster would lead to great suffering and require a large humanitarian response. The country also experiences numerous small-scale disasters in isolated hilly and mountainous areas, which require action at a local level.*

*Civil society is strong and engages actively in development and humanitarian aid in partnership with the Government, Red Cross, INGOs and UN organisations. There are more than 30,000 registered Nepali NGOs, a network of hundreds of community FM radio stations, and numerous community-based organisations.*

*In this context, the role of DG ECHO partners in DRR is twofold: to support the Government in developing national DRR strategies and guidelines and to support Nepali partners in integrating DRR into their development and humanitarian action.*

*An example is a project conducted by DG ECHO's partner, Mission East, to support the capacity development of their local partner KIRDAC. The aim was to ensure greater integration of DRR in projects, particularly those providing water and sanitation facilities to isolated areas of the Kamali Zone of western Nepal. The first step*

*was to ensure the implementing partner had sufficient capacity to integrate DRR at institutional, management and technical levels. KIRDAC highlighted the importance of training its implementing partners as a pre-condition for effective integration of DRR in short-term humanitarian WASH. The training focused on two main scenarios identified through participatory risk analysis: epidemic outbreak and landslides. On landslides, a technical survey of landslide risk and its likely impact on the water supply system identified vulnerabilities in location, size and design and came up with a range of mitigation works. These works included landslide management, with training provided to Water Users Committee members. Soil stabilisation measures were implemented by the community, including the use of common species of plants (e.g. *Alnus Nepalensis*, *Agave Americana*) and, when unavoidable, the construction of retention walls. In some circumstances cable-hanging systems were installed for water pipes crossing landslides and mudflow areas. The project included a community preparedness component, including training of female community health volunteers on early warning and reporting of epidemic outbreaks.*

It will consider supporting the development of local, national, regional or global approaches to providing knowledge, skills, and tools to DRR stakeholders.

Although not eligible for direct funding by DG ECHO, national authorities and disaster management services are the main duty-bearers to roll out DRR approaches. They should therefore be key targets for the DRR capacity-building actions of DG ECHO partners. Similarly Red Cross & Red Crescent National Societies are relevant DRR stakeholders; the capacity building efforts of DG ECHO's partners should seek to strengthen their capacities.

Local civil society has an important role to play in the implementation of DRR approaches. DRR actions shall thus provide sound capacity building opportunities to local NGO partners.

A successful exit strategy requires that local stakeholders have the capacity to continue their work on DRR. This will be one of the measures used by DG ECHO in its decisions on committing or continuing support for targeted DRR measures.

As with all DG ECHO supported actions, capacity-building efforts must clearly result in improved effectiveness and impact of DRR. An accurate and objective assessment of the impact of these actions is required.

## 2.5 Monitoring, Evaluation and Learning

DG ECHO will strive to ensure that all DRR actions it finances are well designed, with measurable outcomes and clear indicators. Routine monitoring, evaluation and reporting of progress are required of the partner. These reports will be used both to appraise the results of interventions and to learn and implement lessons in the design and implementation of future interventions.

DG ECHO requires that any investment in DRR is focused on major needs and is likely to have clear and substantial impact, particularly in strengthening the resilience of disaster-affected populations. Providing strong evidence on the benefit-cost ratio of DRR may lead to increased funding from the donor community.

Particularly in short-duration interventions, DG ECHO recognises the challenges of measuring the impact of DRR measures, which are mostly designed to have long-term benefits. It acknowledges that such measurement requires that partners have staff with the right skills, sufficient time and adequate resources. DG ECHO will encourage partners to make suitable provision for this in their plans. As an indication, partners are expected to have dedicated monitoring and evaluation expertise within their teams. The use of external consultants should be carefully limited and form part of a comprehensive monitoring and evaluation approach. In community-based disaster risk management projects, participatory monitoring and evaluation is expected.

Although the literature on DRR is extensive, there is still much to be learned and shared on how it can be applied in different types of settings and particularly on how it can be integrated into general humanitarian action. In its support for DRR interventions, DG ECHO will actively encourage capitalisation and the dissemination and integration of learning and good practice.

DG ECHO will periodically review grants and contribution agreements to quantify the extent of the commitment to DRR principles and measures (DRR metrics). This will serve to identify trends and gaps, and provide an indication as to which sectors are increasingly addressing risk.

# 3. Operational considerations

## 3.1 Introduction

This section provides operational considerations for those directly involved in DG ECHO funding for the implementation of DRR in humanitarian action in line with its policy. In particular it is aimed at DG ECHO's own staff in their work with partners, assessing, monitoring and evaluating humanitarian action. It is also aimed at the partners who work with DG ECHO, particularly those requesting or receiving funding for their work. A key intention is to demystify what can appear to be a very complex and intimidating body of knowledge.

DG ECHO recognises that good DRR requires professional judgement in each sector and that the practice will continue to evolve. In many cases, DRR will already be included as an implicit part of good technical practice. For example, the current best practice in the siting and design of temporary settlements considers the risks of flooding and fire as a matter of course. In many cases the DRR approach will simply be making explicit what was implicit; in others it may stimulate new insights or thinking.

These considerations should be interpreted according to the local context, the nature of the disaster and the profile of the humanitarian action. This section does not claim to be a comprehensive manual for DRR practitioners; such manuals are found elsewhere (see for example [www.preventionweb.net](http://www.preventionweb.net)). Neither does it claim to give technical guidance on specific sectors or areas of intervention. Readers should consult the relevant technical literature and professional experts.

A metaphor that may be helpful in considering DRR is that of the 'risk lens'. When we view any aspect of humanitarian action, we should view it through this risk lens, assessing what risks people face now or are likely to face in the near future and how these risks can be reduced. We should also consider explicitly the risks posed by humanitarian action itself (Do No Harm).

DRR is relevant to every sector of humanitarian assistance. By its nature it requires consideration of the linkages between sectors. This section is structured according to the sectors and sub-sectors used by DG ECHO, as set out in the table annexed to the DG ECHO Single Form Guidelines. From the list of twelve main sectors, the following have been chosen for inclusion in this document: Food Assistance, Nutrition, WASH, Health, Shelter, and Child protection/Education. This is not intended to be an exhaustive treatment; similar considerations will apply to other sectors.

## 3.2 DRR and Food Assistance

### Scope of Food Assistance

The scope of work covered by the EU's humanitarian food assistance instruments is defined as saving lives, through delivering assistance to meet basic humanitarian food



and nutrition needs.<sup>15</sup> However, it also aims to fulfil supportive functions, specifically contributing to reducing risk and vulnerability, and improving the appropriateness and effectiveness of humanitarian food assistance through capacity-building and advocacy. It includes: emergency food security (including nutrition) and short-term livelihood support (using in-kind distribution and/or cash & vouchers transfers), food security and nutrition information and analysis, advocacy and awareness-raising.

### Rationale for DRR in Food Assistance

There is a direct correlation between disaster risk and food insecurity. Food-insecure people are the least able to cope with disasters. Exposure to high levels of disaster risk and lack of capacity to manage these risks trap poor households in a cycle of food insecurity and poverty that quickly deteriorates into a food crisis and acute undernutrition when a disaster occurs.

Food assistance interventions contribute to disaster risk reduction either by protecting livelihood assets (particularly human and social capital) and/or supporting and advocating for a conducive environment in terms of structures and processes. The EU's humanitarian food assistance seeks to avoid undermining community resilience and coping capacity.

*15 - Please refer to the [Humanitarian Food Assistance Communication and Staff Working Document](#)*

### Case Study 7: Introducing short cycle rice varieties allows farmers to harvest before the cyclone season, Madagascar

*Madagascar is a country at risk of both natural hazards and political unrest/conflict. Drought, flooding, recurring cyclones and epidemics are frequent events. In recent years, tropical cyclones (e.g. 2007, 2008, 2011 and 2012) and floods (e.g. 2009 and 2012) have resulted in major destruction of shelter and livelihoods. These natural events have worsened Madagascar's fragile situation, and the country is at risk of crisis with significant humanitarian consequences.*

*The cyclone season takes place right in the middle of the main harvest, posing major risks for the agricultural sector, and particularly the most vulnerable farmers. Often, the fields are flooded or damaged by strong winds before the farmers bring in the harvest. In this context, FAO initiated the introduction of new short cycle rice varieties to the vulnerable east coast of Madagascar. These varieties mature in three-months instead of six, allowing farmers to harvest before the peak of the cyclone season and to replant following a cyclone, thereby reducing the risk of harvest losses during the cyclone season and providing the opportunity to replant if any losses do take place.*

*Farmers are now more resilient because their harvests are secured before the cyclones arrive. The degree of acceptance by farmers has been very high and the use of these seeds is being expanded quickly throughout cyclone affected areas.*

*Scaling up the use of these seeds and integrating their use and dissemination in national policies is an objective of a consortium of DIPECHO partners, led by FAO, and that is supported for three years by the EU Delegation. The programme focuses on quality assurance, seed multiplication and linkages to markets. It is expected that short cycle rice seeds will shortly be integrated as part of the new Madagascar national agriculture programme.*

*This case study shows how an analysis of recurrent risks faced by vulnerable groups can help inform development programming in such a way as to greatly reduce the risk to these groups, improve their livelihoods and reduce the need for humanitarian interventions.*

© CARE France



## Box 7: Scalable safety nets, Ethiopia

The Ethiopian Government has taken important steps to improve drought management, notably with the Productive Safety Net Programme (PSNP), established in 2005. A key objective is the alleviation of chronic food insecurity. Under this, considerable amounts of food are routinely distributed to poor households. Early warning systems have been strengthened and the government is moving beyond the 'food first' culture to ensure higher levels of livelihood support.

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 more resilient to the effects of shocks in the future. The main activities of PSNP are:

- (i) Cash or Food for Work; public works are focusing on watershed management and rehabilitation; and
- (ii) Direct support (cash and food) to the most vulnerable population, including elders, women and children.

Targeting of assistance was focused on households that had been persistent recipients of emergency food aid. However, communities were given substantial discretion to modify this approach and to update their lists of food insecure households based on local criteria. This allowed for a flexible community-based targeting strategy that takes advantage of local knowledge of households' circumstances to identify the neediest households. However, when a shock results in temporary food insecurity, which is beyond the mainstream PSNP to address, additional temporary support comes from the PSNP's Contingency Budget. If that is exhausted, further support is available through the Risk Financing Mechanism (RFM).

