

## REGIONAL PASTORAL LIVELIHOODS RESILIENCE PROJECT (RPLRP)

### Review of Disaster Risk Contingency Planning in Pastoral Areas of Ethiopia, Kenya and Uganda





FINAL DRAFT REPORT

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LIST OF ABBREVIATIONS         Executive Summary         1. INTRODUCTION TO THIS CONTINGENCY PLANNING ASSIGNMENT         1.1 Background and Objectives of this Study         1.2 Scope of work         1.3 Approach and methodology used in the execution of the assignment         1.4 Expected Deliverables         1.5 Itinerary for the assignment         1.6 Organization and management of the assignment	23444.557733
Executive Summary       1         INTRODUCTION TO THIS CONTINGENCY PLANNING ASSIGNMENT       14         1.1 Background and Objectives of this Study       14         1.2 Scope of work       14         1.3 Approach and methodology used in the execution of the assignment       14         1.4 Expected Deliverables       16         1.5 Itinerary for the assignment       16         1.6 Organization and management of the assignment       17	3444.557733
1. INTRODUCTION TO THIS CONTINGENCY PLANNING ASSIGNMENT       14         1.1 Background and Objectives of this Study       14         1.2 Scope of work       14         1.3 Approach and methodology used in the execution of the assignment       14         1.4 Expected Deliverables       16         1.5 Itinerary for the assignment       16         1.6 Organization and management of the assignment       17	444.557733
1.1 Background and Objectives of this Study       14         1.2 Scope of work       14         1.3 Approach and methodology used in the execution of the assignment.       14         1.4 Expected Deliverables       10         1.5 Itinerary for the assignment.       10         1.6 Organization and management of the assignment       17	44.337733
1.2 Scope of work       14         1.3 Approach and methodology used in the execution of the assignment       16         1.4 Expected Deliverables       16         1.5 Itinerary for the assignment       16         1.6 Organization and management of the assignment       17	4.557733
1.3 Approach and methodology used in the execution of the assignment	5 7 7 3 3
1.4 Expected Deliverables       10         1.5 Itinerary for the assignment       10         1.6 Organization and management of the assignment       11	6 5 7 7 3 3
1.5 Itinerary for the assignment	6 7 7 3 3
1.6 Organization and management of the assignment1	7 7 3 3
	7 3 3
1.7 Risks, Assumptions and Mitigation Measures1	3 3
2. REVIEW OF DISASTER RISK CONTINGENCY POLICIES IN THE THREE COUNTRIES	3
2.1 Historical perspectives, trends timelines in disaster risk management in the IGAD Region	
2.2 IGAD and Disaster Risk Management in the Horn of Africa Region	9
2.3 Overview of disaster risk management and contingency planning policies in the three countries 20	C
2.3.1 Disaster Risk Management and Contingency Planning Policy Frameworks in Ethiopia	C
2.3.2 Disaster Risk Management and Contingency Planning Policy Frameworks in Kenya	2
2.3.3 Disaster Risk Management and Contingency Planning Policy Frameworks in Uganda	3
3. A REVIEW OF CONTINGENCY PLANNING PRACTICE AND CASE STUDIES	5
3.1 The place for contingency planning in the disaster risk management model	5
3.2Analytical framework for disaster contingency planning	6
3.3 Proposed contingency plan and planning model	9
3.5 Indicators for effective contingency plans and planning process	C
3.6.3 Case Studies of good practice disaster contingency planning and risk management	2
3.6.1 Institutionalization of CMDRR. PFSs and LEGS as part of disaster contingency planning	2
3.6.2 Improving animal health coordination in cross-border regions in the IGAD Region	3
3.6.3 Disaster Contingency Planning Guidelines for Woreda Level in Ethiopia	9
3.6.4 NDMA's Drought Contingency Fund Project (DCFP) in Kenya	C
3.7.5 Selected Regional/National-level disaster contingency financing mechanisms for El Nino 2015-	6
event	2
4. LESSONS LEARNED IN DISASTER CONTINGENCY PLANNING ACROSS THE IGAD REGION 44	4
5. TRAINING NEEDS ASSESSMENT RESULTS IN THE THREE COUNTRIES	3
5.1 Training Needs Assessment (TNA)	3
5.2 The five steps of developing a disaster contingency plan	6
5.4 Results of the disaster contingency planning training needs assessment	7
5.5 The importance of training and capacity building within the RPLRP and IDDRSI	C
6. TOWARDS A HARMONIZED REGIONAL CONTINGENCY PLANNING FRAMEWORK	1
6.1 The Sendai Framework for Disaster Risk Reduction	1
6.2 Rationale for a harmonized regional disaster contingency planning framework for IGAD Region 5	1
6.3 A Harmonized framework for disaster contingency planning in the IGAD Region	3
6.4 Operationalizing the regional disaster contingency planning framework	5
7. RECOMMENDATIONS	7
ANNEXES	3

### LIST OF ABBREVIATIONS

ASAL	Arid and Semi-Arid Lands
ATE	Appropriate Timely and Effective (Interventions)
AU-IBAR	African Union – Inter Africa Bureau for Animal Resources
CBOs	Community Based Organizations
CIDP	County Integrated Development Plan
CMDRR	Community Managed Disaster Risk Reduction
CoBRA	Community Based Resilience Assessment
CPF	Common Programming Framework
CPP	Country Programme Paper (led to IDDRSI Regional Strategy Paper)
CSOs	Civil Society Organizations
DRR	Disaster Risk Reduction
EDE	Ending Drought Emergencies (Program is part of Kenya's Vision 2030 and is led by the
	NDMA)
EWS	Early Warning System
FAO	Food and Agricultural Organization of the United Nations
GDP	Gross Domestic Product
HH	Household
HoA	Horn of Africa
ICPALD	IGAD's Centre for Pastoral Areas and Livestock Development
IDDRSI	IGAD's Drought Disaster Resilience and Sustainability Initiative
IFPRI	International Food
IGAD	Inter-Governmental Authority on Development
ILRI	International Livestock Research Institute
IR	Inception Report
NDCF	National Drought Contingency Fund
NDMA	National Drought Management Authority
NGOs	Non-Governmental Organizations
PFE	Pastoralist Forum Ethiopia
PFSs	Pastoral Field Schools
RPLRP	Regional Pastoral Livelihoods Resilience Project
SMAT	Stakeholder Mapping & Analysis Tool
TADs	Trans-boundary Animal Diseases
UN	United Nations
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
USD	United States Dollar
VCA	Value Chain Analysis
VCD	Value Chain Development
VICOBA	Village Community Bank
WB	World Bank

### **Executive Summary**

### **Overview of findings**

This report is an output of a consultancy assignment commissioned by IGAD's Regional Pastoral Livelihoods Resilience Project (RPLRP) to review policies and practices of disaster risk contingency planning in the three IGAD member countries of Ethiopia, Uganda and Kenya in order to draw lessons and develop a regional contingency planning framework. The regional disaster contingency planning framework should contribute to the strengthening of national disaster contingency planning mechanisms of IGAD member states by adding value through IGAD's comparative advantage of having a regional mandate across the international borders; filling regional and cross-border gaps identified in developing and implementing disaster contingency plans and providing technical and capacity support to member states in disaster contingency planning.

In practice, this would mean developing harmonized regional and cross-border policy frameworks as well as customized capacity building and support programmes for member states; developing commonly agreed upon institutional, legal, funding, implementation and M+E frameworks for disaster contingency planning initiatives in cross-border pastoral areas. Part of this consultancy was also to carry out a training needs assessment for disaster contingency planning. The results of this training needs assessment are presented in Section 5 of this report. The three countries were selected because of their progress in putting in place policy, institutional, implementation and to some extent funding frameworks for disaster risk management at national and lower levels, and therefore have lessons to benefit the wider IGAD Member States.

An independent consultant, working closely with RPLRP regional and national staff, carried out the assignment between January and March 2016, with no significant constraints or challenges experienced during the execution of the assignment. The methodology and activities included a review of existing literature and documents; consultation with diverse stakeholders in the three countries; undertaking a Training Needs Assessment (TNA), preparing draft and final reports and facilitating a regional workshop to validate the findings and map out the way forward in terms of developing a harmonized regional disaster risk contingency framework for the pastoral cross-border areas of the IGAD Region.

<sup>1</sup> Contingency planning for disaster risk in pastoral areas of the IGAD region is not new, as has been demonstrated by regional projects and initiatives aimed at addressing the effects of the current El Nino in the region. Different development partners e.g. IGAD's ICPAC and Climate Outlook Forums; the EU's Humanitarian Affairs and Civil Protection Office (ECHO); DFID's Regional Programming Initiatives; USAID's East Africa programs e.g. through Office of Foreign Disaster Assistance (OFDA) and the International Federation of the Red Cross (IFRC), among others in the region, as well as national governments in Ethiopia, Kenya and Uganda, have developed contingency plans for the current experience and lessons in disaster drought contingency planning, and a review of some of these has been made in this report (See Section 3 of this Report).

### Disaster contingency planning in the region and among inter-governmental institutions

There have been numerous disaster contingency planning initiatives, dating as far back as the mid-1980s, with the establishment of the Dutch and EU-funded Turkana District Drought Contingency Planning Unit (TDCPU), under the then Turkana Rehabilitation Project (TRP) in the North West of Kenya. Different Civil Society Organizations (CSOs), such as Oxfam and CORDAID and projects such as IGAD-FAO's Regional Initiative in Support of Pastoral and Agro- Pastoral Communities in the Horn of Africa (RISPA) and the EU-funded KRDP ASAL-Drought Management Initiative (DMI) in Kenya, have supported community disaster contingency planning, especially using the Community Managed Disaster Risk Reduction (CMDRR)

<sup>&</sup>lt;sup>1</sup> In this report, disaster risk contingency planning is defined by the consultant as the: "The process of planning actions based on multi-hazard risk assessment and analysis of the potential occurrence of a hazard or hazards, which actions are implemented before, during and after the hazard, in order to eliminate the chances of the hazard turning into a disaster or significantly reducing its effects and/or impacts on lives and livelihoods in a particular region or ecosystem. The result of such action is organized and coordinated courses of processes and events with clearly identified institutional roles and resources, information processes, and operational arrangements for specific actors at times of need. Based on scenarios of possible emergency conditions or hazardous events, it allows key actors to envision, anticipate and solve problems that can arise during crises. Contingency planning is an important part of overall preparedness. Contingency plans need to be regularly updated and exercised.

approach, which have provided valuable lessons and led to the adoption of these methods to be used by national and sub-national government agencies charged with the responsibility for contingency planning. The lessons documented in Section 4 of this report and the examples provided are only part of the disaster contingency planning story, but nevertheless provide the disaster contingency planning experience in the three countries.

In terms of inter-governmental initiatives to develop a harmonized regional and cross-border contingency planning framework and process among the three countries of Ethiopia, Kenya and Uganda, contingency planning has been limited to MoU-based harmonization of initiatives for conflict management and peacebuilding and cross-border animal disease surveillance and intervention, particularly with respect to livestock vaccinations across the borders. The El Nino and drought crisis in different parts of the IGAD region in the early part of this year provides an opportunity to examine and assess the relevance of disaster contingency planning and whether there is need for a harmonized regional and cross-border disaster contingency planning framework for pastoral and agro-pastoral areas in the IGAD Region.