For example in February 2011, early indications of a drought and possible crisis began to emerge in the highlands of Ethiopia. In most years, the PSNP provides transfers to chronically food-insecure households between February and August. In 2011, during these months, the needs of transitory food-insecure households were met through the PSNP Contingency Budget in the usual way. However, it became increasingly clear that highland areas of the country would need support in the months preceding the November 2011 harvest, after the PSNP transfers ceased in August. Accordingly, in August 2011 after completion of a rapid verification of needs, the federal government triggered the RFM to address the transitory food needs of approximately 9.6 million people living in PSNP districts. Of these 9.6 million people, 6.5 million were existing PSNP clients. An additional 3.1 million people living in PSNP areas, who in a normal year do not need additional assistance, received up to three months' support to ensure that they could meet their food needs until the harvest in November.

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. All of these steps meant that Ethiopia was better prepared to manage the 2011 drought than ever before.

The PSNP is an example of a safety net that can be scaled up in times of crisis. Such a safety net is a necessary part of a Disaster Risk Management strategy. Although there are areas for improvement, the PSNP has shown its responsiveness and flexibility and has successfully contributed to addressing temporary food needs in Ethiopia.

### Approach to DRR in Food Assistance

DG ECHO requires all humanitarian action to be risk-informed, meaning that analysis and design should be based on a sound assessment of risk and the intervention should seek to reduce immediate and future risks. It can involve:

- Directly reducing risk to people and especially the most at risk (children under 5, pregnant & lactating women, older people and people with disabilities). This would include immediate risks, such as acute undernutrition due to lack of access to basic food requirements. It should also consider longer-term risks, such as promoting appropriate flood management measures for agricultural land damaged by floods.
- The "risk-proofing" of interventions to protect them against future hazards, such as ensuring that emergency food storage facilities are designed to withstand hazards such as winds, floods, earthquakes.

It may also involve specific actions, such as ‘pre-emptive de-stocking of livestock’ or the short-term strengthening of early-warning systems, incorporating indicators on emergency food-insecurity and acute undernutrition.

DG ECHO recognises that good professional practice in food assistance will incorporate many, if not most aspects of DRR. Accordingly DG ECHO will require that humanitarian interventions are designed and implemented by agencies possessing the requisite technical competence.

The Humanitarian Food Assistance Communication (2010) states that the Commission, other than responding to emergency situations and food crisis, can trigger a humanitarian food assistance response for anticipated crisis on the basis of firm forecasts, before the nutritional status deteriorates. Livelihood protection interventions can then aim at mitigating as much as possible the impact of the external shock.

### 3.3 DRR and Health<sup>16</sup>

#### Scope of Health

The scope of work considered under the Health sector includes:

- The prevention and management of disease, injuries and disability;
- Health information management systems, including health risk assessments, early warning and surveillance;
- Disaster risk management policies to improve access to health care when needed;
- Health system strengthening in health emergencies.

The health impact of a disaster depends on the type of hazard, the level of exposure of the population, the pre-disaster health status and the capacity of the health system to continue to deliver services after the disaster. The immediate effects of disasters may include deaths, injuries and disease, requiring emergency care and rehabilitation. Medium term effects may include infectious disease such as water-borne or respiratory infections, psychosocial effects and the disruption of health services. Epidemics following a disaster are infrequent<sup>17</sup>. Mostly they result from an insidious break-up of community infrastructure, basic health services including vaccination, and from overcrowding. Food security emergencies also lead to undernutrition, requiring supplementary and therapeutic feeding.

*“Health systems, staff and infrastructure must be able to withstand hazards and function in times of emergencies.”*

#### Rationale for DRR in Health

Risk reduction is relevant in every aspect of health sector interventions in disaster-prone countries. An effective and robust health care system requires effective health emergency and disaster risk management capacities. Strategic risk assessments can help identify areas of the health system that require investment and capacity development.

<sup>16</sup> - Please refer to the [DG ECHO guidelines, tools and TIPs relating to health](#).

<sup>17</sup> - See J. Watson et al., *Epidemics after Natural Disasters* (2007).

Interventions to reduce health risks will be influenced by the type of hazard. Rapid onset events can overwhelm or destroy health facilities and disrupt the provision of health care. Slow onset disasters may create a massive case-load that weak health structures cannot handle effectively. According to WHO, climate change is expected to increase health risks<sup>18</sup>. DRR is a key component of climate change adaptation.

Effective risk reduction requires sound policy, legal, strategic, financial and operational coordination frameworks. Health systems, staff and infrastructure (including ‘safe hospitals’) must be able to withstand hazards and function in times of emergencies.

Risk assessments and early warning systems are an essential part of the risk reduction approach in health. Mortality and morbidity indicators are typical measures of an emergency and help define priority interventions. They provide an appropriate range of indicators to guide early response to disease outbreaks.

### Approach to DRR in Health

DG ECHO requires all humanitarian action to be risk-informed, meaning that analysis and design should be based on a sound assessment of risk, and the intervention should seek to reduce immediate and future risks. It can involve:

- Directly reducing risk to people. This would include immediate risks, such as reducing injuries, outbreaks or epidemics. It should also consider longer-term risks, such as improving community safety, improving water quality, nutritional status, and vaccination for at risk groups before and after emergencies.
- The “risk-proofing” of health systems to protect and prepare for the timely and effective delivery of health interventions before, during and after emergencies. For example, health facilities can be risk-proofed by ensuring they are designed to withstand hazards such as winds, floods and earthquakes.

DG ECHO recognises that good professional practice in health will incorporate many, if not most aspects of DRR. Accordingly, DG ECHO will require that humanitarian interventions are designed and implemented by agencies possessing the requisite technical competence in the specific areas of health covered.

Disaster preparedness enables health systems to prepare for a surge in demand for health services in a disaster. This preparedness includes emergency response and recovery planning, establishing and testing of standard protocols,

development, application and communication of early warnings, training of health staff and communities, development of flexible coordination structures at local, sub-national and national levels and identification and deployment of extra supplies to anticipate emergency response.

*“Community health workers should be involved in risk assessments and local emergency planning.”*

Community capacity is a vital component of risk reduction in health. This involves risk awareness, health promotion, community risk assessments, individual and household measures, planning for community risk prevention, response and recovery and the training of community health workers. Community health workers should be involved in risk assessments and local emergency planning.

<sup>18</sup> - World Health Organisation, “Climate change and health”, Fact sheet, n°266 (2013).

## Case Study 8: Preparedness and Early Response, Guinea-Conakry and Sierra Leone

DG ECHO, through its partner Action Against Hunger (AAH), has been supporting cholera preparedness and early response in Guinea Conakry and Sierra Leone.

Cholera is endemic to both countries, with outbreaks occurring in recent years. Conakry and Freetown host almost 2.5 million people and are historically vulnerable to cholera; cross-border communication is high. With each new rainy season (June to October) there is high risk of outbreaks, although outbreaks may occur at any time. In February 2012, a cholera epidemic began in Sierra Leone in the disadvantaged area close to Freetown before spreading to neighbouring Guinea.

DG ECHO decided to support AAH with a grant for both countries, building on the partner's experience of preparedness and early response. This early support allowed the strengthening of prevention, surveillance and rapid response capacity, in both rural and urban areas.

Some of the preparedness and early response measures included:

- Improving the epidemiological surveillance through direct support to the Ministry of Health (MoH) on data collection and analysis;
- Risk mapping and contingency planning in Guinea and Sierra Leone;
- Development of district level operational plans for cholera prevention and response;
- Organizational and technical support to emergency teams for coordination, contingency plan activation, lesson learning and dissemination through trainings to other affected regions;
- Development of a response capacity to cope with outbreaks.

In Guinea, in recent years, institutional and non-governmental actors have developed expertise in cholera preparedness and response. The main results are:

- An accurate analysis of areas at risk of a cholera outbreak, including risk mapping;
- Cholera contingency planning: AAH supported the MoH to define, test, update and disseminate a contingency plan for cholera in Conakry;
- Expertise in response activities, such as effective surveillance and testing, provision of sanitary

barriers in public places and at household level, and emergency medical care.

- Technical and operational skills of different actors have been strengthened through simulations exercises.

Faced with the 2012 outbreak, the crisis committee within the health sector was activated and actors developed response activities in the two affected regions.

In Sierra Leone, national capacities were very weak from the start, but the early intervention allowed stakeholders to collaborate to respond more rapidly and consistently. However, the epidemiological surveillance still remains very weak. In rural areas it is limited by the capacity of the health staff and communication challenges (no phone credit, access to mobile phone, mobile phone network). Awareness raising and hygiene promotion still remains insufficient.

The 2012 cholera outbreak resulted in a lower number of cases and mortality than in previous outbreaks. There was a much improved preparedness and early response, as demonstrated by the surveillance and early warning system, declaration of the epidemic, partner activation and coordination, quality of intervention, and a limitation on the spread of the epidemic.

© ECHO/Christophe Valingot



HIV and AIDS, gender-based violence and mental health issues need specific attention especially after a large-scale rapid onset event or in complex emergencies.

In the rehabilitation and recovery phase, the focus should be on physical rehabilitation of injured people and on the management of longer-term mental and psychosocial effects. The recovery phase may also provide opportunities to strengthen health systems, and to ensure that infrastructure and staff are more resistant to future disasters.

### 3.4 DRR and Nutrition<sup>19 and 20</sup>

#### Scope of Nutrition

The scope of work considered under the Nutrition sector includes the prevention of undernutrition, nutritional rehabilitation and surveillance, surveys and surveillance and the use of cash/vouchers.

Tackling high risk moderate and severe acute malnutrition is a priority for DG ECHO. The main response is through direct Nutrition interventions to identify and diagnose undernutrition and address the symptoms through appropriate treatment. Appropriate infant and young child feeding saves lives, particularly when it emphasises the importance of exclusive and continued breastfeeding (and should therefore always support maternal nutrition as well). In terms of approach, support is to be provided to the integration of nutrition in the health system. This requires a functional and strong set-up with adequate and trained technical staff, and might include specialised nutritional products.

Nutritional interventions can be either:

- Targeting specific high risk sub-groups (infants, children, pregnant and lactating mothers) with specific nutrition interventions, such as infant feeding and micronutrient supplementation;
- Target the general population with general food distributions, including micronutrient fortification/supplementation and/or staple foods;

Choosing and prioritising nutritional interventions and specialised nutritional products should be informed by evidence and follow latest best-practice and operational guidelines.