From evidence in a recent USAID East Africa Resilience Learning Project (RLP) review report on the El Nino preparedness and response plans by different agencies in the region, it is clear that those agencies and development partners that have had regional contingency and response plans have been better prepared and the interventions have largely been effective<sup>2</sup>. The USAID report concludes that although the national contingency and response plans of Uganda, Kenya and Ethiopia had weaknesses, both in terms of the processes of developing them and the way they were implemented, institutional, contextual and to some extent political issues have had a greater role in determining success or failure in achieving planned objectives, than the their technical design and process of developing the contingency plans.

This underscores the importance of the main argument in this report that three factors, namely: (1) the quality of the contingency plans **(Content)**; (2) the way they are developed and implemented **(Process)**; and (3) the institutional, socio-economic and political environment **(Context)** in which they are developed and used, determine the usefulness of the disaster risk contingency plans (See details in Section 6 of this report).

### Disaster contingency planning is part of the disaster risk management framework

In reviewing policies and practices in disaster contingency planning in the three countries, it is not possible nor is it advisable, to delink disaster contingency planning from the overall disaster risk management framework (DRM) of each country. This is because disaster contingency planning is a process within the DRM framework. Overall, an effective disaster management framework consists of five main pillars which are:

- 1. Existence and effectiveness of multi-hazard Early Warning and Monitoring Systems that provide timely, credible and reliable information against which response plans can be sequenced and layered to achieve the required integration to be effective;
- 2. The availability of updated contingency plans developed according to globally accepted standards<sup>3</sup>;
- The availability of easily accessible contingency funds and other risk financing mechanisms, allowing the setting aside of "ring-fenced" funds and resources within national fiscal frameworks, to ensure rapid and timely response to the unfolding or emerging crisis;

<sup>&</sup>lt;sup>2</sup> USAID/East Africa Resilience Learning Project and the USAID/Ethiopia AKLDP (April 2016): El Nino in the Horn of Africa, 2015-2016- A Real-Time Review of the Impacts and Responses.

<sup>&</sup>lt;sup>3</sup> With respect to globally accepted processes of developing good disaster risk contingency plans, the process of development must go through five steps in sequence i.e. (i) **Preparation phase**-defining the parameters for contingency planning e.g. principles, definitions, etc.; (ii) **Analysis phase** -assessment of available information on hazards; vulnerability and capacity assessments (VCA); etc. iii) **Developing Contingency Plan phase** - strategy, goal and objectives of the contingency plan- sectoral focus, targets and target numbers, geographical coverage, etc.; activation of the disaster contingency plan; management i.e. the organization, institutional and management structure; staffing requirements; assessment; logistics; communication; mobilization of resources; media and information; etc.; coordination among different players and stakeholders and within key institutions participating; definition of roles and responsibilities, etc. and quality and accountability including guidelines, standards and principles of response; v) **Implementation Phase**- preparedness gap analysis and action plans; standard operating procedures or protocols; early warning, alert systems and triggers; logistics and program readiness; staffing and human resource requirements; resource mobilization; training and simulation; linkages and communications; and (v) **Reviewing phase**- updating and evaluating the disaster contingency plan and evaluating the process of implementation during (real-time) and after the intervention.

- 4. The existence of effective and perpetual institutions for decision-making and planning as well as coordination in order to ensure alignment, harmonization and coordination of disaster contingency and response plans across sectors and agencies in any particular country and across international borders; and
- Capacity of implementing agencies to effectively and efficiently implement planned interventions in a timely fashion, often in consortia or partnership between local NGOs/CBOs/traditional institutions/Government departments and INGOs/UN Agencies. These five pillars must all be strong for a disaster risk management framework to work effectively.

### A review of disaster contingency policies and practice in the three countries

A review of disaster contingency planning processes and plans, such as this one, has to be done within the overall disaster risk management policy framework and it is noted that in all the three countries, disaster risk management policies have been developed, with all of them having been finalized between 2011 and 2015. In Ethiopia, the national policy and strategy on disaster risk management was finalized in July 2013, with its vision being enhancement of capacity of households, communities and DRM systems in rural and urban areas, to withstand the impact of hazards and related disasters in order to systematically reduce the dangers and damages caused by disasters by 2023. In Uganda, the National Policy for Disaster Preparedness and Management was prepared in 2011 and finalized in 2013. The mission of this policy is to create a useful guide through which Disaster Preparedness and Management is included in all the development processes, focusing on saving lives, livelihoods and the country's resources. In Kenya, a draft DRM policy exists and provides a framework for establishing, streamlining and strengthening disaster risk management institutions, coordination frameworks, partnerships, and regulations in Kenya.

Disaster risk management, as presented in the above national policies, encompasses a full continuum from prevention, preparedness, relief and rehabilitation, back to mitigation and prevention, although the Uganda policy seems to emphasize the management of disasters as opposed to emphasizing the management of their risks. Nevertheless, it is hoped these policies, if translated into comprehensive DRM strategies, programs, projects and activities, would increase and sustain resilience of vulnerable communities to hazards, precipitating a radical shift from the short term relief responses to sustainable development and continual risk reduction and preparedness.

A scrutiny of the three national disaster risk management policies shows that they were developed through government-led processes; involving the review of relevant sector and DRM-related policies and documents; engagement of diverse stakeholders in a multi-agency; multi-sector and multi-disciplinary fashion and envisaging a coordinated approach to disaster risk management. Important features of the policy documents include the move away from disaster management-based systems, which focus on managing individual hazard or disaster events, to comprehensive disaster risk management systems that focus and emphasize the multi-hazard and multi-sector approaches to DRM, to be anchored in requisite national and sub-national laws and directives; enabling the establishment of appropriate and effective DRM institutional and organizational structures at all administrative levels right from community structures.

These policies are discussed in detail in subsequent sections of this report. Suffice it to say that the development of these policies not only represents significant progress in the quest for effective and efficient management of the predominantly climate-related risks and hazards in the region, and their potential to turn into disasters, but also is an attempt to systematically and over time eliminate emergencies and crises associated with such disasters. The provision of legal instruments would legitimatize and empower relevant institutions established to implement disaster risk contingency planning processes and to develop appropriate and effective contingency plans among IGAD member states and at the regional level, with a focus on cross-border pastoral areas.

Across these member countries, the Inter-Governmental Authority on Development (IGAD), established in 1996 by its Member States to coordinate and harmonise policies in the areas of socio-economic, agricultural development, environmental protection and political and humanitarian affairs in the Region, recognizes that alleviation and mitigation of humanitarian crises is an integral part of an overall strategy for sustainable

development. Through its Drought Disaster Resilience and Sustainability Initiative (IDDRSI) Strategy and projects such as the Regional Pastoral Livelihoods Resilience Project (RPLRP) and the Drought Resilience Livelihoods Support Project (DRLSP) supported by the World and the AfDB respectively and through initiatives of its specialized institutions such as the Climate Prediction and Application Centre (ICPAC); Centre for Pastoral and Livestock Development (ICPALD) and the Conflict Early Warning and Response Mechanism (CEWARN), among others, provides the unique and strategic avenue through which the three IGAD member states could develop a harmonized regional and cross-border disaster contingency planning framework.

In terms of the current national institutional and legal frameworks for contingency planning and practice in the three countries, the following seem to be the results of this review:

- In Ethiopia, multi-hazard disaster contingency planning takes place right from the community (Kebele) to the woreda (district), zonal, regional and federal level under the new Disaster Risk Management Commission, and follows a systematic, comprehensive and harmonized process in all disaster prone areas, particularly the lowland ASAL areas of the country. This practice is based on the DRM policy, which has enabled the establishment and reorganization of government institutional structures, to ensure effective and efficient frameworks for reducing disaster risk and damages caused by disasters, through interventions before, during and after the hazard or disaster, implemented in a timely manner, with involvement of all concerned actors, in both rural and urban areas. The DRM system is informed by disaster risk profiling information. Disaster profiles that contain information on each hazard, vulnerability and capacity to cope as well as other related baseline information are developed at the *Woreda* level and organized into a database, periodically updated and put into practice. A Disaster Risk Management Strategic Program and Investment Framework (DRM SPIP) has been developed to serve as a guiding document for designing and implementing disaster risk management related plans and programs in a coordinated, multi-sector and multi-agency manner;
- In Kenya, disaster contingency planning is undertaken under the National Drought Management Authority (NDMA), in the case of drought, and by sector and by County or on an *ad hoc* basis, in the case of other hazards. The National Disaster Operation Centre (NDOC) under the Ministry of Interior and Coordination of National Government is perceived to be responsible for rapid on-set hazards, such as El Nino events, big accidents, landslides, fires and conflict-related emergencies, among others. There are also sector-based contingency planning frameworks, for example those under the Agriculture Sector; the UN-led humanitarian food and nutrition security sector and the contingency planning frameworks adopted by major donors in the region and country, now using the *Crisis Modifier*<sup>4</sup> and the *One Programme Approach*<sup>5</sup>. With respect to drought contingency planning, there is a comprehensive process that has been developed right from community level, as part of the Community Managed Disaster Risk Reduction (CMDRR) process, and is linked to the County and National Drought Contingency Planning process, with a strong link to the current Drought Contingency Fund Project (DCFP) under the National Drought Management Authority (NDMA), and which provides vital lessons for the establishment of the National Drought Contingency Fund (NDCF) by 30<sup>th</sup> of June 2016. But no overall, multi-hazard contingency planning framework currently exists in Kenya.
- In Uganda, disaster contingency planning processes are coordinated under the Office of the Prime Minister and are guided by the existing national policy discussed earlier. However, the practice of disaster contingency planning coordinated by government is less clear and concerted when compared with Ethiopia and Kenya. But development partners, particularly CSOs such as Oxfam and ACTED, among others and UN Agencies, mainly FAO, UNICEF and WFP, have implemented contingency planning, mainly focused

<sup>&</sup>lt;sup>4</sup> The Crisis Modifier is an important funding instrument that enables on-going resilience programmes or initiatives to access additional funding support for rapid, early response to hazards such as drought in pastoralist areas, while also enabling coordination and coherence between the long-term resilience programs and humanitarian activities.

<sup>&</sup>lt;sup>5</sup> The One Programme Approach simply means that an on-going resilience-building programme does not need to have a development and humanitarian divide. Rather, when emerging crises occasion the need for additional funding and human resources, rapid deployment of these resources is made possible within the same programme implementation structures, only expanding or contracting in size of funding and activities, depending on the status of the crisis in terms of its recession or escalation.

in the North Eastern part of Uganda in the Karamoja Region. It is to be noted that in Uganda, drought and disaster risk is associated with the Karamoja Region, which may not attract a lot of political and socioeconomic attention, at least for now, may be because of wrong perception that ASALs, which dominate the region and are prone to disasters, are only a small fraction of the country's landmass and that pastoral and agro-pastoral livelihood systems contribute little to the national economy. Also, some political leaders consulted from the region pointed to the fact that political representation of the region is not as strong as it used to be. But overall, good progress is being made among all stakeholders in Uganda, to give priority to disaster risk management initiatives, including disaster contingency planning.

### Practice of disaster contingency planning in the three countries

In terms of practice, it is still not clear why a combination of good early warning systems and availability of good quality contingency plans is not yielding more rapid and timely national-level response to emerging crises related to hazards such as droughts. While improvements are evident in terms of linking early response to early warning for example in Kenya's drought risk management system, there is still significant time lag between early warning and early response in the three countries, bringing into question the value addition that contingency planning brings to overall disaster management. A question to ask would be: "Is contingency planning required if the EWS is effective and triggers response even in the absence of contingency plans? Where is the value of contingency plans and how much is this value in monetary terms?"

Ideally, the value of contingency planning would largely be in enabling readiness of the disaster response system before, during and after the event and therefore lessening the time between early warning and response; hastening recovery and the response action leading to a reduction in the severity and length of the impact of the hazard. But how much lead time between early warning and early response is sufficient to make a difference? If the answer to this question was straightforward, then disaster contingency planning would probably be undertaken with stronger conviction among IGAD member states. So, there is need to build an evidence base for the benefits of contingency planning. For now, there is positive evidence of the economics of early response, but early response has not always come as a result of the availability of disaster contingency plans.

According to some key informants in the three countries<sup>6</sup>, early response in some cases has come as a result of the political and socio-economic importance of the locations affected by the hazard, necessitating the government to quickly mobilize or even reallocate funds from other sources to address the crisis faster e.g. in the case of the current drought in the highlands of Ethiopia; or ability of locally operating institutions having strong capacity to quickly intervene, as was the case with UN Agencies i.e. UNICEF, FAO and WFP using funding from DFID Uganda to intervene during the 2015-2016 El Nino period in Karamoja region of Uganda. Or even the flexibility of on-going programs in disaster prone areas, in terms of their funding instruments, based on the *expand-contract* or *crisis modifier*-type funding, e.g. under the Hunger Safety Nets Program and the Drought Contingency Fund Project (DFCP) in northern Kenya, where in both cases, extra funding and resources were provided to this on-going programs to address the imminent El Nino event, without the extra funding or resources being necessarily related to contingency planning or financing. If this is true, it means that most ASAL areas, often without socio-economic and political clout, with little presence of competent and strong disaster response agencies, coupled with funding not based on the "one-program approach" that strongly links relief and development budgets, will always experience delayed response to Early Warning signals.

In Kenya for example, it has taken the government nearly two decades to see the need to establish a National Drought Contingency Fund (NDCF), even though numerous studies now show that early response to Early Warning signals saves livelihoods, lives and money<sup>7</sup>. In Ethiopia, a review of the PSNP in pastoralist areas in 2014 reported that limitations, particularly with respect to contingency funding in the system in the lowlands, included: (i) delayed release of the contingency fund from federal to regional levels; (ii) insufficient

<sup>&</sup>lt;sup>6</sup> Personal Communication from Howard Standen (DFID), 29<sup>th</sup> January 2016 in DFID Uganda Office; Luigi Luminari, Technical Advisor, KRDP-ASAL DM/NDMA, Kenya on 12<sup>th</sup> of January 2016 at NDMA Kenya offices and Tarake Aga, DRM Assessment Expert, Disaster Risk Management Commission, Ethiopia on 19<sup>th</sup> January 2016

<sup>&</sup>lt;sup>7</sup> Vento, C.; Fitzgibbon, C.; Shitarek, T.; Coulter L.; and Dooley O. (2012): The economics of early response and disaster resilience: Lessons from Kenya and Ethiopia

time to spend the fund before the end of the financial year; (iii) routine use of *Woreda-level* contingency budgets to correct PSNP targeting exclusion errors, leaving little money to deal with emergencies should they arise; and (iv) slow response to emergencies, with triggering by informal reports and communications that supplement the official early warning system.<sup>8</sup> In Uganda, there is no comprehensive national disaster contingency planning and operational framework, which includes a lack of a National Disaster Contingency Fund, although various financing mechanisms have been suggested and to some extent implemented in Northern Uganda, for example under the World Bank-supported Northern Uganda Social Action Fund Phase III<sup>9</sup>.

### Good practice case studies in disaster contingency planning in the IGAD Region

There have been successful contingency planning and cross border case studies and lessons/initiatives in the three countries and these provide vital building blocks for future disaster contingency and cross border programming in the three countries. These include the following case studies reviewed and documented during this assignment, and presented later in detail in Section 3 of this report.

- 1. The *Kebele, woreda, zonal, regional and federal* multi-hazard disaster risk profiling an contingency planning framework in Ethiopia's lowland areas;
- 2. CMDRR, PFSs and support to community-owned and managed Village Community Banks (VICOBAs) approaches across borders;
- 3. Cross Border Animal Healthcare Policy Harmonization across member state countries;
- 4. Contingency plans for different cross-border communities to utilize the large dams bulk water infrastructure developed by the Ugandan Government in the Karamoja Region;
- 5. The use of Livestock Emergency Guidelines & Standards (LEGS) Project for disaster contingency planning;
- 6. The Euro 10m Drought Contingency Fund Project (DCFP) in Kenya, currently funded by the European Union;
- 7. DFID, USAID and ECHO-funded regional contingency financing mechanism.

These case studies are further discussed in Section 3 of this report.

### Lessons from implementing contingency planning and disaster risk management initiatives

The following lessons have been identified with respect to policies and practice of disaster contingency planning in Kenya, Uganda and Ethiopia, although it should be noted by the reader that these are by no means exhaustive:

1. With respect to cross-border disaster contingency planning in pastoral areas of IGAD member states, member countries have national government-led processes and approaches but these are not harmonized across IGAD-member states. For example, in Ethiopia guidelines exist for disaster contingency planning right from the community to the federal level and these follow a multi-hazard approach. In Kenya, the focus of contingency planning is on drought and guidelines seem to be available only at county level. So national sector ministries for example, do not have guidelines from the National Drought Management Authority (NDMA) on how to undertake drought contingency planning, let alone adopting a multi-hazard approach. In Uganda, there are no government-led guidelines and standards for stakeholders to undertake disaster contingency planning. The lesson here is that harmonization of policies, institutional frameworks and implementation of cross-border disaster contingency planning initiatives in cross-border pastoral areas of the IGAD region is important for effective disaster risk management in the region, bearing in mind that most climate-related hazards transcend international borders and boundaries;

<sup>&</sup>lt;sup>8</sup> Ibid.

<sup>&</sup>lt;sup>9</sup> DFID (2013): Strategic Paper on Enhancing Resilience in Karamoja, Uganda- A business case and summary

- 2. IGAD member states and their development partners have country-specific disaster risk management frameworks but regional institutions such as IGAD; the East African Community (EAC) and the African Union (AU), among others have a comparative advantage in regional and cross-border programming, including disaster contingency planning. This is largely due to their mandates and ability to effectively program with two or more Member States in their cross-border pastoral and agro-pastoral areas, for which these regional institutions should take advantage. The lesson is that IGAD and other regional integration institutions, such as the East African Community (EAC) have a vital role in cross-country and cross-border disaster contingency planning and in supporting initiatives across two or more countries, with more effective capability than any of the Member States undertaking the same initiatives each on their own, hence the need for harmonized frameworks for cross-border disaster contingency planning in the pastoral areas of the IGAD region;
- 3. An adequately supported and resourced IGAD Secretariat, with its core functions and staffing underwritten by regular, predictable and multi-annual funding streams from national treasuries public financing mechanisms, is a prerequisite for effective and efficient coordination of regional and cross-border disaster contingency planning in the IGAD Region. Thus, IGAD member states' commitment to the coordination role of IGAD's IDDRSI platform and cross-border initiatives, ultimately determines the success in cross-border disaster risk management and contingency planning in the pastoral areas of the IGAD region;
- 4. Capacity building of communities in community-managed disaster risk reduction (CMDRR), which includes a large component of disaster contingency planning, makes a big difference in community level disaster preparedness (See Section 3 of this report). During this assignment, four different communities were randomly visited in Kajiado county in Kenya, two with CMDRR training and two without, although all four had each an NDMA field monitor collecting drought EWS data regularly. There was a clear distinction between the two trained communities and those without CMDRR trained. Those which had gone through the CMDRR narrated how they were trained by the NDMA and NGOs working in their area and showed the consultancy team their community action plans, which had helped them to make critical decisions during stress periods, including livestock mobility and animal disease risk avoidance, due to better community organization for disaster risk management.

The other two communities had little to discuss on setting aside community contingency resources for the "hard times". Although community-level disaster contingency planning was not the focus of this consultancy, the lesson from this field visit is that community mobilization and training for disaster risk management is vital in ensuring a significant level of disaster preparedness at the community level. Through approaches such as CMDRR, use of Livestock Emergency Guidelines and Standards (LEGS) and Pastoral Field Schools (PFSs), among others, communities can be equipped to provide the first line of defense against drought and other hazards. These methods and approaches could be used more, and should even be institutionalized within local governance frameworks in the pastoral areas of the IGAD region, as is happening now in Ethiopia;

5. Devolved and decentralized governance structures emerging in the IGAD member states are giving voice to citizens and opening up democratic space for growing community participation and engagement in development and humanitarian programming. Also, gender equity and inclusivity, as shown by the IDDRSI gender study in the IGAD region, is an important fact in effective pastoral area disaster contingency planning processes. This is because both women and men are affected by disasters but more often, women are affected more, both in terms of their practical as well as strategic needs.

These lessons are further discussed in Section 4 of this report.

## Results of the training needs assessment for disaster contingency planning in the three countries

As strongly put by RPLRP and government personnel of Oromiya Region of Ethiopia during this assignment, "organized, structured and formal disaster contingency planning is a relatively new approach to disaster risk management planning, both within Federal/Regional and Woreda Government Ministries Departments and Authorities (MDAs), as well as among pastoral and agro-pastoral communities, which have long been used to the development-emergency (food aid) modus operandi. As a result, a lot of training and capacity building is required at all levels for disaster contingency planning to begin having the desired and expected effect of improving disaster risk management in Ethiopia, and across borders with other IGAD Member States".

The above statement seems to have been echoed across the three countries and stakeholders consulted. Not only did most stakeholders (50 out of the 80 consulted) underscore the importance of customized and systematic training in disaster contingency planning but also in other components of disaster risk management. In addition, a majority of stakeholders expressed opinion to the effect that emerging issues such as devolution and decentralization affected the manner in which DRM and contingency planning policy, institutional and implementation arrangements have to be worked out, hence continuous training among staff of relevant stakeholders, including communities, is required. However, this consultancy has focused on identified training needs related to disaster contingency planning. The training needs assessment results are presented in Section 5 and in Annex 2 of this report but a summary of the training needs identified, generalized across the three countries and not necessarily in order of priority, is presented below. Needless to say that most individuals and groups consulted using Key Informant Interviews (KIIs) and Focus Group Discussions (FGDs) were interested in short, practical, knowledge and skills imparting courses that would provide immediate and relevant benefit to disaster contingency planning in their areas.

- Training in the five components of disaster risk management and the place of Disaster Contingency Planning -(i) Early Warning Systems; (ii) Contingency Planning; (iii) Contingency Financing; (iv) Institutional arrangement for planning; and (v) Capacity to implement appropriate interventions in a timely, effective and efficient manner. This training needs to be comprehensive, handling each of the components in detail in order to impart knowledge and skills to participants to appreciate and know how to support establishment of effective disaster risk management systems at community, county/district, zonal, regional and national levels;
- Disaster Risk Management Cycle Training in pastoral areas of the IGAD region Prevention, Mitigation, Preparedness, Response, Recovery and Rehabilitation. Each of the components to be treated with depth and thoroughness in order to equip participants to better understand and handle disaster risk management issues;
- 3. How to undertake the disaster contingency planning process and produce high quality disaster contingency plans based on internationally accepted contingency planning guidelines;
- 4. CMDRR ToT and how to facilitate the Community Managed Disaster Risk Reduction Process;
- 5. Livestock Emergency Guidelines and Standards (LEGS) and how to use LEGS in regional disaster contingency planning in the IGAD Region.