#### Rationale for DRR in Nutrition

The causal factors leading to undernutrition and famine are complex and multi-faceted.<sup>21</sup> Access to food may not be the sole cause leading to undernutrition. There is a strong correlation between disaster risk, food insecurity, poverty and such forms of undernutrition. Natural hazards can be a trigger compounding the already existing health and social factors.

#### Approach to DRR in Nutrition

DG ECHO requires all humanitarian action to be risk-informed, meaning that analysis and design should be based on a sound assessment of risk and the intervention should seek to reduce immediate and future risks. It can involve:

<sup>19</sup> - Please refer to the [Staff Working Paper on Addressing Undernutrition in Emergencies, COM\(2013\) 141 final](#).

<sup>20</sup> - Please read [Sphere Project chapter on Nutrition and WHO Fact Sheet on Nutrition and Disaster Risk Management for Health: Nutrition](#).

<sup>21</sup> - See [Action against Hunger brochure on Acute Malnutrition: a preventable pandemic](#).

- Directly reducing risk to people. This would include immediate risks, such as disease and death due to severe acute undernutrition in children and other at-risk groups. It should also consider longer-term risks, such as deficiencies in micro-nutrients leading to growth restriction, stunting, wasting, and impaired cognitive development.<sup>22</sup>
- The “risk-proofing” of interventions to protect them against future hazards, such as ensuring that health facilities are designed to withstand hazards such as winds, floods, earthquakes.

“ *There is a strong correlation between disaster risk, food insecurity, poverty and such forms of undernutrition.* ”

DG ECHO recognises that good professional practice in nutrition will incorporate many, if not most aspects of DRR. Accordingly, DG ECHO will require that humanitarian interventions in nutrition are designed and implemented by agencies possessing the requisite technical competence in the specific areas of nutrition covered.

Surveillance for early actions (at national, sub-national and community levels) is essential. As part of an effective preparedness plan, coordinating mechanisms need to be in place and fully functional.

The risks of undernutrition can be managed by optimising maternal nutrition, infant and young child feeding, increasing mothers’ care and feeding practices knowledge, improving food security and ensuring access to health care. CMAM (community based management of acute undernutrition) plays an essential role in DRR.

Prevention is also undertaken through diverse sectoral approaches that include Health, Food Assistance, Water and Sanitation and Protection. Emergency preparedness is vital for communities to:

- Improve access to adequate nutrition for injured persons, older people and the most vulnerable groups;
- Minimize nutritional vulnerabilities for infants, e.g. by increasing exclusive and continued breastfeeding rates, supporting communication for behaviour change towards pregnant and lactating women;
- Improve the impact of nutritional responses, e.g. networks/pools of trained personnel ready to act in an emergency.

It is through the integration of DRR within these different approaches, that we seek to better address the underlying causes, and build greater resilience to avoid future shocks increasing the prevalence of acute undernutrition.

### 3.5 DRR and Education<sup>23</sup>

#### Scope of Education

In this context, education is to be understood broadly as the many forms of formal (through schools and universities) and non-formal transmission of knowledge, skills, experience and engagement of groups of people, including the use of media, awareness campaigns, special events, etc.

<sup>22</sup> - S. M. Grantham-Mc Gregor, S. P. Walker and S. Chang (2000), “Nutritional deficiencies and later behavioural development”, *Proceedings of the Nutrition Society* (2000), n°59, p. 47-54.

<sup>23</sup> - Please refer to the DG ECHO Staff Working Document, *Education Children in Emergencies and Crisis Situations*, COM(2008) 55 final.

Within the scope of DG ECHO's work, Education is not a separate sector in itself. Education activities are supported in different ways, including under activities of protection, psycho-social health, hygiene promotion and through DRR measures. It also links to specific shelter activities, when it relates to physical infrastructure used for educational purposes.

### Rationale for DRR

The education sector is a particularly relevant area for DRR. In addition to being sensitive to disasters, it also offers opportunities to develop the disaster risk reduction approach. It is a crucial means within communities to communicate, to motivate and to engage, as much as it is to teach.

### Approach to DRR in Education

DG ECHO requires all humanitarian action to be risk-informed, meaning that analysis and design should be based on a sound assessment of risk and the intervention should seek to reduce immediate and future risks. It can involve:

## Case Study 9: Children, Education and DRR, Kyrgyzstan

At 01:35 on 20 July 2011, an earthquake with a magnitude of 6.1 struck Batken province in Southern Kyrgyzstan. The epicentre was Kan village. During and after the earthquake, the Community Emergency Response Team and Child Led Organization (CERT/CLO) of Kan village operated effectively.

Prior to the earthquake, with DIPECHO funding, Save the Children had established CERT/CLO and trained the members on DRR topics including child protection and early warning systems. They learned the science behind earthquakes and safety measures, such as how to behave during an emergency. Several school and village simulations were conducted. During earthquake preparedness exercises, adults and children learned about safety and safe locations. Prior to this, CERT/CLO had developed a hazard map and Emergency Preparedness Plan.

When the earthquake struck in the early morning hours, members of CERT/CLO were mobilized and helped to evacuate people from houses to a safe place. In addition, 32 children were evacuated safely from a residential summer camp. Most of the Kan residents, including children, did not panic. The training, planning and lessons learned from the exercises had helped them to respond effectively to the earthquake.

After the earthquake Save the Children, CERT and local government officials assessed the damage, and checked all electric lines/poles. CERT/CLO informed the population about disaster risk reduction and new risks following the earthquake. Members of CERT/CLO later took part in the clean-up and in the eventual reconstruction of homes that ensured all families had safe and weather-proof shelter for the winter. This was done under a DG ECHO funded small-scale rehabilitation project.

Further support was provided by the Red Crescent in the form of provision of building materials to an additional 130 affected families whose houses suffered minor damages, and who had not received assistance.



Young Rescuers Competition  
© MSDSP Kyrgyzstan





- Directly reducing risk to people. This would include immediate risks, such as disruption to the system and learning. It should also consider longer-term risks, such as the implications in terms of livelihoods of those affected.
- The “risk-proofing” of interventions to protect them against future hazards, such as ensuring that education facilities are designed to withstand hazards such as winds, floods, earthquakes.

DG ECHO recognises that good professional practice in education will incorporate many, if not most aspects of DRR. Accordingly, DG ECHO will require that humanitarian interventions in education are designed and implemented by agencies possessing the requisite technical competence in the specific areas of education covered.

In emergencies, ‘child-friendly spaces’ may be implemented by partners and have proven effective entry-points for DRR messages/activities. Such spaces are meant as dedicated safe areas where children can play, socialise, learn and find a sense of normalcy and community when their lives are disrupted by a disaster<sup>24</sup>.

There are significant benefits to learning about risks and dangers as early as possible. Schools can be models of participatory risk reduction in their communities.<sup>25</sup> The UNISDR campaign (2006-2007) slogan stated that DRR Begins at School. This is inscribed as the third priority of the Hyogo Framework for Action that promotes the “use of knowledge and education systems to build a culture of safety and resilience at all levels”.

“Schools can be models of participatory risk reduction in their communities.”

Among other interventions, partners may consider the following measures:

- Support to education continuity following a disaster;<sup>26</sup>
- Education for DRR, including DRR awareness raising campaigns and the inclusion of DRR into school curriculum or extra-curricular activities;
- Ensuring physical structures used for education are safe and resilient e.g. school safety plans;
- Risk Reduction for the Education Sector by promoting specific indicators/tools e.g. building codes, Safer Schools.
- Promotion of the role of children to disseminate DRR, ‘peer-to-peer’ or child-led DRR.
- Reaching children who have no access to formal education.
- Adult education.

### 3.6 DRR and Shelter<sup>27</sup>

#### Scope of shelter

The scope of work considered under the Shelter sector includes emergency temporary shelter, post-emergency rehabilitation semi-permanent shelter, provision of non-food items and cash/vouchers.

<sup>24</sup> - See *Child Friendly Spaces in Emergencies: A Handbook for Save the Children Staff* (2008).

<sup>25</sup> - See B. Wisner, *Let our children teach us! A review of the role of education and knowledge in disaster risk reduction*, UNISDR (2006).

<sup>26</sup> - *Following a disaster, schools may be used as shelters disrupting education continuity and school stability*.

<sup>27</sup> - Refer to the Shelter chapter of the *Sphere Project Manual* and technical guidance provided by the *Shelter Centre library*.

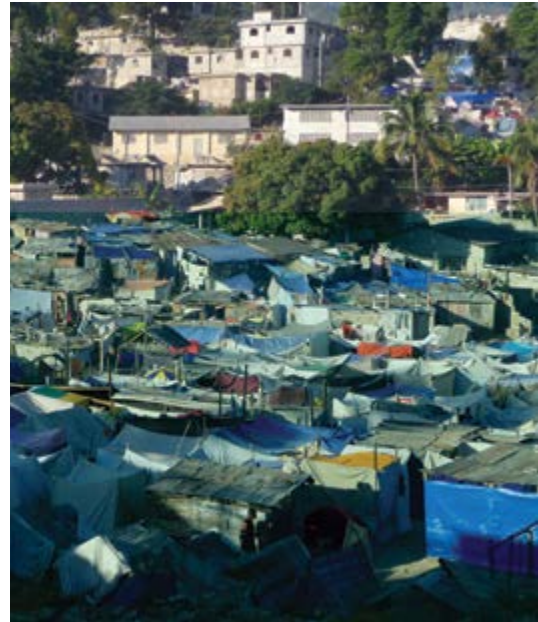
## Case Study 10: Port-au-Prince Camp Disaster Preparedness, Haiti

After the January 2010 earthquakes in Haiti, more than 1.5 million people were displaced. In the aftermath of the earthquake, shelter was identified as the most pressing need for the hundreds of thousands of displaced and camps were set up to provide temporary shelter. The need to act quickly and the lack of land meant that there was very little choice in site selection. As a result, many camps were created in high-risk areas.

In an attempt to reduce these risks, DG ECHO funded actions to support partners, particularly the Red Cross family to promote disaster preparedness. In particular this involved adapting tools to assess vulnerabilities and capacities, support camp early warning systems, camp emergency intervention teams and community based vulnerability assessments. Risk assessments were conducted, to identify the camps at highest risk and to support the design and implementation of risk mitigation measures for these camps.

This assessment was also used to assess which camps had priority for evacuations in case tropical cyclones presented a threat to Port au Prince. This was the case in 2012 when tropical storm Isaac hit the country. These camps were the first to be evacuated before the storm made landfall, saving many lives and much suffering.

This case study illustrates the importance of incorporating risk analysis, and associated risk reduction measures, into the design and implementation of humanitarian interventions – at every point in the process.



© ECHO/Susanna Perez Diaz and Vincente Raimundo



The primary function of any form of shelter is to provide essential protection from the elements of nature. It is also essential to provide security, personal and asset protection, promote good health, prevent disease, support human dignity, promote family and community life and support the rapid recovery post disaster.

DG ECHO recognises the complexities of interventions in the shelter sector, requiring technical competence, as well as the links to longer term initiatives and effective governance.

Emergency temporary shelter involves the provision of temporary shelter in humanitarian crises including (but not limited to): the provision of tents, materials for the construction of temporary shelter (plastic sheeting, wood, roofing-sheets, nails, tools, rope, etc.) and the repair and / or modification of public buildings to temporarily accommodate those affected. Actions for post emergency rehabilitation / semi-permanent shelter relate to the provision of shelter as a solution for the longer term, including (but not limited to): support for hosting arrangements, the provision of materials and tools for the construction or repair of shelters and in exceptional cases the actual reconstruction or repair of shelters.

### **Rationale for DRR in Shelter**

Due to its physical nature, shelter may be particularly vulnerable to disasters. Shelter represents a key asset of a family, and its loss or damage can result in increased exposure and vulnerability. The lack of adequate, safe shelter, presents major risks to people affected by disaster. Poorly located, designed, constructed and/or maintained shelter is a leading cause of mortality in hazards such as earthquakes (e.g. Haiti 2010). Displacement or loss of shelter makes people vulnerable to possible aftershocks, as well as to the climate – rain, snow, wind, heat – thus compounding the effects of the disaster. It is important to safeguard affected people from these risks through the provision of adequate shelter.

### **Approach to DRR and Shelter**

DG ECHO requires all humanitarian action to be risk-informed, meaning that analysis and design should be based on a sound assessment of risk and the intervention should seek to reduce immediate and future risks. It can involve:

- Directly reducing risk to people. This would include immediate risks, such as sickness and death from exposure in cold climates, and measures to prevent Gender-Based Violence in camps (e.g. location of latrines, sufficient lighting and security). It should also consider longer-term risks, such as the impact on family and community life and livelihoods.
- The “risk-proofing” of interventions to protect them against future hazards, such as ensuring that shelters are designed to withstand, as far as is possible, hazards such as winds, floods, earthquakes.

DG ECHO recognises that good professional practice in shelter will incorporate many, if not most aspects of DRR. Accordingly, DG ECHO will require that humanitarian interventions in shelter are designed and implemented by agencies possessing the requisite technical competence in the specific areas of shelter covered.

While emergency shelter provision during the immediate response stage is generally temporary or transitional, people tend to start rehabilitating or reconstructing their homes very early. This stage presents an opportunity for building capacity, raising awareness or risk reduction for future safe shelter constructions.

During recovery and reconstruction phases, it is important to address the underlying issues that had prevented safe shelter construction and the risk that threaten durability and sustainability of shelter. Building shelter back to a better standard that is less vulnerable to context-specific hazard will contribute to reduced risks in the long-term. Reconstructed or rehabilitated shelter with future risk in mind will prove more sustainable. For example, incorporating earthquake-resistant construction elements such as bracings and struts can reduce future earthquake risk; or building raised shelter (for example, elevated homesteads or multiple purpose evacuation centres) in flood-prone areas can provide essential protection.

This should be implemented within a framework of local risk assessment (i.e. mapping the areas at risk and unsafe houses), improvement of local building practices and skills, improved and more resilient building materials and techniques, greater accessibility and contingency planning (i.e. stockpiling materials) for subsequent disaster events.

In cases of major displacement and camp settlements, camp planning and management should be conducted using a risk-informed approach.<sup>28</sup>

Shelter responses may increasingly occur in urban settings (e.g. Port-au-Prince, Haiti 2010) characterised by lack of planning, poor construction, overcrowding and limited access and open spaces. Specific considerations should be given to the challenges posed by such contexts, see the section below ‘DRR and urban contexts’.

“ In cases of major displacement and camp settlements, camp planning and management should be conducted using a risk-informed approach. ”

Targeted DRR carried out by partners may seek to address shelter issues. Several UNISDR Campaigns have benefited from DG ECHO funds to promote greater safety in sectors relevant to Shelter, such as the Safe School and Hospital Campaign,<sup>29</sup> and more recently the Making Cities Resilient effort.

Examples of measures include developing and testing (i.e. demonstrative) approaches to safer shelters. Shelter management at the community-level may be considered as a possible approach. In flood-prone areas, initiatives have been piloted to elevate homesteads, establish safe areas, or the construction of multi-use buildings (e.g. Bangladesh) to safely shelter large numbers of people.

### 3.7 DRR and WASH<sup>30</sup> and <sup>31</sup>

#### Scope of WASH

‘WASH’ refers to Water, Sanitation and Hygiene. The aim of the Commission’s intervention on WASH is to “save and preserve life and alleviate the suffering of populations facing severe environmental health risks and/or water insecurity in the context of anticipated, on-going and recent humanitarian crisis”. It has the following specific objectives:

- a) To ensure timely and dignified access to sufficient and safe WASH services for populations threatened by on-going, imminent or future humanitarian crises, and to increase their resilience to withstand water stress and shocks.
- b) To implement measures to prevent the spread of WASH related diseases in populations threatened by on-going, imminent or future humanitarian crises.
- c) To enhance the impact, relevance, efficiency and effectiveness in the delivery of WASH assistance by strengthening the capacities of the humanitarian aid system, including its coordination mechanism.

The scope of work considered under the WASH sector includes humanitarian WASH capacity building and emergency WASH operations, coordination, rehabilitation, deployment and operation of water supply and treatment systems, sanitary facilities and waste management, vector control and hygiene promotion. See a more extensive typology of emergency WASH operations annexed to the Commission Staff Working Document on Humanitarian WASH policy (SWD(2012) 277).

28 - See Norwegian Refugee Toolkit, *The Camp management toolkit* (2008), on Environment and other chapters.

29 - See *One Million Safe Schools and Hospitals Campaign*.

30 - Please refer to the Commission Staff Working Document on Humanitarian WASH Policy, *Meeting the challenge of rapidly increasing humanitarian needs in Water, Sanitation and Hygiene* (SWD (2012) 277).

31 - See Global WASH Cluster, *Disaster Risk Reduction and WASH Comprehensive Guidance* (2011).

## Rationale for DRR in WASH

The extent to which DRR considerations need to be addressed in WASH interventions will be influenced by the type of hazard faced and level of vulnerability. A rapid-onset event (e.g. flood, earthquake, hurricane) can destroy or severely damage infrastructure, as well as limit the capacity of service providers (e.g. community, government or private sector) to operate and maintain systems. A slow onset or chronic event such as drought can critically reduce normal water resources by drying up surface water and lowering groundwater tables.

## Approach to DRR and WASH

DG ECHO requires all humanitarian action to be risk-informed, meaning that analysis and design should be based on a sound assessment of risk and the intervention should seek to reduce immediate and future risks. It can involve:

- Directly reducing risk to people. This would include immediate risks, such as sickness and death from WASH related diseases such as cholera and/or acute water shocks and stress. It should also consider longer-term risks, such as the impact on aquifer depletion and overgrazing of emergency water borehole programmes.
- The “risk-proofing” of interventions to protect them against future hazards, such as ensuring that water-points are designed to withstand, hazards such as landslides, floods or earthquakes.

## Case Study 11: Integrating DRR in emergency response to Floods, Gambia

*The Gambia is a narrow strip of land on each side of the Gambia River. In recent years, it has suffered from flooding exacerbated by unplanned urbanization.*

*In 2010, following a flooding that affected more than 50 000 people, DG ECHO funded Concern Universal with a small scale response grant to respond to the emergency needs whilst working to reduce the impact of future floods. The programme was designed to systematically integrate DRR in each component of the emergency response. This helped to risk-proof the intervention and to reduce the risk of future disasters.*

*An initial risk analysis highlighted the obstruction of drainage channels, poor construction techniques in flood-prone peri-urban areas and low level of services (including Water, Sanitation and Hygiene) as the critical issues to be addressed.*

*The emergency Water and Sanitation intervention included immediate distribution of household water treatment solutions (WASH kits) together with hygiene promotion. To reduce the risk of using contaminated water from unprotected wells, the intervention increased the number of public water taps connected to the water network in the area.*

*A particular high risk to health was caused by the collapse or overflow of pit latrines during the floods,*

*particularly in areas with high water tables. In areas where this happened, several demonstration raised toilets were constructed as good examples. This was complemented by providing training for skilled latrine builders.*

*Further measures included:*

- *Training on flood risk management for community DRR focal points;*
- *Risk assessments, community contingency planning and risk mapping exercises;*
- *Provision of response kits and equipment;*
- *Regular drainage channels cleaning before the next rainy season;*
- *Training for community workers and leaders in shelter rehabilitation, including use of better materials, building techniques and site selection;*
- *The development and promotion of an improved design of flood resistant housing in the community.*

*With funding from the EU Delegation and the support of the government, rehabilitation, cleaning and construction of new drainage systems was done following these 2010 floods.*

*This integrated DRR intervention proved its worth when the affected areas were kept out of danger during the 2012 floods.*

### Box 8: Gender-differentiated disaster impacts

*“The nature and extent of disaster and climate risk for men and women, [and girls and boys], is different in every location and set of circumstances.*

*In terms of mortality following hazards, in Hurricane Mitch (1998), more men than women died because men were more involved in rescue efforts, while in the Indian Ocean Tsunami (2004) more women than men died because they were less likely to know how to swim and their long clothing hampered their movement.*

*But being at risk includes other types of potential losses, such as losing livelihood assets, housing, health and wellbeing. Following the Peru earthquake (2007), the unemployment rate rose more sharply for women than men as key production and service industries which had employed them were affected, whereas in rural Australia repeated flooding and drought events are reported to be impacting more heavily on men’s mental health and suicide rates than on those of women. A study of the 2007 floods in Nepal found that women in particular were affected by anxiety, sleeplessness and feelings of helplessness as a result of their displacement and a loss of social networks they depend on.”*

*Extract from Towards Resilience: A Guide to DRR and CCA – Page 22-23, ECB Project, (2012)*

DG ECHO recognises that good professional practice in WASH will incorporate many, if not most aspects of DRR. Accordingly DG ECHO will require that humanitarian interventions in WASH are designed and implemented by agencies possessing the requisite technical competence in the specific areas of WASH covered.