### Recommendations

#	Review finding	Recommendation	Responsible for	Resource Staff	Suggested timeframe	Remark
			implementation			
1.	IGAD and its institutions e.g. ICPAC, ICPALD and CEWARN has a comparative advantage in terms of political leverage; regional and cross-border programming mandate/ implementation of DRM initiatives in pastoral areas and that there is now under IDDRSI a new DRM strategy for IGAD to use its comparative advantage to establish a harmonized contingency planning framework across the region.	The IGAD reviews the DRM strategy with a view to identifying gaps and opportunities to formulate a harmonized disaster contingency planning framework across the IGAD region.	IDDRSI Program Coordination Unit	Relevant staff from member states	End of 2017	The review should include issues of risk financing such as livestock insurance and standardized operating procedures and guidelines.
2.	Disaster contingency planning is not new in the Horn of Africa, with good practice examples evident as early as the mid-1980s. However, it is happening through small and isolated initiatives and projects; on a small scale; and where it is of cross- border nature, based on MoUs between one or more State and Non State Actors across the borders	Develop a common investment framework across the relevant countries	IGAD	Member states	End of 2017	Include different models or instruments of contingency planning as appropriate
3.	Integration of disaster risk management into regular development programming and implementation across IGAD member countries suffers from inadequate technical know-how; capacity and resource constraints, even though there is considerable interest and enthusiasm among stakeholder staff in the region	Formulate a 3-year capacity development and training program to be implemented based on the training needs assessment results of this assignment	IGAD	Member state		A regional disaster risk management institutionalization framework within sector Ministries and contingency planning training and capacity development program
4.	Tried and tested approaches such as CMDRR, LEGS, PFSs and other proven Community-based Disaster Contingency Planning mechanisms should be regularized and institutionalized as part of community disaster preparedness measures to mobilize local resources and equip communities to be a more effective first line of defence in pastoral disaster risk	Develop a common monitoring and evaluation framework that regularly captures; documents and disseminates innovative approaches in disaster contingency planning for	IGAD	Member States	End of 2017	A regional disaster risk management institutionalization framework within sector Ministries and contingency planning training and capacity development program

management in cross-border areas in the IGAD region.	integration into regular programming.		



The impact of drought in the Somali Region of Ethiopia: Contingency Planning is necessary for rapid and early response to reduce drought-related losses



In search of clean potable water during drought in Turkana County NE Uganda



Bulk water for production: The Kobebe dam 50 km west of Moroto,



Pasture growth and conservation in Wajir County, NE Kenya in Wajir, NE Kenya



Ten thousand bales of hay stored as contingency fodder

### 1. INTRODUCTION TO THIS CONTINGENCY PLANNING ASSIGNMENT

### 1.1 Background and Objectives of this Study

This report is an output of a consultancy entitled "*Review of Disaster Risk Contingency Planning for Pastoral Areas of Ethiopia, Kenya and Uganda*", commissioned by the World Bank-funded Regional Pastoral Livelihoods Resilience Project (RPLRP), implemented in Ethiopia, Kenya and Uganda within IGAD's Drought Disaster Resilience and Sustainability Initiative (IDDRSI) Strategy. The consultancy was executed between January and March 2016 and its objectives were to: (i) review disaster risk contingency planning policy and practice in the IGAD and Horn of Africa Region, with a focus on Ethiopia, Kenya and Uganda as case studies;(ii) tease out and document lessons learned in disaster contingency planning in the IGAD Region; (iii) explore the possibility of a common and harmonized regional cross-border disaster contingency planning diverse stakeholders in the three countries; and (v) make recommendations on how to move forward with respect to improving and strengthening regional disaster contingency planning in cross-border pastoral areas of IGAD Member States.

This report is divided into 7 sections. The first section is an introduction to the assignment and provides background information on the objectives of the assignment, methodology and approach used and the scope of work. The second section presents a review of the national policies guiding disaster contingency planning in the three countries of Ethiopia, Kenya and Uganda while the third section documents selected case studies. Section 4 presents a documentation of lessons learned in disaster contingency planning and section five captures the results of the training needs assessment carried out as part of this assignment. Section 6 discusses the potential for a harmonized regional and cross-border disaster contingency planning framework for the pastoral areas of the IGAD Region. Finally, section 7 presents the recommendations to be considered in future contingency planning processes. Additional information is provided in the annexes.

### 1.2 Scope of work

The assignment was executed under an Individual Consultancy contract, awarded to Mike Wekesa, a senior consultant in food security, pastoral livelihoods and disaster resilience, based in Nairobi, Kenya. Under the overall supervision of the RPLRP coordinator and in close consultation with the RPLRP National Coordinators of Ethiopia, Kenya and Uganda, the consultant undertook a review of the current pastoral area disaster risk contingency planning practices as well as the available policies, guidelines, regulations and other relevant documents with emphasis cross-border areas of the IGAD Region. Lessons learned in contingency planning were identified and case studies demonstrating good practice in contingency planning were also identified and documented. A Training Needs Assessment (TNA) was carried out to identify capacity gaps in regional and cross-border contingency planning and an assessment of the potential for a harmonized regional cross-border disaster contingency planning framework under IDDRSI was appraised.

In undertaking this assignment, the consultant carried out the following tasks:

- Traveled to each of the three countries and consulted with stakeholders focusing on pastoral area disaster contingency planning approaches in use;
- Conducted a training need assessment for relevant individuals and institutions involved in pastoral disaster risk contingency planning;
- Collected information on disaster risks and vulnerabilities (including physical, natural, economic and social hazards) in the cross border pastoral areas and particularly assessed availability of contingency plans, and to the extent possible resource sources;
- Collated information and lessons learnt on previous and existing contingency planning activities in the pastoral areas and other comparable settings;
- Conducted a desk review of best practices on disaster (drought, flood, etc.) risk contingency planning in other countries as well as best global practices from leading international sources (e.g. World Bank's Disaster Risk Financing and Insurance, -DRFI -, Program; IFAD1) and distill learning's that can be applicable to pastoral communities of the three countries;
- Reviewed national/sub-national disaster risk contingency planning mechanisms (institutions, resources, information flow, information source) of the three countries;

- Examined best practices, problems and opportunities of existing contingency planning approaches in use (e.g. information communication and early response mechanism, information sources, etc.) in the three countries;
- Suggested institutional measures for improved contingency planning and operationalizing for the three countries; suggesting a model for a harmonized Regional Contingency Planning framework for crossborder pastoral areas;
- Prepared a comprehensive draft report contextualizing the issue of contingency planning for cross border pastoral communities across the three countries including training needs;
- Facilitated a report validation meeting, incorporating the inputs from the meeting into the draft report to produce the final report submitted to the RPLRP and ICPALD.

### **1.3 Approach and methodology used in the execution of the assignment**

### a) Literature and document review

The consultant reviewed the large volume of data and information that exists on disaster contingency planning and the many lessons that have been documented on this subject. The emphasis of the literature review was on identifying relevant policy mechanisms and models that have worked, particularly with regard to regional and cross-border programming and implementation, as well as disaster contingency planning experience in the region.

### b) National level stakeholder consultations

The consultant, with assistance of national RPLRP staff, undertook a stakeholder mapping of national level stakeholders from relevant Government Ministries, Departments and Authorities (MDAs) as well as those from CSOs, UN Agencies, Research Institutions and Donors, among others and developed a checklist of issues that enabled data and information collection for effective output production from this assignment. The methods used (Key Informant Interviews; Focus Group Discussions (FGDs); tools and checklists used as outlined in the Inception Report were agreed upon upfront between regional RPLRP staff and the consultant. A total of , and some of these stakeholders were informed before the consultant's visit to the country. The list of individuals met in the different organizations in the different countries is provided as Annex

### c) Visits beyond national level stakeholders

The consultant adopted a participatory and inclusive approach with full knowledge that national level contingency plans, and therefore regional disaster contingency plans, must emanate from district, county and community levels, where households and communities bear the brunt of disasters. Therefore, consultations with strategic district or county/community level stakeholders were undertaken e.g. the visit to Kajiado County in Kenya to meet the County Disaster Contingency Planning Committee and community representatives, in order to capture their perspectives perceptions and inputs. This was because often, there is a disconnection between the analysis done by stakeholders at national and that done by local level stakeholders, particularly when it comes to implementation processes and decision-making. Moreover the concept of Community Managed Disaster Risk Reduction (CMDRR), which has largely been employed for community disaster contingency planning in Ethiopia and Kenya, needed to be appraised for its value addition and appropriateness in strengthening the community level-district/county level disaster contingency planning interface. A review of case studies in disaster contingency planning across the region was undertaken and examples of these are presented in Section 3 of this report.

### d) Focus on national contingency planning frameworks with community level inputs

Lessons from Kenya's drought management system for example, show that ultimately, disaster contingency planning, implementation of contingency plans and eventual usefulness and effectiveness must be community-rooted. Although it was not possible to visit CMDRR initiatives in the 3 countries during the fieldwork of this assignment, lessons from CMDRR experience in the region were captured and are included in this report.

## e) Building on local knowledge and resources, capacities and assets of communities and stakeholders

Frameworks for regional and cross-border contingency planning and programming must build on what communities and stakeholders already have. The consultant sought to ensure that proposals for future

regional and cross-border disaster contingency planning for pastoral areas build on experience, lessons and capacities that communities and stakeholders already have in order to secure the feasibility and viability of the proposed policies, institutions and implementation frameworks. There was no need to come up with activities that communities and stakeholders could not identify with and own in terms of future sustainability.

### **1.4 Expected Deliverables**

- 1. An Inception Report reflecting clear comprehension of the tasks, the method of execution and a work plan to ensure that the final report provides the required country level inputs for the development of Regional contingency planning;
- 2. An initial draft and draft final reports contextualizing disaster risk contingency planning issues for indepth review and validation by country level and other stakeholders.
- A Workshop's Proceedings Report of the validation workshop (which will be organized by IGAD RPLRP) highlighting salient pastoral risk contingency planning issues for consideration in preparation of the report.
- 4. A Draft Final report
- 5. A Final report consisting of a main report of not more than twenty pages, and relevant brief annexes such as statistical tables, mission reports, workshop report, interview report, reviewed national documents, draft Regional policy, lists of participants etc.

### 1.5 Itinerary for the assignment

The following activities were planned and implemented in order to produce the expected outputs:

#	Activity	Location	# of days	Dates	Responsibl e	Support	Output
1	Briefing, signing of contract, collect relevant documentation	ICPALD offices	1	8th Dec. 2015	Consultant	RPLRP Coordinator	Agreed scope of work and timetable
2.	Submit Inception Report	ICPALD	As above	18 <sup>th</sup> Dec. 2015	Consultant	RPLRP Team	Accepted Inception Report
2	Literature review	Nairobi	2	30 <sup>th</sup> -31 <sup>st</sup> Dec 2015	Consultant	N/A	Documented literature; case studies and lessons
3	Stakeholder consultations	Kenya	5	4 <sup>th</sup> -8 <sup>th</sup> Jan 2016	Consultant	RPLRP Team - Kenya	Country Report (including 1 day visit to Kajiado County)
4	Stakeholder consultations	Ethiopia	7	10 <sup>th</sup> -19 <sup>th</sup> Jan 2016	Consultant	National RPLRP team - Ethiopia	Country report (Federal/Oromiya Region visits plus SNNPS- Awasa)
5	Stakeholder consultations	Uganda	5	21 <sup>st</sup> -29 <sup>th</sup> Jan 2016	Consultant	National RPLRP team - Uganda	Country Reports
6	Draft outputs of consultancy	Nairobi	4	1 <sup>st</sup> -12 <sup>th</sup> Feb 2015	Consultant	N/A	Draft Report
7	Hold meeting with RPLRP team to present draft findings and receive inputs	Nairobi	1	March 11 <sup>th</sup> 2016	Consultant	RPLRP Regional Coordinator	Draft report reviewed and updated

8	Review progress in drafting final outputs	Nairobi	1	April 11 <sup>th</sup> 2016	Consultant	ICPALD Director	Final draft report
9	Attend and facilitate stakeholder validation workshop	TBD	3	TBD	Consultant	IGAD and RPLRP teams	Workshop report and comments incorporated in final draft report
10.	Finalize and submit final report	Nairobi	1	Depended on validation meeting	Consultant	N/A	Final Report/Outputs

### **1.6 Organization and management of the assignment**

The consultant was answerable to the Regional Coordinator, RPLRP and operated from private offices in Nairobi, with occasional visits to the ICPALD offices, in order to review progress in the execution of the assignment. Consultancy fees would be upon delivery of draft and final reports. The DSA and transport as well as other logistical and administrative costs were paid based on agreed upon rates, outside of Nairobi, Kenya, the base of the consultant. The Regional stakeholder validation workshop was planned as a separate event from the consultant's responsibilities although facilitation was the responsibility of the consultant. The final Inception Report, which was part of the expected outputs of this assignment, was presented to the RPLRP Regional Coordinator on the 29<sup>th</sup> December 2015, by email, following incorporation of RPLRP inputs in the draft Inception Report.