The need to consider integrated water management is essential in areas prone to water insecurity, disasters or environmentally fragile. In a watershed, water extraction/pumping measures taken upstream may result in negative impacts downstream (e.g. diverting water from small rivers to increase irrigation).

### 3.8 Protection and cross-cutting issues in DRR<sup>32</sup>

In times of disaster, the normal systems of protection may break down; certain groups may be affected disproportionately and may have to adopt coping mechanisms that increase vulnerability. Young men may be targeted for recruitment into the military or violent gangs, young women may be more vulnerable to rape or transactional sex,<sup>33</sup> inadequate shelter may expose people to theft or violence, elderly people may become isolated and children may be separated from their families. A core principle of humanitarianism (e.g. see the SPHERE Handbook) is that people affected by disaster have the right to protection, assistance and life with dignity. A risk informed approach takes into account the full range of protection needs of various groups. Properly conducted, a risk analysis will identify key protection issues for these vulnerable groups and risk informed programming can ensure that the protection needs of these groups are met. Effective disaster preparedness and advocacy is especially important for protection.

Refer to the basic protection principles provided by the SPHERE Handbook (2011), and the wealth of information, guidance and tools available on the [Global Protection Cluster](#) webpage.

Gender is a key consideration in DRR. Evidence from past disasters, seems to point to a disproportionate impact on women and girls. The death toll was much higher among women and girls for reasons ranging from higher levels of unpreparedness to not being allowed to make decisions at household or community levels. Due to their different roles in society, women and men may have different priorities and ideas on the priorities and actions to be taken to reduce the risks. Enabling the voices of both women and men, girls and boys, to be heard, and to participate and to make decisions is central to effective disaster risk reduction. Community resilience and community preparedness cannot be

<sup>32</sup> - DG ECHO has developed a Gender Policy and a Gender and Age marker that give a number of orientations, guidance and tips for a gender- and age-sensitive Disaster Risk Reduction.

<sup>33</sup> - HAP, [Survival sex in Haiti IDP Camps](#) (2011).

achieved successfully if the gender roles and dynamics are not taken into account. Gender issues are to be considered when conducting a risk analysis.

Age is a major factor influencing vulnerability to disasters. The effective participation of older people and children<sup>34</sup> can ensure that life-saving actions are designed and implemented to include the specific needs of the different age groups.

A number of initiatives from a rights-based approach to Disaster Risk Reduction have highlighted the role of children as agents of change, including disaster preparedness interventions led by and for children. This includes activities such as working with Ministries of Education and national DRR agencies to develop school safety manuals and to include DRR in the education curriculum.

Traditional knowledge and the historical memory of the older people of the community may be valuable source of guidance in disaster risk reduction.

Men, women and children with disabilities are often invisible in DRR processes; however they have specific vulnerabilities and capacities which need taking into account when planning and implementation of intervention. Lack of accessibility of disaster related services such as early warning systems, shelters and healthcare, are key issues to be addressed. Increasing the visibility and active participation of persons with disabilities in analysis and decision-making at community level can help to ensure activities are more inclusive of their needs. Building the capacity of disabled people organisations (DPOs) is also considered critical in supporting greater participation.

*34- See Global Protection Cluster, Minimum Standards for Child Protection in Humanitarian Aid (2012).*

## Case Study 12: A shelter fit for all, Bangladesh

*Md. Tajul Islam is 70 years old. He has the left part of his body paralysed and is looked after by his daughter in law, Royeka and son, Saifuddin. During the cyclone SIDR (2007), Saifuddin heard the warning signal over the radio and carried Tajul and his wife (also paralysed) to the cyclone shelter. Royeka said, "Taking them to the cyclone shelter was very difficult as there was no ramp in the cyclone shelter. Pathways inside the shelter were also broken. Looking after them inside the cyclone shelter was also very challenging..." Because of this Saifuddin and Royeka hesitated to take their parents to the shelter.*

*With support from DG ECHO, Handicap International (HI) under its project, 'Make community-based disaster risk management inclusive in South Asia', supported an accessibility audit on this cyclone shelter in 2011. The findings confirmed that the shelter was not accessible for persons with disabilities. Based on this, HI and its local partner, in partnership with the Cyclone Shelter Management Committee, which includes persons with disabilities, made accessibility improvements. Those included removing obstructions to the entrance and building a ramp up to the ground floor, widening pathways to the bathroom and toilets as well as making the surface rougher to reduce slippage, among other improvements.*

*Local masons were trained to do the accessibility works, thus retaining the skills in the community.*

*Measures such as mock drills and visits by local authorities and persons with disabilities have increased awareness of the improvements and built confidence in using the shelter. In 2012 the Government of Bangladesh approved a new cyclone shelter management and maintenance policy, which made it mandatory for all new cyclone shelters to incorporate a ramp. The government of Bangladesh collaborated with HI and other DIPECHO partners to develop minimum accessibility standards for this new policy, while exposure visits and training increased their understanding of vulnerability issues.*

*Regarding the recent changes Royeka said, "It will be much easier to take him to the cyclone shelter with the wheelchair and take care of him there. I will not wait till the last moment now as the ramp, comfortable toilets, water, and stretcher blankets are available in the cyclone shelter."*

*This case-study illustrates how good practice can be developed at local level and, through co-operation with government, adopted at scale.*

### 3.9 DRR / Disaster Preparedness Sub-Sectors

'Disaster Risk Reduction / Disaster Preparedness' is one of the twelve sectors recognised by DG ECHO. This sector is divided into seven sub-sectors:

- Local disaster management components
- Institutional linkages and advocacy
- Information, education, communication
- Small-scale infrastructure and services
- Constituting stocks of emergency and relief items
- Livelihoods and economic assets protection
- Other

DG ECHO recognises that many of the activities that follow would be considered 'development actions' and will only engage in these activities under conditions set by the Humanitarian Implementation Plan and operational guidance.

After a disaster, there is likely to be increased concern about disasters, interest in risk reduction measures, and potential availability of financial resources for such actions. This may present an important opportunity to introduce or revisit practices or measures that can help reduce future risk.

In the following sections, brief explanations and examples are provided for each of the sub-sectors.

*“After a disaster, there is likely to be increased concern about disasters, interest in risk reduction measures, and potential availability of financial resources for such actions.”*

#### 3.9.1 Local Disaster Management Components

##### Local Capacity Building /Training

Local capacity building and training refers to measures linked to strengthening the abilities of the community and stakeholders present at the local level to better prepare, mitigate and respond to natural hazards. The approach reinforces the people-centred principle of DG ECHO's action. Such measures seek to

promote greater inclusion and consideration of groups at particular risk including women, children, older people, people with disabilities and other marginalised groups. Activities may include:

- Strengthening of systems and mechanisms for inclusion and participation in risk governance at the local level.
- Community mobilisation promoting inclusion of women, children, older people and people with disabilities covering issues such as participatory elaboration of local disaster preparedness strategies and contingency plans;
- Coordination with (sub)national disaster management authorities and systems, and building alliances for DRR;
- Promoting the piloting and replication of good practices in DRR, including for example supporting the organisation and training of local emergency committees/brigades;
- Training of Red Cross and Red Crescent volunteers, community facilitators and mobilisers;



- Establishing/Training of Civil Defence/Protection Units;
- Training of medical staff in mass casualty management;
- Training members of the community on safe coping mechanisms, first aid, search and rescue, and damage assessments and needs analysis.
- Design, implement, and evaluate simulation exercises at the local level;

### **Early Warning Systems**

Early Warning Systems (or EWS) are: “the set of capacities needed to generate and disseminate timely and meaningful warning information to enable individuals, communities and organizations threatened by a hazard to prepare and to act appropriately and in sufficient time to reduce the possibility of harm or loss”. A people-centred early warning system comprises four key elements: knowledge of the risks; monitoring, analysis and forecasting of the hazards; communication or dissemination of alerts and warnings; and local capabilities to respond to the warnings received. Activities may include:

- Reviving and/or strengthening of traditional, existing local knowledge of EWS;
- Technical studies conducted specifically to set up an EWS (e.g. hydrological study);
- Monitoring systems (e.g. installation of rain gauges);
- Support to alert services, including training of EWS operators;
- Communication network (e.g. installation of radio networks);
- Simulation exercises;
- Regional and national exchanges of EWS technical expertise.

### **Mapping and data computerization**

This comprises a range of activities linked to mapping and managing relevant data for the purposes of risk analysis and decision-making. Activities may include:

- Data collection, surveys for risk mapping purposes;
- Community risk mapping and Geographical Information Systems (GIS), including Participatory 3-Dimensional Modelling (scale model);
- Mapping evacuation routes on murals and signboards/posters visible for all;
- Printing, distribution, dissemination of collected data/maps.

### **3.9.2 Institutional Linkages and Advocacy**

Advocacy is a process that aims to influence people, policies, systems and resource allocation decisions in order to bring about change. This strategy may seek to influence a range of audiences, including government, donors, civil society, private sector, the media, etc. Institutional strengthening refers to measures seeking to strengthen the abilities of key institutions in DRR. This may involve supporting efforts to strengthen the linkages between communities and the relevant institutions. Activities may include:

- Promoting DRR integration into development planning and budgeting;
- Advocating to key disaster management duty-bearers for the integration of DRR into regular planning;
- Training of decision-makers at different levels on disaster preparedness/ risk reduction;
- Training and information materials on DRR for local authorities, health care centres, and other relevant institutions;
- Advocating to the Ministry of Education for the integration of DRR into curricula/ teacher training.

“*Advocacy is a process that aims to influence people, policies, systems and resource allocation decisions in order to bring about change.*”

Coordination and multi-stakeholder dialogue are essential for effective DRR and response. Activities to facilitate coordination may include:

- Supporting inter-institutional fora/meetings/mechanisms;
- Working with sectoral groups and Clusters on coordination;
- Setting up or strengthening platforms, networks and other coordination groups from regional to local level;
- Regional cooperation, exchange of experts and peers, and promotion of DRR networking;
- Standardization of IEC materials and operating protocols.

### 3.9.3 Information, Education, Communication

In DRR, public awareness seeks to encourage a culture of safety. Activities may include:

- Community-led awareness campaigns (e.g. theatre, community radio, participatory video);
- Development of awareness materials: leaflets, posters, billboards, brochures, radio spots / public service announcements;
- Involving the media, e.g. TV, articles published in newspapers and magazines;
- Peer-to-peer awareness, conferences, seminars, symposiums, exhibitions, workshops;
- Training workshops for the media/journalists.

In this context, education is to be understood broadly as the many forms of formal (through schools and universities) and non-formal transmission of knowledge, skills, experience and engagement of groups of people, including the use of media, awareness campaigns, special events, etc. Activities may include:

- Designing and producing of training materials for school children and teachers;
- Training of teachers and pupils;
- Emergency planning at school level;
- Conducting simulations at school level and EWS at school level;
- Education of students on basic services in emergency situations;
- Developing a “culture of prevention” for youth and children, including extra-curricular activities;
- Planning for continuity in education in the event of emergencies;

DG ECHO recognises that Child-centred DRR requires focusing on the specific risks faced by children, as well as involving children in efforts and initiatives to reduce

### Case Study 13: Public-Private Partnerships, Peru

*In Peru, the level of exposure to high magnitude disasters would require a major deployment of logistic resources, most of which belong to private companies. As part of the DIPECHO programme, WFP has promoted an agreement between the main private companies, which are present in the areas exposed to seismic events, and the National Institute of Civil Defense. With the agreement signed, several of these companies engage in the humanitarian coordination mechanisms and commit to lend their storage and transport facilities to the humanitarian response in case of a major event.*

disaster risk. The IEC tools should be inclusive to guarantee that the information is accessible for all.

### 3.9.4 Small Scale Infrastructure and Services

This sub-sector includes small-scale infrastructure works common to many DIPECHO projects, as well as small installations for preparedness and emergency response facilities. It may also cover safeguarding critical facilities and services such as communications and energy/electricity from disasters.

Such works will be considered only for demonstrative purposes, and always complementary to other disaster preparedness measures. They should be the result of an appropriate risk analysis methodology, be affordable and easily replicable in neighbouring areas and when relevant in the country/region. Sustainable actions and maintenance schemes should be an integral part of any intervention.

Each project should be designed by an appropriate professional. Activities may include:

- Building protection walls along river banks with community participation;
- Small-scale drainage and irrigation works;
- Preventive action against soil erosion;
- Reinforcing roads and bridges;
- Structural mitigation in “safe places” identified in emergency plans;
- Construction of emergency response facilities, including emergency coordination centres and emergency warehousing;
- Setting-up or rehabilitation of evacuation shelters and routes;
- Demonstration projects, especially on safer construction, for promotion with professionals and the community.

### 3.9.5 Constituting Stocks of Emergency and Relief Items

This involves building up stocks of emergency relief items, targeting the reinforcement of the response capacity of local actors and institutions in disaster-prone areas. Emergency kits are to be sex/age/disability and culturally appropriate. Activities may include:

- Upgrading or renovation of storage facilities;
- Pre-positioning of stocks (kits, water treatment products);
- Pre-positioning of equipment (water treatment unit, tanks, tools);
- Training for stock management and monitoring the distribution process.

### 3.9.6 Livelihood and Economic Assets Protection

Livelihood protection involves protecting household livelihood systems to prevent an erosion of productive assets or to assist in their recovery. It should reduce vulnerability resulting from the forced selling of productive assets to meet immediate food and other needs. Well-designed and timely intervention in this area may help reduce the impact of and considerably reduce the costs of dealing with a full-blown emergency.

“Livelihood protection involves protecting household livelihood systems to prevent an erosion of productive assets or to assist in their recovery.”

DG ECHO recognises that livelihood protection is a development action and will only engage in these activities when there is good evidence that they will have an impact on an impending humanitarian disaster. Bearing this in mind, activities may include:

- Assessing risks to livelihood in relation to different kind of hazards;
- Elaborating plans for livelihood protection and recovery;
- Strengthening knowledge capacities, skills, experiences and linkages to protect, preserve and enrich community livelihoods;
- Promoting resilient farming practices and inputs (e.g. use of drought resistant seeds and crops, short cycle cultivation, livestock vaccination, adaptation of agriculture calendars to climate change scenarios, efficient irrigation, improvement of food transformation, conservation and stocking etc.);
- Running demonstration actions for the protection of livelihoods and assets;
- Improving infrastructure or supporting soil and water conservation measures, carried out through food- or cash-for-work or some other means;
- Reforesting and repairing of water catchments.
- Supporting the development of family DRR plans incorporating protection of livelihoods during emergencies.

### 3.10 DRR in different contexts

DG ECHO humanitarian assistance takes place in a multitude of contexts, from natural to man-made disasters and forgotten crisis. The following provides DRR considerations for three types of settings that present a specific set of challenges for programming: a) slow-onset hazards; b) urban contexts; and c) complex emergencies.

#### 3.10.1 DRR in slow-onset hazards

Slow-onset hazards refer to potentially disastrous events that do not emerge from a single, distinct event (for example, earthquake, cyclone or flood) but that manifest themselves gradually over time (several months or years), most often as a result of a set of factors. Their slow onset nature presents significant challenges for a standard humanitarian response – how many people must die or be severely affected before a major response is triggered? On the other hand, the slow onset nature provides an opportunity for DRR, in early response and implementing measures to avoid a catastrophic outcome.

Drought is one of the most important of the slow-onset hazards. Other examples are: desertification, environmental degradation, waterlogging, pollution, climate change effects (sea level rise and variations in temperatures and rainfall), and insect infestation.

The main lines of action for DG ECHO in the context of slow-onset disasters are:

- Life-saving humanitarian response, through sector actions (i.e. Nutrition, Health, WASH, Food Assistance, Protection), ensuring that these are fully risk-informed;
- Strengthening humanitarian stakeholders' emergency preparedness;
- Supporting recovery through protection of livelihoods.
- Supporting community-based preparedness interventions, including small-scale and innovative actions for replication purposes and building evidence of successful actions;
- Providing technical support, dissemination of good practice, awareness raising and advocacy.

In the case of drought, a combination of factors, including crop failure and severe water and food shortages, will determine whether it results in a disaster. The causes are often complex, and include political, economic and social factors. Conflict and/or insecurity may worsen an already food insecure context. Approaches to mitigating the impact of drought are well documented. The main interventions will focus on a range of strategies to cope with food insecurity and famine, and bolster greater resilience of communities, such as:

- Monitoring drought and vulnerability;
- Supporting preparedness planning and contingency planning;<sup>35</sup>
- Protecting food production and livelihoods (including key assets);
- Preserving food (for example, through establishing seed and food storage/banks);
- Targeted food assistance;
- Treat pockets of acute undernutrition;
- Safeguarding and preserving water supplies;
- Preserving livestock when this is the main livelihood option;
- Seeking to limit the likelihood of future disaster through longer-term initiatives.

Identifying the critical stage when to intervene during a slow-onset hazard may be challenging. Close cooperation/coordination with existing early warning systems is essential to agree on the key 'triggers' for early action. The drought cycle management approach supported in the Horn of Africa has provided valuable lessons in respect to the principle of 'doing the right thing at the right time'.

### 3.10.2 DRR in urban contexts

Accelerated urbanisation is taking place in different parts of the world, with more than half of the world's population now living in urban areas. This upward trend is expected to continue. This urban growth is accompanied by a high degree of vulnerability of much of the urban population, due to informal settlement patterns, limited access to land and security of tenure, and poor or non-existent urban infrastructures. Consequently, it is likely that there will be an increasing requirement for humanitarian action and an associated requirement for DRR in urban contexts.

*“Practice has shown that urban culture demands specific approaches that often do not correspond to methodologies and tools that have proven efficient in rural or semi-urban contexts.”*

Practice has shown that urban culture demands specific approaches that often do not correspond to methodologies and tools that have proven efficient in rural or semi-urban contexts. Although some of the tools, approaches, policies and practices have already been adapted from rural to urban areas, their scaling-up and the development of new tools to fill gaps is also essential to enhance the impact and efficiency of humanitarian assistance in urban areas and reach the most vulnerable.

The following are examples of how DG ECHO may support risk reduction in the urban context:

- Promoting citizen participation and local organisations addressing disaster risk;
- Advocating with local decision-makers for risk informed local planning and budgeting;

<sup>35</sup> - OCHA, « *OCHA and Slow-Onset emergencies* », *OCHA Occasional Policy Briefing Series*, n°6, 2011.

- Conducting or updating urban risk assessments, and disseminating findings to the public;
- Assessing the safety of school and health facilities and supporting upgrading where needed;
- Supporting small-scale mitigation works, such as improving flood drainage and providing evacuation shelters;
- Promoting local awareness and disaster risk reduction in education programmes;
- Strengthening early warning systems and emergency management capacities;
- Contingency planning and simulation exercises involving all stakeholders.

DG ECHO is supporting the global campaign “Making Cities Resilient: ‘My City is getting ready!’”, by boosting the signing up of more local and national governments to apply the ten essential actions checklist, city-to-city learning, producing guidelines and trainings, and applying the Local Government Self-Assessment Tool (LG-SAT).

### 3.10.3 DRR in complex emergencies

Complex emergencies are linked to a range of hazards, including armed conflict. Natural hazards and conflict are often strongly interlinked. Conflict can increase the risks associated with natural hazards while natural hazards (such as drought) may exacerbate or generate conflict. Conversely, some disasters triggered by natural hazards (such as the 2004 Tsunami in Aceh, Indonesia) may contribute to a reduction in conflict.

Complex emergencies can lead to a deterioration in socio-economic conditions and hence to increased vulnerability to hazardous events. Rapid response mechanisms are often disrupted by conflict, hindering both immediate relief efforts and longer-term recovery efforts.

*“Complex emergencies can lead to a deterioration in socio-economic conditions and hence to increased vulnerability to hazardous events.”*

In accordance with the Do No Harm principle, humanitarian action in complex emergencies should be based on a comprehensive risk analysis, which considers all relevant hazards, including those relating to conflict. Factors to consider include the intensity of the conflict, displacement of population, access to local resources, humanitarian space and access, the presence of combatants, neutrality and the quality of governance. It is important to

analyse both existing and longer-term risks, including the effects of climate change and governance.