### 1.7 Risks, Assumptions and Mitigation Measures

There were no major risks in the execution of this assignment. Assumptions were that RPLRP staff, both at national and regional level would be available during the proposed dates to support and facilitate the consultant to execute the assignment and that travel documentation and requirements would be the responsibility of the RPLRP Coordinator and team in Nairobi.

# 2. REVIEW OF DISASTER RISK CONTINGENCY POLICIES IN THE THREE COUNTRIES

2.1 Historical perspectives, trends timelines in disaster risk management in the IGAD Region

The IGAD Region is one of the most disaster-prone regions in the world<sup>10</sup>, with results of human suffering including loss of life, loss of livestock and other means of livelihood, slowed development and other economic costs<sup>11</sup>. Although, IGAD member states and their development partners have country-specific disaster management frameworks, regional institutions such as IGAD, the East African Community (EAC); COMESA; the African Union (AU) and the New Partnership for Africa's Development (NEPAD), among others, have a comparative advantage in regional and cross-border programming, including disaster contingency planning. This is because of their mandate that goes beyond national boundaries of Member States. In addition, these national frameworks, in Ethiopia, Uganda and Kenya, are still relatively recent<sup>12</sup>. Until the early 1980's, drought and other hazards were managed by crisis. The 1984 drought crisis in Ethiopia, Northern Kenya and NE Uganda, is a case in point. This was rated one of the worst ever recorded droughts in history, because of its duration, geographical spread and severity<sup>13</sup>.

But things have changed rapidly over the last 30 years, with considerable development in early warning systems, contingency planning and financing, emergency preparedness and response as well as recovery, rehabilitation and reconstruction. The timeline presented below illustrates the progression and development of disaster risk management in the IGAD Region.

Period	Key characteristics of DRM Systems	Implication on policy, legal and institutional frameworks in IGAD Member States
Before mid1980s	<ul> <li>Poor knowledge and understanding of hazards and disasters;</li> <li>Everything was blamed on nature; no Early Warning Systems; no contingency planning frameworks; food aid was the default response; management of disasters by crisis</li> </ul>	<ul> <li>Governments were reactive rather than proactive to theneeds of affected populations;</li> <li>No policy, legal and institutional frameworks in place;</li> </ul>
Mid 1980s – mid 1990s	<ul> <li>Establishment of early warning systems but with and some emergency preparedness and response capacity</li> </ul>	<ul> <li>Recognition by governments and development partners that although hazards such as drought may not be prevented, their impacts could be monitored, predicted and measures put in place to reduce their effects on lives</li> </ul>
Mid 1990s – mid 2000s	<ul> <li>Refinement and growth of EWS in the region and their importance underscored in State and Non State Actors documents, plans and strategies</li> </ul>	<ul> <li>Linking of humanitarian action to EWS signals was now being acknowledged and practiced to some degree;</li> <li>Greater push from development partners – CSOs, Donors, International Agencies, etc. to include disaster management concept into development programming</li> </ul>
2005 – 2015	<ul> <li>Period coincided with the Hyogo Framework for disaster risk reduction; emphasis was on reducing disaster risk and not managing discreet disasters</li> </ul>	<ul> <li>Most IGAD member states in the region signed to the UN –led Hyogo Framework for disaster risk reduction and significant efforts by States and Non State Actors to integrate DRR into development and humanitarian programming; including Climate Change issues</li> </ul>
2015 -2030	<ul> <li>Period coincides with the Sendai Framework for DRR with emphasis on disaster risk management; multi-hazard approaches;</li> </ul>	<ul> <li>Significant shift in awareness and acknowledgement of DRR and DRM issues and Climate Change Adaptation in development and the needs for Member</li> </ul>

Table 2.1 Timeli	ne and trends	s in the	develo	pment of	disaste	r risk	manag	gement	syster	ns in t	he IGA	D Reg	ion
													_

<sup>&</sup>lt;sup>10</sup> Technical Consortium for Building Resilience to Drought In the Horn of Africa (2013): Disaster Risk Reduction in the Horn of Africa (CGIAR & FAO Brief No.4)by Catherine Fitzgibbon and Alexandra Crosskey: <u>www.CGIAR FAO disaster risk reduction Horn of Africa 2013-3.pdf</u> <sup>11</sup> Ibid

<sup>&</sup>lt;sup>12</sup> Swift J.J (2000) The Institutional Structure for Drought Management in Kenya: Report of a consultancy undertaken on behalf of the Drought Preparedness, Interventions and Recovery Project (DPIRP), through Acacia Consultants Ltd. funded by the Royal Netherlands Embassy, Nairobi, Kenya.

<sup>&</sup>lt;sup>13</sup> Swift J.J (2000): During this 1984 drought crisis, there were no EWSs or systematic methods of gathering and analysing information and data, apart from traditional early warning systems and information gathering methods, which were often ignored by governments. Response initiatives remained largely in the hands of Non- Governmental Organizations (NGOs), Faith Based Organizations (FBOs); bilateral projects, donors and well-wishers, with most employing the *"management-by-crisis"* approach. Things remained like this until the mid-1980s when formal drought early warning systems begun to emerge, with the first community-based early warning system established in Turkana district in 1987. But even with expansion to other drought prone districts in later years, there remained a weak link between early warning and response, not just in Kenya but in the other two countries as well

improved governance, policy, institutional and	States to integ
funding from States	humanitarian p

States to integrated effects into development and humanitarian programming in their countries.

#### Box 2: The Hyogo and Sendai Frameworks for Disaster Risk Reduction and Climate Change Adaptation (CCA)

- The Hyogo Framework for DRR (2005-2015) -This framework for Disaster Risk Reduction (DRR) started in January 2005, when the World Conference on Disaster Reduction in Kobe, Hyogo, Japan, adopted the Framework for Action 2005-2015- Building the Resilience of Nations and Communities to Disasters. The framework promoted a strategic and systematic approach to reducing vulnerabilities and risks to hazards. It underscored the need for, and identified ways of, building the resilience of nations and communities to disasters, and through its five priority areas, galvanized international scope for member countries to address disaster risk in a more effective, efficient and sustainable manner. The Hyogo Framework for DRR period represents a time when significant growth and development in DRR policy, research and practice took place, paving way for more optimistic frameworks for effective disaster risk management in the IGAD region;
- The Sendai Framework for DRR (2015-2030): This period coincides with the Sendai Framework for Disaster Risk Reduction. The Sendai Framework supports continuity of the HFA and introduces a number of innovations, with most significant ones being: (i) the strong emphasis on disaster risk management as opposed to disaster management; (ii) the definition of seven global targets; (iii) the reduction of disaster risk as an expected outcome, a goal focused on preventing new risk, reducing existing risk and strengthening resilience; (iv) provision of guiding principles, including primary responsibility of states to prevent and reduce disaster risk, through all-of-society and all-of-State institutions engagement; (v) the significant broadening of disaster risk reduction to focus on both natural and man-made hazards and related environmental, technological and biological hazards and risks; and (vi) emphasis on health resilience being promoted across the entire Framework.
- The Cancun and Paris Climate Change Adaptation Frameworks (2010 and 2015): Coupled with the Cancun and Paris Climate Change Adaptation Frameworks of 2010 and 2015 respectively, the Hyogo and Sendai Frameworks for Disaster Risk Reduction, as well as the new Sustainable Development Goals (SDGs) that build on the MDGs, the international framework for DRR and Climate Change Adaptation (CCA) is set and member states in the IGAD region can domesticate these Agreements and Frameworks to implement more effective disaster risk management.

### 2.2 IGAD and Disaster Risk Management in the Horn of Africa Region

IGAD places resilience at the heart of its disaster risk management approach. It recognizes that shocks and stresses are just one of many factors driving vulnerability and firmly believes that building resilience of affected populations in a holistic way is effective, cost efficient and sustainable. Resilience refers to "the capacity of an individual, household, population group or system to absorb, adapt, and transform from shocks and stresses without compromising - and potentially enhancing - long-term prospects. Absorptive capacity covers the coping strategies individuals, households, or communities use to moderate or buffer the impacts of shocks on their livelihoods and basic needs. Adaptive capacity is the ability to learn from experience and adjust responses to changing external conditions, yet continue operating. Transformative capacity is the capacity to create a fundamentally new system when ecological, economic, or social structures make the existing system untenable".

The resilience concept is thus not just looking at the impact of disasters but also at what makes communities vulnerable to multiple shocks and stresses. It further examines the extent to which communities are able to *"build-back-better"* after a disaster, conflict or shock, therefore addressing their core vulnerabilities and putting more emphasis on the need for recovery from such shocks to mitigate future risks. With climate change bringing about multiple risks and increasing regional vulnerability, IGAD's efforts to build resilience aim at contributing to sustainable reduction in vulnerability through increased absorptive, adaptive and transformative capacity of local populations, governments and other actors. This also entails improved ability to identify, address and reduce risk; and to improve social and economic conditions of vulnerable populations.

A resilience approach within the disaster risk management cycle provides the crucial link between emergency response, early recovery and long term development as a key area of focus for IGAD in the coming decade. Even though resilience building activities are domiciled within IGAD's, Agriculture, Natural Resources and Environment Division, this is a crosscutting theme that has application across all domains of IGAD operations. IGAD has a comparative advantage in facilitating and coordinating specific development agenda in the IGAD and Horn of Africa Region e.g. peace and security; drought disaster resilience and

combating desertification and food insecurity in the region. IGAD also continues to promote regional policy reforms and increased investments in the priority areas of agriculture and food security, environment, peace and security, trade and market access, governance, infrastructure (energy, transport and water sanitation, and information and communication technologies), gender, and capacity development. It encourages the participation of the private sector, civil society organizations and the Diaspora in fostering development in the region.

## 2.3 Overview of disaster risk management and contingency planning policies in the three countries

A review of disaster contingency planning policies in the three IGAD member states cannot be done in isolation from the national disaster risk management policy frameworks that have been formulated because disaster contingency planning and the development of disaster contingency plans is not a stand-alone process. It is part of disaster risk management and any policy, legal, institutional, funding and implementation provisions for the process are to be found embedded in the wider disaster risk management policies of the IGAD member states. This report therefore reviews disaster contingency planning within the framework of the overall disaster risk management policy framework in each of the three countries.

It is noted that in all the three countries, disaster risk management policies have been developed, with all of them being developed between 2011 and 2015, although the processes of developing them started much earlier. A scrutiny of the three national disaster risk management policies shows that they have been formulated through government-led processes; involving the review of relevant sector and DRM-related policies and documents; and involving many stakeholders in a multi-agency; multi-sector and multi-disciplinary fashion. For example, in Kenya, the most current draft disaster risk management policy developed in 2013, takes into account all relevant policy frameworks across relevant sectors e.g. agriculture and livestock development, environment and natural resources, water resources, wildlife, tourism, mining and mineral exploration, urban development and settlement, etc. So, the policies, whether now finalized or still in draft form, are comprehensive and inclusive, taking note of relevant sector-specific policies and ensuring harmony, synergy and complementarity, even though in some cases, such as in Kenya and Uganda, the current policies whether finalized or in draft form, still require substantial work.

It is also important to note that important features of these policy documents include the move away from disaster management-based systems, which focus on managing individual hazards or disaster events, to a comprehensive disaster risk management system that emphasizes the multi-hazard and multi-sector nature of disaster risk and therefore the need for comprehensive DRM approaches that are anchored within requisite laws and directives; enabling the establishment of appropriate and effective DRM institutional and organizational structures at community; district/county; regional/sub-national and national levels. Thus, disaster risk management is presented in the above national policies, as encompassing the full DRM continuum from prevention, mitigation, preparedness, Response, Recovery, Rehabilitation/Reconstruction and back to prevention and continuation of the cycle. However, it is important to note that these stages of disaster risk management and not linear progressions but rather each different stage may consist of bits of each of the other stages depending on the context of the hazard or environment/system, etc.

Suffice it to say that the development of these disaster risk management policies not only represents significant progress in the quest to ensuring that hazards and disaster effects and impacts are systematically reduced and even eliminated but also provides a legal and legitimate provision for disaster risk contingency planning processes to be implemented in these countries. The author of this report is of the opinion that these policies, if translated into comprehensive DRM strategies, programs, projects and activities, would increase and sustain resilience of vulnerable communities to hazards, precipitating a radical shift from the short term relief responses to sustainable development and continual risk reduction and preparedness. A review of practice and implementation of these policies in subsequent sections of this report, including the lessons learned in DRM and disaster contingency planning in the region attest to this opinion.

### 2.3.1 Disaster Risk Management and Contingency Planning Policy Frameworks in Ethiopia

In Ethiopia, the national policy and strategy on disaster risk management and contingency planning was finalized in July 2013, with its vision being the enhancement of capacity of households, communities and

DRM systems in rural and urban areas, to withstand the impact of hazards and related disasters in order to systematically reduce the dangers and damages caused by disasters by 2023. The comprehensive disaster risk management system is based on the DRM policy and has established institutional structures at all levels, in order to reduce disaster risk and damages caused by disasters, through implementation of necessary response interventions before, during and after the hazard or disaster, in a timely manner, with involvement of all concerned actors, including in the urban areas.

The DRM system is informed by disaster risk profiling information. Disaster profiles that contain information on each hazard, vulnerability and capacity to cope as well as other related baseline information are developed at the *Woreda* level and organized into a database, periodically updated and put into practice. A Disaster Risk Management Strategic Program and Investment Framework (DRM SPIP) has been developed based on measures to be taken before, during and after the hazard or disaster and serve as a guiding document for designing and implementing disaster risk management related plans and programmes in a coordinated, multi-sector and multi-agency manner.

By establishing a structure at a national level for coordinating disaster risk management activity, a national plan shall be prepared by compiling sector plans around disaster risk management produced by lead institutions and support shall be given toward its implementation. A mechanism shall be established to integrate early warning information into the Emergency Response Coordination Centre, which will be supported with information and communication technologies and linked to concerned sources of information. A mechanism for conducting after action review shall be established for ensuring effectiveness of responses provided before, during and after the disaster period.

In a nutshell, the following is a summary of the disaster risk management policy framework in existence in the Ethiopia, with specific reference to provisions on disaster management contingency planning frameworks:

- 1. The Ethiopian Government has taken steps towards enhancing disaster prevention and preparedness capacity following the enactment of the National Policy on Disaster Prevention and Management in 1993 and increased coping capacities and reduced vulnerabilities over time through economic growth. Besides drought, other risks, including floods, human epidemics, livestock disease outbreaks, crop pests, forest and bush fires as well as their frequency, scale and intensity have been exacerbated by climate change. Urban disasters, earthquakes and volcanic eruptions are also becoming more evident, in addition to conflicts triggered by different factors. This scenario depicts a country faced with multiple hazards, hence the need for a multi-hazard approach to disaster risk management;
- 2. There has been a paradigm shift and doing business differently by moving away from a system that mainly focused on drought and supply of life-saving relief emergency assistance during disaster to a comprehensive disaster risk management approach, which unlike in the past, is being implemented with aim of reducing disaster risks and potential consequences of disasters by providing appropriate and timely responses to disasters, before, during and after the disaster periods at all levels, through establishing a coordinated, accountable and decentralized system. The National Policy on Disaster Prevention and Management, which has been implemented since 1993, has been amended to take into account the more comprehensive and multi-hazard nature of disaster risks in Ethiopia;
- 3. The specific policy provisions in Ethiopia's DRM related to disaster contingency planning include the following:
- Disaster risk profile informed contingency plan development shall be an integral part of the early warning system.
- Disaster risk management activities shall be implemented as integral to development plan framework;
- Disaster risk management shall be informed by disaster risk profile information that contains data on each hazard, vulnerability and capacity to cope as well as other related baseline information;

- Profiles shall be developed at the woreda level and organized into databases, periodically updated and put into practice.
- To facilitate the operationalization of the disaster risk management policy and its implementation strategies, a disaster risk management strategic program and investment framework shall be developed;
- A lead sector government institution shall be assigned for every hazard and related disasters; the designated lead institution shall be responsible for the implementation of major disaster risk management activities ranging from disaster risk monitoring to response; it shall have an appropriate structure and preparedness capacity to enable it to fulfill its leading role; the lead sector government institution shall prepare and implement sector specific disaster risk management plans and programs.
- By establishing a structure at a national level for coordinating disaster risk management activity, a national plan shall be prepared by compiling sectoral plans around disaster risk management produced by lead institutions and support shall be given toward its implementation.
- Government led coordination forums shall be established at all levels to ensure participation of stakeholders who have key roles in disaster risk management.
- To facilitate the establishment and operationalization of the disaster risk management system, necessary laws and directives shall be developed and organizational structure created and put into practice.

### 2.3.2 Disaster Risk Management and Contingency Planning Policy Frameworks in Kenya

The Government of Kenya acknowledges that, risk reduction is a development agenda and therefore comprehensive disaster management is a focus of national policies and programs, the need for pre- disaster mitigation and preparedness of the citizens as opposed to the earlier concept of response after disaster occurrence.

Priority in disasters management is therefore accorded to the community level for preparedness, response, recovery and rehabilitation programs. This will take the form of building capacities of people living in disaster prone areas and improvement of their capabilities in order to cope with natural hazards. The National Disaster Risk Management Policy has emphasized broad based strategies, thus:

1. Disaster management will involve the management of both risks and consequences of disasters that would include preparedness, response and post-disaster recovery.

2. Community involvement for preparedness programs for protecting lives and properties will be an essential strategy of this policy.

3. Non- structured disaster mitigation measures such as community disaster preparedness training, advocacy and public awareness will be given priority. This will therefore require an integration of structural mitigation with non- structural measures.

4. Scientific research and application of modern technology will be embraced while acknowledging the role of indigenous knowledge and coping mechanism on disasters.

In Kenya, the DRM policy provides a framework for establishing, streamlining and strengthening DRM institutions, coordination frameworks, partnerships, and regulations in Kenya. Disaster risk management, as viewed by this policy, encompasses a full continuum from prevention, preparedness, relief and rehabilitation, back to mitigation and prevention. This will increase and sustain resilience of vulnerable communities to hazards. This precipitates a radical shift from the short term relief responses to sustainable development and continual risk reduction and preparedness. In terms of national institutional and legal frameworks for contingency planning in Kenya, there is yet to be an approved DRM policy, although a draft developed in 2013 exists.

But currently, disaster contingency planning is done by the National Drought Management Authority, in the case of drought, and by sector and by County or on an *ad hoc* basis, in the case of other hazards. The National Disaster Operation Centre (NDOC) under the Ministry of Interior and Coordination of National Government is perceived to be responsible for rapid on-set hazards, other than drought, such as El Nino events, big accidents, landslides, fires and conflict-related emergencies, among others. There are also sector-based contingency planning frameworks, for example those under the Agriculture Sector; the UN-led humanitarian food and nutrition security sector and the contingency planning frameworks adopted by major donors in the region and country, now using the *Crisis Modifier*<sup>14</sup> and the *One Programme Approach*<sup>15</sup>.

An examination of the draft DRM policy shows that it provides for the establishment of the National Disaster Risk Management Council (NDRMC); a Ministry responsible for DRM, which within the policy is proposed to be a shared responsibility between the Ministry of Devolution and Planning (MoDP) and the Ministry of Interior and Coordination of National Government (MoICNG); the National Disaster Management Authority (NADIMA) and the National Disaster Risk Management Platform (NDRMP). The DRM policy envisages a situation where the MoICNG and the MoDP will coordinate disaster contingency planning and operational coordination for emergencies. Regular cross-ministry responsibilities for DRM training and simulation exercises including the participation of Non State Actors (NSAs) is seen to be a component of capacity building for disaster contingency planning. If this draft DRM policy is approved in its current form, it is likely to bring in many changes, necessitating some institutional realignment. For example, the policy does not discuss the role of the NDMA, now a legal entity responsible for drought risk management, the most important hazard in Kenya, in terms of its effects and impacts, particularly in the Arid and Semi-Arid Lands of the country, which cover more than 80% of the country

Suffice it to say that currently, no overall DRM or disaster contingency planning policy framework exists in Kenya.

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### 2.3.3 Disaster Risk Management and Contingency Planning Policy Frameworks in Uganda

In Uganda, the National Policy for Disaster Preparedness and Management was prepared in 2011 and finalized in 2013. The mission of this policy is to create a useful guide through which Disaster Preparedness and Management is included in all the development processes, focusing on saving lives, livelihoods and the country's resources. In Kenya, a draft DRM policy exists and provides a framework for establishing, streamlining and strengthening disaster risk management institutions, coordination frameworks, partnerships, and regulations in Kenya. Comparing and contrasting the policies across the three countries, the main difference between Uganda and the other two countries of Ethiopia and Kenya is the fact that

<sup>&</sup>lt;sup>14</sup> The Crisis Modifier is an important funding instrument that enables on-going resilience programmes or initiatives to access additional funding support for rapid, early response to hazards such as drought in pastoralist areas, while also enabling coordination and coherence between the long-term resilience programs and humanitarian activities.

<sup>&</sup>lt;sup>15</sup> The One Programme Approach simply means that an on-going resilience-building programme does not need to have a development and humanitarian divide. Rather, when emerging crises occasion the need for additional funding and human resources, rapid deployment of these resources is made possible within the same programme implementation structures, only expanding or contracting in size of funding and activities, depending on the status of the crisis in terms of its recession or escalation.

Uganda's policy aims to establish a disaster preparedness and management framework, as opposed to a disaster risk management one<sup>16</sup>.