In some complex emergencies, the reduction of risks associated with natural hazards may be an acceptable entry point, especially where the parties to the conflict have a negative perception of humanitarian organisations. Reducing risk due to natural hazards is generally perceived as ‘neutral’ and non-threatening politically.

While engagement at community level is critical to the success of risk reduction measures, in complex emergencies full participation may not be feasible.

Humanitarian actors will have to be realistic about expectations.<sup>36</sup>

DG ECHO requires that humanitarian interventions in conflict situations are designed and implemented by agencies possessing the requisite technical competence and strong capacity in the specific areas of conflict covered, including knowledge of the socio-economic dimensions, conflict dynamics and local environment. Alliances between specialists in different fields are to be promoted.

Specific conflict reduction measures should only be designed and implemented by those with the appropriate skills and mandate.

Carefully designed, conflict sensitive risk reduction measures may contribute to a reduction in conflict as well as reducing the risk posed by natural hazards.

### Box 9: Defining complex Emergencies

*A complex emergency can be defined as “a humanitarian crisis in a country, region or society where there is total or considerable breakdown of authority resulting from internal or external conflict and which requires an international response that goes beyond the mandate or capacity of any single agency and/or the on-going United Nations country program.” (IASC, 1994).*

*“Some disasters can result from several different hazards or, more often, to a complex combination of both natural and man-made causes and different causes of vulnerability. Food insecurity, epidemics, conflicts and displaced populations are examples” (IFRC).*

<sup>36</sup> - See ACF-International, *Disaster Risk Management for Insecure Contexts* (2011).

## Case Study 14: Grazing agreements build peace between communities and reduce the impact of drought, Northern Kenya

In many pastoralist environments people are struggling for survival, with access to very limited natural resources and an associated high degree of inter-ethnic conflict, particularly in times of drought. Effective drought management requires safe access to water and grazing resources. Such access requires reciprocal grazing agreements between the groups in conflict. In such situations, relief and development projects have to be implemented in a conflict-sensitive way.

For centuries Kenyan Gabra clans have been using Borana land in Ethiopia as a 'fall back' region during droughts. The Borana could in turn access the wide grazing resources and trade routes in Kenya during normal years. During the last decade, these arrangements were cancelled and a difficult and dangerous period was experienced for both ethnic groups.

In 2009, Veterinaires Sans Frontieres Germany (VSF) began a drought management project in one such area, the volatile Kenyan-Ethiopian border areas. A necessary condition for the start of the project was the cessation of hostilities between the Gabra and Borana and some sort of peace agreement.

The negotiation of reciprocal resource agreements is a traditional risk reduction approach among neighbouring pastoralist communities. VSF has adapted this traditional approach into a series of 10 participatory steps that lead to a resource sharing action plan with clearly defined rules and regulations. Using a facilitation process that incorporates water infrastructure rehabilitation, peace building and Do No Harm tools, the resource agreements have proved to be highly successful in building resilience to drought and reducing conflict.

In this project, VSF organized inter-community meetings in which underutilized resources were identified, trust was built between communities, and future options were identified. This led on to inter-community strategic planning. A reciprocal resource agreement between the Gabraa and Borana was drafted, ratified and signed in 2010 by all in the presence of key community members, political leaders and government representatives. The Gabraa dry season reserve around Hurri Hills had pasture but no water, whilst the Borana of Dillo woreda had water but no pasture. The two communities agreed to share their resources, leading to increased resilience to drought, reduced livestock mortality and improved

trade. Implementation and monitoring is through regular community meetings and outreach by VSF.

The success of this approach is illustrated by the series of agreements that have now been established through the DG ECHO funded VSF Cross Border Drought Preparedness Project (ICRD) implemented in Northern Kenya (Marsabit North District) and Southern Ethiopia (South Omo and Oromiya Zone): in Ethiopia the Gabraa and Hammar communities developed a reciprocal grazing agreement that has been instrumental in enhancing pasture and water resource sharing around the Sabare, Minongerti and Hado areas; conflicts between the Dasanach and the Gabraa had previously meant that the grazing in Sabare, Darate and Bulluk was only sporadically utilized, but with reciprocal grazing agreements now in place these areas are being used fully; the Dodoth community of Uganda and the Turkana community of Kenya established reciprocal grazing agreements by first mapping their entire districts to identify potential grazing areas that were prone to conflicts and had limited accessibility. Naporoto, Loile, Pire, Matakul, and Kalopeto then became much more accessible to the communities bordering these areas after the agreement was signed.

Looking to the future, these intercommunity resource agreements will need to be linked to sub-national, national and regional resource management efforts. In February 2010, VSF facilitated an intergovernmental meeting between the Kenyan and Ethiopian governments. The meeting concluded with the governments agreeing to open the border and to reinforce the reciprocal grazing agreements developed by both communities, with stiff penalties enforced for contraventions. In addition, the two governments agreed to have frequent meetings in order to share information and to improve the coordination of their actions across the border. VSF is working towards a greater integration of reciprocal resource agreements with planned grazing (holistic rangeland management) and participatory rangeland management.

This 'Do No Harm' approach supports agencies in their relief and development work while minimizing the risk that their interventions worsen existing conflicts. It illustrates how a multi-hazard risk analysis and risk-informed programming can contribute to lasting benefits for the affected communities.



# 4. Annexes

## 4.1 Acronyms

<b>AGIR</b>	Alliance Globale pour l'Initiative Résilience
<b>CBDRR</b>	Community Based Disaster Risk Reduction
<b>CCA</b>	Climate Change Adaptation
<b>CE</b>	Complex Emergency
<b>CERT/CLO</b>	Community Emergency Response Team and Child Led Organization
<b>CMAM</b>	Community based Management of Acute Malnutrition
<b>COM</b>	European Commission Communication
<b>CSO</b>	Civil Society Organisation
<b>DG</b>	Directorate-General
<b>DIPECHO</b>	Disaster Preparedness ECHO
<b>DRR</b>	Disaster Risk Reduction
<b>EU</b>	European Union
<b>EWS</b>	Early Warning System
<b>FPA / FAFA</b>	Framework Partnership Agreement / Financial and Administrative Framework Agreement
<b>GIS</b>	Geographic Information System
<b>HFA</b>	Hyogo Framework for Action
<b>HIP</b>	Humanitarian Implementation Plan
<b>IEC</b>	Information Education and Communication
<b>INGO</b>	International Non-Governmental Organisation
<b>IPCC</b>	Intergovernmental Panel on Climate Change
<b>LRRD</b>	Linking Relief, Rehabilitation and Development
<b>NDMO</b>	National Disaster Management Organisation
<b>NGO</b>	Non-Governmental Organisation
<b>PSNP</b>	Productive Safety Net Programme
<b>SHARE</b>	Supporting Horn of Africa Resilience
<b>SWD</b>	Commission Staff Working Document
<b>UNISDR</b>	United Nations International Strategy for Disaster Reduction
<b>VCA</b>	Vulnerability and Capacity Assessment
<b>WASH</b>	Water, Sanitation and Hygiene

## 4.2 Terminology

*Please refer to UNISDR's 2009 Terminology on Disaster Risk Reduction for a more complete glossary of key terms.*

**Climate Change Adaptation:** The IPCC (Inter-Governmental Panel on Climate Change) defines Climate Change Adaptation as “Adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities. Various types of adaptation can be distinguished, including anticipatory and reactive adaptation, private and public adaptation, and autonomous and planned adaptation” (IPCC TAR, 2001 a).

**Disaster:** A serious disruption of the functioning of a community or a society involving widespread human, material, economic or environmental losses and impacts, which exceeds the ability of the affected community or society to cope using its own resources.

**Disaster Risk Reduction (DRR):** The concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events.

**Hazard:** A dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage.

**Mitigation:** The lessening or limitation of the adverse impacts of hazards and related disasters.

**Preparedness:** The knowledge and capacities developed by governments, professional response and recovery organisations, communities and individuals to effectively anticipate, respond to, and recover from, the impacts of likely, imminent or current hazard events or conditions.

**Prevention:** The outright avoidance of adverse impacts of hazards and related disasters.

**Resilience:** The ability of a system, community or society exposed to a hazard to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions.

For EU External Action, resilience is the ability of an individual, a household, a community, a country or a region to withstand, to adapt to, and to quickly recover from stresses and shocks.