The goal of the disaster preparedness and management policy is to set up institutions and measures that will reduce the vulnerability (exposure) of people, livestock, plants and wildlife to disasters. The objectives of this policy are: (1) to create Disaster Preparedness and Management institutions at national and local government levels; (ii) to equip Disaster Preparedness and Management institutions and ensure that the country is prepared at all times to deal with and manage disasters; (iii) to include Disaster Preparedness and Management into development processes at all levels; (iv) to promote research and technology in disaster risk reduction; (v) to generate and share information on early warning for disasters and hazards; (vi) to promote public and private partnerships in Disaster Preparedness and Management; (vii) to create timely, coordinated and effective emergency responses at national, district and lower level local governments. Early warning is a requirement for a successful Disaster Preparedness and Management interventions and it is the foundation upon which other efforts can be undertaken. The government and all other stakeholders will ensure that relevant, reliable, up-to-date and timely information is provided to the community for risk reduction and preparedness.

In terms of legal provisions, the Office of the Prime Minister – Department of Relief, Disaster Preparedness and Management is required to develop a bill that will result in the National Disaster Preparedness and Management Act. This Act will put into effect the Institutional Structures presented in this policy and Memorandums of Understanding with Private sector on arrangements for short notice and emergency use of their equipment and facilities. The legislation shall provide for incentives to encourage government agencies, the public and all other stakeholders to comply with the provisions relating to the preparation, reviewing and implementation of the Disaster Preparedness and Management plans. Provision shall also be made for appropriate penalties in the case of non-compliance and for deliberate failure or omissions to undertake appropriate actions. Parliament shall ensure that adequate resources and facilities are provided to the Office of the Prime Minister – Directorate of Relief, Disaster Preparedness and Refugees to enable it perform its functions effectively.

This policy urges the Ministry of Finance Planning and Economic Development together with the Office of the Prime Minister to develop and present to cabinet and Parliament a National Disaster Preparedness and Management Fund Bill. The bill should amongst others provide for annual allocation of a minimum of 1.5 % of the annual approved budget to the National Disaster Preparedness and Management Fund which will be used for Disaster Preparedness and Management in the country. The main difference between Uganda and the other two countries is the fact that the national policy aims to establish a disaster preparedness and management framework, as opposed to a disaster risk management one<sup>17</sup>. Also, implementation aimed at rolling out disaster contingency planning structures to the community level is far less clear and concerted when compared with Ethiopia and Kenya.

<sup>&</sup>lt;sup>16</sup> The difference between a disaster preparedness and management framework and a disaster risk management framework is that the former emphasizes action aimed at managing a particular disaster episode in a timely, effective and efficient manner while the latters' focus is on disaster risk before it becomes a disaster i.e. prevention, mitigation, preparedness, response, recovery and rehabilitation measures and their mainstreaming into development plans and strategies within State and Non State Actors. Thus disaster preparedness and management would be considered only a part of disaster risk management, focusing on managing response to a particular disaster episode. The Sendai Framework for Disaster Risk Reduction (2015) now encourages all UN Member States to move strengthen disaster risk management initiatives for more comprehensive DRM outcomes and impacts.

<sup>&</sup>lt;sup>17</sup> The difference between a disaster preparedness and management framework and a disaster risk management framework is that the former emphasizes action aimed at managing a particular disaster episode in a timely, effective and efficient manner while the latters' focus is on disaster risk before it becomes a disaster i.e. prevention, mitigation, preparedness, response, recovery and rehabilitation measures and their mainstreaming into development plans and strategies within State and Non State Actors. Thus disaster preparedness and management would be considered only a part of disaster risk management, focusing on managing response to a particular disaster episode. The Sendai Framework for Disaster Risk Reduction (2015) now encourages all UN Member States to move strengthen disaster risk management initiatives for more comprehensive DRM outcomes and impacts.

### 3. A REVIEW OF CONTINGENCY PLANNING PRACTICE AND CASE STUDIES

In terms of practice, it is still not clear the extent to which governments value disaster contingency planning. In Kenya for example, it has taken the government nearly two decades to see sense in establishing a National Drought Contingency Fund (NDCF), even though numerous studies now show that early response to Early Warning signals saves livelihoods, lives and money<sup>18</sup>. In Ethiopia, a review of the PSNP in pastoralist areas in 2014 reported that limitations, particularly with respect to contingency funding in the system in the lowlands, included: (i) delayed release of the contingency fund from federal to regional levels; (ii) insufficient time to spend the fund before the end of the financial year; (iii) routine use of *Woreda-level* contingency budgets to correct PSNP targeting exclusion errors, leaving little money to deal with emergencies should they arise; and (iv) slow response to emergencies, with triggering by informal reports and communications that supplement the official early warning system.<sup>19</sup> In Uganda, there is no comprehensive national disaster contingency planning and operational framework, which includes a *National Disaster Contingency Fund*, although various financing mechanisms have been suggested and to some extent implemented in Northern Uganda, for example under the World Bank-supported Northern Uganda Social Action Fund Phase III<sup>20</sup>.

Another finding of this consultancy is that in Kenya and Ethiopia, there is a defined process of disaster contingency planning right from the community level through the Community Managed Disaster Reduction (CMDRR) process<sup>21</sup>, connecting to the *Woreda*, Zone, Region and Federal levels, in the case of Ethiopia and to the county and national levels in case of Kenya, and in Kenya with specific reference to drought risk reduction. In Uganda, the disaster contingency planning process is not as well defined, articulated and emphasized, as in the other two countries. But even with a growing recognition of the disaster contingency process as part of an overall disaster risk management framework in these countries, there is still little evidence that this process is having the effects or impacts it should have. Ideally, the availability of contingency plans, which are products of the contingency planning process, and their accompanying contingency financing, should lead to early response to EWS signals, reducing the time lag between early warning and response, which is symptomatic of the disaster response systems in the three countries, and contributing to a more effective and efficient disaster risk management system in the pastoral areas.

But this is not the case. There is still no adequate evidence base to show that the disaster contingency planning process has direct benefit to disaster response systems. As noted by Fitzgibbon, C. & Crosskey A. (2013)<sup>22</sup> in their report on DRR in the Horn of Africa, emergency response and funding is still heavily tilted towards food aid, which is considered as the response of the last resort aimed at only saving lives. They point out that, "despite the rhetoric, disaster preparedness, of which the contingency planning process is a part, accounted for less than 1% of humanitarian aid. They add that early warning and other information systems were a key component of the DRR approach but unfortunately, even well designed and resourced early warning systems did not translate into effective drought preparedness and early response". This is discussed more in detail in the body of this report.

### 3.1 The place for contingency planning in the disaster risk management model

A contingency plan is a course of action designed to help a regional institution such as IGAD; national, subnational and district/county governments and communities to respond effectively to significant future hazards that may happen or not happen. The objectives of contingency planning are to:

<sup>&</sup>lt;sup>18</sup> Vento, C.; Fitzgibbon, C.; Shitarek, T.; Coulter L.; and Dooley O. (2012): The economics of early response and disaster resilience: Lessons from Kenya and Ethiopia <sup>19</sup> *Ibid.* 

<sup>&</sup>lt;sup>20</sup> DFID (2013): Strategic Paper on Enhancing Resilience in Karamoja, Uganda- A business case and summary

<sup>&</sup>lt;sup>21</sup> FAO-IGAD (2014): Impact Assessment of the Regional Initiative In Support of Pastoral and Agro-Pastoral (RISPA) Communities in the Horn of Africa: Suji O. & Wekesa M.: CMDRR is a process of bringing people together within the same community to enable them to collectively address common disaster risks, and pursue common disaster risk reduction measures. It is a process that mobilizes a group of people in a systematic way towards achieving a safe and resilient community. The CMDRR approach is a bottom-up community development strategy to increase resilience of participating communities and reduce their vulnerability.

<sup>&</sup>lt;sup>22</sup> CGIAR and FAO (2013): Disaster Risk Reduction in the Horn of Africa – Technical brief prepared by Fitzgibbon C. and Crossky A. for the Technical Consortium for building resilience to drought in the Horn of Africa hosted by the CGIAR Consortium in partnership with the FAO Investment Centre

• Enable key stakeholders have common knowledge and understanding of the risks posed by natural and man-made hazards in specific locations, including their profiles;

Identify those most vulnerable to which kind of risks or hazards, how many they are (individuals, households, communities, systems, etc.) and where they are located;

Enable the stakeholders to examine the impact of previous disasters on lives and livelihoods and to think through how these impacts could have been prevented, mitigated against and better addressed in order to minimize or even eliminate their impacts;

Enable the stakeholders together to plan response action based on realistic scenarios, lessons and experiences such that risks are minimized; preparedness measures are clearly linked to the Early Warning System (EWS); response interventions are appropriate, timely and effective;

That action aims not only to save lives but also protects assets and livelihoods and that strategies decided upon in implementing interventions provide the shortest route to recovery of the system using minimum resources i.e. the interventions in the contingency plan must be cost effective and efficient;

Assessment of how effective contingency planning and the contingency plans have been in addressing a particular hazard must be analyzed and documented in order to provide an evidence base for prioritizing contingency action in disaster risk management;

Learning must be a core component of disaster contingency planning because systems, the environment, circumstances and people change and issues are in constant movement and transition and therefore disaster contingency plans are as good as the regularity with which they are updated based on lessons learned from preceding hazards.

- The contingency planning process can basically be broken down into three simple questions:
  - What is going to happen?
  - What are we going to do about it?
  - What can we do ahead of time to get prepared?
- In order to be relevant and useful, regional and cross-border disaster contingency plans must be a collaborative effort. They must also be linked to the plans, systems or processes of national government departments, development partners, UN Agencies, Private Sector, Regional Organizations, etc. at all levels –community, sub-national, national, regional and global;
- Disaster contingency planning and preparedness should be embraced by all relevant stakeholders at all levels. Disaster contingency plans should be simple, participatory, realistic and supported by preparedness actions that are identified during the disaster contingency planning process. For example, developing scenarios is a good way of thinking through the possible impacts of a hazard or disaster. On the basis of sensible scenarios it is possible to develop a plan that sets out the scale of the response and the resources needed.

### 3.2 Analytical framework for disaster contingency planning

Based on this review, the case put forward in this entire report is that an effective disaster contingency planning process is underpinned by a "*Systems Approach*", where: (i) the context in which the process is being undertaken is considered; (ii) the integrity of the process, content and quality of the contingency plan(s) is crucial and (iii) the implementation framework for the contingency response plan is paramount. These three are fundamental with respect to the whole process of contingency planning and developing contingency plans. In other words, a very good disaster contingency plan may be undermined by a poor context (lack of an enabling political, institutional, financial and socio-economic environment); and a poor implementation strategy and approach. Each of these is discussed briefly in the section below:



### a) Context in which regional disaster contingency planning process is undertaken

The driving force behind the disaster contingency planning process is an important factor in ensuring that the process achieves expected results. Ideally, it is the responsibility of the government of the day in each IGAD member state to ensure that disaster risk management, particularly targeting vulnerable communities such as pastoral and agro-pastoral households living along and across the international borders, is effective and contributes to asset protection, sustaining lives and livelihoods and rebuilds disaster resilience. Therefore, effective disaster contingency planning will occur if government, both national and district/county and even lower levels, is committed to the process and supports it, clearly knowing its benefits to the local national economies.

Also, community participation and involvement in the contingency planning process, as well as their contribution of local resources; participation in decision-making and governance structures; their political voice and clout, all contribute to the effectiveness of the contingency planning process and the quality of contingency plans developed.