**Risk:** The combination of the probability of an event and its negative consequences.

### 4.3 Advocacy Guidance Table

TARGET	OBJECTIVE(S)	MESSAGE/ CONTENT	MEANS	TIPS
<b>Beneficiaries</b>	Understanding of beneficiaries about DRR and DG ECHO	What is DG ECHO and why it funds DRR in their community	VIP visits Monitoring visits Through partners during implementation	Respectful attitude, listening capacity, simple language
<b>Public (within and outside the EU)</b>	Increase legitimacy of DG ECHO by explaining why and what it does in DRR to European taxpayers and the general public of the host country	Why DRR is important and how DG ECHO funds it Testimonies, successful stories of DG ECHO DRR initiatives	VIP visits Media incl. Web/Social DG ECHO partners DG ECHO Communications products through HQ and Regional Information Officers (videos, photos, exhibitions)	Language adapted and not technical Communication professional needed Good Media contacts
<b>Authorities and DRM institutions in target countries</b>	Tool for advocacy Sustainability and up-scalability of DRR actions Increase awareness about DRR and involvement in DRR initiatives Improve coordination	- Importance of DRR - Good practices and tools designed by DG ECHO actions - Importance of ownership of DRR by targeted communities/ authorities - Success stories involving DRM Systems that promote ownership/ replication	Meetings, presentations, partners institutional activities Promotion of DG ECHO partners DG ECHO partners Web/Social media	DRR achievements depend on their commitment and capacities
<b>Development donors and organisations</b>	Coordination Integration of DRR in humanitarian and development programmes LRRD / Transition DG ECHO as a reference donor in DRR	Importance of DRR for sustainable development LRRD basic concepts DG ECHO's LRRD good examples DG ECHO activities and possibilities of connection/ consideration in development (LRRD)	Presentations in events / meetings Discussions Briefings Web/ Social Media	DRR terminology, basic principles of humanitarian aid and LRRD are often unknown or patchy by development donors. These basic messages should be reinforced
<b>Other DRR and humanitarian stakeholders</b>	Coordination Increase effectiveness through experience sharing DG ECHO: a reference donor in DRR Greater integration of DRR in programming	Who, what, where and how DRR is implemented and integrated Specificities of DG ECHO's mandate, policy and strategies on DRR DG ECHO's examples of integrating DRR in humanitarian response	Presentations in events and meetings. Discussions Technical forums and communication platforms Web/Social media (incl. Reliefweb, IRIN, Preventionweb, etc.)	Technical terms are understood, so generic messages to be avoided (e.g. importance of DRR, etc.)
<b>Other EU institutions and Member States</b>	EU Delegations empowered to communicate about DG ECHO Coordination and LRRD/ Transition Integration of DRR in EU development and thematic programmes	Why DRR is important and how DG ECHO funds it Testimonies, successful stories of DG ECHO DRR initiatives Importance of DRR for sustainable development DG ECHO and other EC Departments activities and possibilities of connection/ consideration in development (LRRD)	DG ECHO DRR Policy Regular meetings and communication DG ECHO focal points in EU Delegations Press Information Officers (PIOs) in the Delegations Regional Information Officers (RIOs) Web/Social Media	DRR terminology is often unknown by EU institutions LRRD / Transition needs to be promoted at political and practical levels
<b>DG ECHO partners</b>	Mutual understanding of respective DRR mandates and objectives between DG ECHO and partners Partners understand their role in communication / advocacy	DG ECHO and partners policies, strategies and interventions on DRR Importance of joint communication rules and terms to be considered in DG ECHO-funded interventions, including in visibility and communication	DG ECHO DRR Policy Periodic communication Meetings, monitoring visits Humanitarian Implementation Plans, Single Forms, reporting RIO 's and communication officers from partners Sharing/interchange of communications products Web/Social media	A better and more intensive communication between DG ECHO and its partners increase the coherence of DG ECHO's funding and its support by European taxpayers
<b>DG ECHO in-house</b>	Clarity about DG ECHO 's mandate and objectives in DRR DG ECHO HQ and field aware of achievements and progress in the field Technical Assistants in the field are able to share basic messages about DRR	Successful DRR stories and achievements Well documented data about DG ECHO 's programming and engagement in DRR	DG ECHO DRR Policy Fluid communication HQ-Field Offices regarding operational results Communication products for wider public (videos, factsheet, photos, web stories) also informing operational desks Briefing of colleagues and translation in practice Briefing RIOs	A shared and consensual terminology, policy and strategy on DRR

## 4.4 Indicators

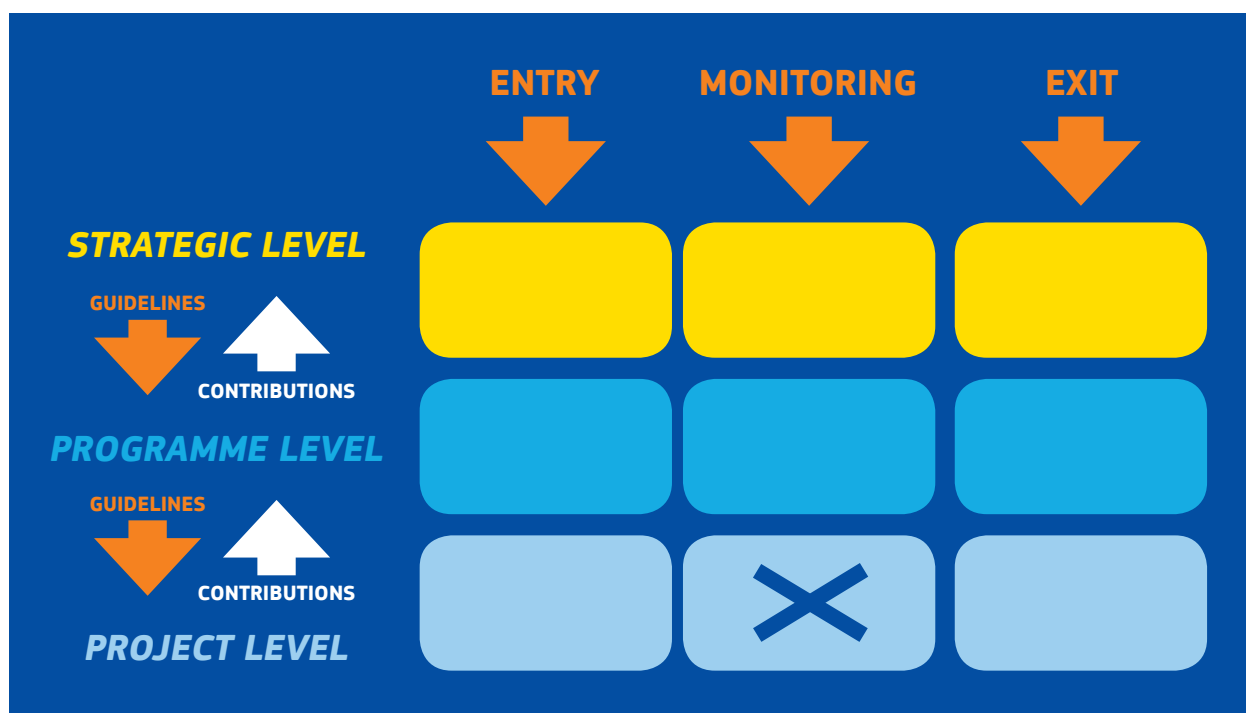
**Examples are given below of indicators for monitoring results of Disaster Preparedness actions in the main DG ECHO DRR/DP sub-sectors (see section 3.9)**

Three levels of indicators may be considered:

- **Strategic indicators** at institution level (e.g. UNISDR/HFA);
- **Programme indicators** (e.g. DIPECHO HIPs or Drought preparedness programme);
- **Project indicators** (e.g. DIPECHO projects).

For each of these levels, there are three families of indicators linked with the strategy /programme/ project cycle management:

- Entry strategy / opportunity indicators links with the beginning of the cycle (Global assessment, entry points, baseline study);
- Result or outcome indicators, linked with the monitoring process;
- Indicator of progress linked with the end of the cycle.



### Example of a Specific Objective:

The objective: the population in Area X is aware of the disaster risk in their area and are prepared to react in an adequate fashion.

- *Indicator:* Percentage (%) of population perceiving that they are in disaster-prone area and prepared to react adequately;
- *Source of Verification:* Baseline survey in high risk area at the beginning of the operation compared with the evaluation results of drill exercises (baseline survey and drill evaluation) at the end of the operation.

## Local disaster management components

**1.1** Number (#) of local committees (and/or brigades, following the context) have been established, trained, equipped, are functioning and recognized by rest of the community (or the relevant official body like municipality if it is stated by law).

**1.2** At least # communities have developed contingency plans that are validated and tested.

**1.3** At the end of the project, an EWS is functioning, appropriate and managed by the community and/or municipality/local authorities.

**1.4** At least X% of the beneficiaries know and are able to identify the EWS alarm and alert signals and can provide and receive information in an understandable and timely way.

If the focus of the results is an **EWS pretending to reach an effective response to warnings**: it is recommended to use 4 indicators to measure the following elements:

- Improvement of monitoring, analysis and forecasting of the hazards;
- Improvement of knowledge of the risks by exposed communities;
- Improvement of the communication or dissemination of alerts and warnings;
- Improvement of local capabilities to respond to the warnings received.

## Institutional linkages and advocacy

**2.1** After X months of the project, # municipal committees established, trained, equipped and operational.

**2.2** Municipal Committees developed contingency plans that are validated (also at national level) and tested.

**2.3** The participating Municipalities have assigned % of their next budget year planning for Disaster Preparedness activities (please note that this indicator is possible only in certain contexts).

**2.4** The Emergency Operation Centre (EOC) in # municipalities has been created, equipped and operational and each one of the participating members knows their role and responsibilities in the EOC.

**2.5** There is at least one coordination and communication formal protocol between (national) regional, municipal and communal commissions before the end of the project.

**2.6** Project contributes to a better comprehensive disaster Management action plan at national and municipality level. In a case of EWS see also how the Local EWS is compatible/ integrated within the national/regional one.

## Information, education, communication

**3.1** At the end of the project, at least X people (or X % of the beneficiaries) (adults and children) of the target communities know the risks of the (specified) hazard and know the contingency measures to adopt in case of disaster.

**3.2** X % of **indirect** beneficiaries knowledgeable of community contingency plans.

**3.3** X % of the schools in the intervention area have school emergency plans (please specify the local language when needed) and these have been validated by the parents, teachers, children and the rest of the community.

**3.4** Best practices, tools and experience on DRR in this project are identified, systematized and disseminated through X (please specify one common channel).

### Small-scale infrastructure and services

**4.1** At mid-term of the project, at least X% of the beneficiary communities have identified community infrastructures to be improved and/or constructed, to be used during emergencies and this has been agreed with the Municipality.

**4.2** # shelters have been improved, following the internationally accepted standards, to receive # people.

**4.3** % of the population better protected by mitigation works implemented.

### Constituting stocks of emergency

**5.1** In the X Municipality, an emergency stock (provide details on the specificities of the stocks) is available to cover the immediate needs of at least # of people during and in the immediate aftermath an emergency (following the Sphere standards) [and has a mechanism for restocking].

**5.2** At the end of the project, each Municipality has at least one space refurbished and equipped for warehousing and know how to manage it, and has the capacity to attend at least #% of the most vulnerable population identified.

### Livelihood and Economic Assets Protection

**6.1** At the end of the action X families from x communities have strengthened their knowledge capacities, skills, experiences and links to protect, preserve and enrich their livelihoods.

**6.2** At the end of the project, at least X DRR family plans and x business plans have been prepared incorporating protection of livelihoods and animal management during emergencies.

**6.3** At the end of the project, at least X families have been supported with demonstrative actions for the protection of livelihoods during natural hazard.

**6.4** At the end of the project X adequate livelihoods and assets protection infrastructures for flooding periods are available for at least x families and their demonstrative purposes are confirmed.



**Disaster Risk Reduction  
web page**



**<https://www.facebook.com/EuropeanCommission>**

**[https://twitter.com/eu\\_echo](https://twitter.com/eu_echo)**

**<https://twitter.com/kgeorgievaeu>**