Institutional and implementation arrangements that are developed following establishment of policy and legal frameworks for contingency planning also play a crucial role. The mandates and responsibilities of agencies and institutions involved must be clear, all inclusive, collaborative and cooperative to ensure common goals and objectives are achieved. With respect to regional and cross-border contingency planning, respective governments must agree on policy harmonization of issues relevant to the contingency planning process e.g. conflict management and peace-building approaches; cross-border transhumance and mobility; cross-border natural resource management and utilization by communities living across and along the borders; issues of arms and the whole process of disarmament, matters pertaining to development of infrastructure of *peace-dividend* nature, and many other issues, have to be agreed upon so that there is a solid and firm foundation for the contingency planning process to be effective and of benefit.

### b) The content of disaster contingency plans

There is a basic standard minimum content expected of any disaster contingency plan, even though the context may be different in terms of livelihood zone, type of hazards, whether rapid or slow-onset, etc. The following is considered the basic minimum content of a disaster contingency plan, according to the write of this report, with hindsight from experience drawn from lessons in the IGAD region and elsewhere:

### Minimum standards and guidelines on the content of a disaster contingency plan

- c) It should identify the location and the target group: Hazards tend to be specific in terms of location and the target groups can be identified based on their socio-economic status, livelihoods strategies, etc. It should describe the livelihoods strategies of the different socio-economic groups and how the hazards in question impact lives and livelihoods;
- d) **It should contain a contingency planning policy statement.** A formal policy provides the authority and guidance necessary to develop an effective contingency plan;
- e) Risk or hazard mapping and analysis section: It must analyze the disaster risks and the risk elements that exist in the particular ecosystem and livelihood system and present this in a concise and succinct manner;
- f) Stakeholder mapping and institutional analysis: The contingency plan must identify the relevant government lead agency/institution; key government and non-state actors across an inclusive stakeholder forum and provide an institutional framework that is clear and accepted by all stakeholders to enhance participation and involvement in the whole process; it should clearly lay down the responsibilities and mandates of the different players;
- g) It should prioritize risks or hazards for that community or society: It should clearly discuss and prioritize the risks to be planned for;
- h) **It should contain guidance and procedures:** The contingency plan should contain detailed guidance and procedures for prevention, mitigation, preparedness, response, recovery, rehabilitation and reconstruction based on the disaster cycle. These are standard operating procedures.
- i) **Scenario building**: It should outline the possible effects of selected hazards and how they are likely to manifest in practice and identify different response actions and plan for them considering different scenarios;
- j) Outline of action plans under each scenario: The contingency plan prepared must outline what action is to be taken under each scenario, why that action is important, how it will be undertaken, when, where and by whom;
- k) Simulation of the scenarios: The contingency plan developed must be tried out under each scenario based on a "mock" situation of a hazard occurring. This would enable gaps to be easily identified and rectified before the contingency plan is put into action in a real disaster. It is like a fire drill with the aim of keeping people alert and aware of their responsibility in case of a hazard;
- The contingency plan should outline resource requirements and their sources: Under each scenario, the contingency plan needs to clearly lay out all resources required to mount a response; outlining coordination and logistical arrangements under each scenario;
- m) Simple and realistic: Contingency plans should be simple, be formulated in participatory manner and should be realistic, supported by preparedness actions that are identified as a result of the contingency planning process;
- n) **Updating the contingency plan:** The contingency plan should have provision of updating the plan based on real time experience of before, during and after the hazard so that the plan can be updated and remain current based on lessons learned and experience gained from implementation;

### c) The process of disaster contingency planning:

The quality of the process of disaster contingency planning is as important as the quality of the contingency plans developed. Thus, the development of disaster contingency plans must be seen as a process of bringing people together within the same system to enable them to collectively address a common disaster risk and to collectively pursue common disaster risk reduction and management measures. Coupled with updating contingency and response plans is the whole area of participatory monitoring, evaluation and learning system. The ability to learn from hazard events can further enhance disaster risk management and contingency planning.

In order to be relevant and useful, contingency planning must be a collaborative effort. It must also be linked to the plans, systems or processes of other government, UN, CSO, Donor and Private Sector bodies at all levels – regional, national, district/county and community. Contingency planning and preparedness should be considered a core organizational activity within regional and cross-border programming in the IGAD Region.

In summary, the contingency planning process aims to prepare government an organization to respond well to an emergency and its potential humanitarian impact. Developing a contingency plan involves making decisions in advance about the management of human and financial resources, coordination and communications procedures, and being aware of a range of technical and logistical responses. Such planning is a management tool, involving all sectors, which can help ensure timely and effective provision of humanitarian aid to those most in need when a disaster occurs. Time spent in contingency planning equals time saved when a disaster occurs.

### 3.3 Proposed contingency plan and planning model

In order to bridge the gap in the disaster contingency planning process and content, it is suggested that IGAD, Member States and Non State Stakeholders consider the framework represented in the figure below for regional and cross-border contingency planning:



The following features depict the processes represented in the figure above:

- 1. The disaster contingency plan is the basis for early warning and also informs the implementation plan;
- 2. Early warning information triggers contingency fund activation and informs rapid assessment in the event of an impending or on-going hazard;
- 3. Early warning information and rapid field assessment inform the updating of disaster contingency plans;
- 4. The implementation plan supports the requisition of contingency funds and informs reporting;
- 5. The requisition of disaster contingency funds gets the funds to be allocated and also informs reporting.

For effective regional and cross-border disaster contingency planning and funding, the above model seems reasonable. It depicts a continuum that combines the institutional and community preparedness with links to early warning information, trigger for contingency fund allocation, activation, and requisition with little delay in disbursements. It also provides accountability and monitoring framework for the system, ensuring no lags in time between early warning signals and decision making in the disbursement of contingency funds and implementation of contingency plans.

The following format is suggested for a disaster contingency plan. It is not the only format and it is not a prescription.

	Document section	What could be included in the contingency plan
1.	Executive Summary ( 2 pages)	A brief overview of the contingency planning process and plans
2.	Hazard and risk analysis (3	Brief summary of the multi-hazard nature of hazards and risks in
	pages)	risk management process
3.	Define the hazards being	Brief summary of agreed scenarios and planning assumptions
_	addressed in the contingency plan	based on the hazards to be addressed:
	(2 pages)	3.1 Type of hazard
		3.2 Sources of early warning information
		3.3 The stages of unfolding situation (seasonal calendar)
4.	Objectives and strategies of the	Define the objectives and strategies of the contingency plan based
	contingency plan (4 pages)	on disaster reduction strategies/options (preparedness and
_		mitigation) build up scenarios from anticipated hazard impacts
5.	Overview of management and	5.1 Thematic and geographic focus (counties and regions) and
	coordination arrangements (3	Clusters established and designated
	pages)	lead/agencies/organizations (national);
		5.2 Diagram of coordination mechanisms (at all levels);
		5.3 Summary of funding and funding options;
		5.4 Early Warning Information management arrangements;
		5.5 Cross-cutting issues;
		5.6 Risks and mitigation measures
6.	Summary of contingency plans (2	6.1 Preparedness plan
	pages)	6.2 Response plan
		6.3 Funding plan
		6.4 Communication plan
7.	Annexes	Annex1: List of participants
		Annex 2: Action Plan (what, when by who and where)
		Annex Contingency planning process and plan review (based on
		seasonal calendar in case of drought)
		Annex 4: Budget for response plans;
		Annex 5: Institutional structure; management arrangements
		Including ivia $\mathbf{E}$ as well as documentation of lessons learned and knowledge Management (KM)
		Knowledge Management (KM)

### 3.5 Indicators for effective contingency plans and planning process

This exercise to review the status of disaster contingency planning in the IGAD Region has dealt with the "*nuts-and-bolts*" of disaster contingency planning i.e. what it is, why it is necessary, when it should be carried out, the contents of a disaster contingency plan, who should be involved, what kind of institutional and management arrangements need to be in place, funding and implementation frameworks, etc. What is important now is to be able to measure progress in carrying the process of harmonizing regional disaster contingency planning forward. This section of the report deals with the subject of monitoring and evaluation as well as knowledge management.

A clear M+E and Knowledge Management (KM) framework, agreed among the key regional disaster contingency planning stakeholders from IGAD Member States, and based on the agreed and harmonized regional policy, legal, institutional, management, funding and implementation framework embedded within the IDDRSI regional program strategy (RPP), needs to be developed as part of IDDRSI's overall M+E framework to monitor progress in implementation of activities and production of expected outcomes. In addition, relevant risks and assumptions in carrying out planned monitoring and evaluation activities should be included in the M&E framework.

The table below provides a summary of possible aspects to be monitored in the quest to establish a harmonized regional disaster contingency planning framework in the IGAD Region.

#	Aspect of contingency planning	Indicators	Milestones and Targets	Risks/Assumptions
1.	Preparing for a contingency planning exercise	<ul> <li>Knowledge and skills among key stakeholders staff in disaster contingency planning;</li> <li>Knowledge and skills among key stakeholder staff in regional and cross-border programming;</li> <li>Standard operating procedures for regional disaster contingency planning;</li> <li>Harmonized regional policy, legal framework for disaster contingency planning among IGAD member states;</li> <li>Mandates of national institutions for contingency planning</li> </ul>	<ul> <li>IDDRSI agreeing with member states on Standard Operating Procedures for disaster contingency planning; cross- border and regional programming</li> <li>Developing customized training modules for key regional and national staff;</li> <li>Training of key stakeholder staff in disaster contingency planning; regional and cross-border programming, etc.</li> </ul>	<ul> <li>Member states are willing and committed to address regional and cross-border disaster risk management issues affecting pastoral and agro-pastoral areas of the IGAD region</li> </ul>
2.	Analysis of context for contingency planning	<ul> <li>Early Warning Information &amp; Data;</li> <li>Regional hazard profiles and mapping;</li> <li>Risk Analysis; Vulnerability&amp; Capacity Assessment/Analysis &amp; Mapping;</li> <li>Scenario development according to hazard type and magnitude;</li> <li>Drivers and underlying causes of disasters</li> </ul>	<ul> <li>Databases on meteorological data;</li> <li>Existence of regional early warning systems covering cross-border pastoral areas;</li> <li>Repository center established within IGAD institutions such as ICPAC;</li> <li>EWS elicits early response in the cross-border pastoral and agropastoral areas</li> </ul>	IGAD member states commit adequate resources for the establishment of disaster contingency planning frameworks including cross-border institutions or units to facilitate implementation
3.	The disaster contingency planning exercise	<ul> <li>Strategy, goal and objectives of the contingency plan- sector focus;</li> <li>Targets and target numbers, geographical coverage, etc.</li> <li>Activation of the disaster contingency plans;</li> <li>Management i.e. the organization, institutional and management structure; staffing requirements; assessment; logistics; communication;</li> <li>Mobilization of resources; media and information; etc.;</li> <li>Coordination among different players and stakeholders and within key institutions participating;</li> <li>Identification of roles and responsibilities, etc.</li> <li>Quality and accountability including guidelines, standards and principles of response;</li> </ul>	<ul> <li>Clarity, coherence and harmony across sectors and stakeholder objectives and aims;</li> <li>Numbers of hazards planned for; numbers of people vulnerable; number of geographical locations targeted; etc.</li> <li>Readiness capacity of response system;</li> <li>Flexibility of planning, procurement and decision- making within response organizational structures, including use of risk modifier funding arrangements, etc.</li> <li>Lag time between EWS signals and response</li> <li>Standard Operating Procedures (SoPs)</li> </ul>	• Those identified and selected to participate in the exercise are the right individuals and organizations to participate, i.e. have requisite knowledge, skills and attitudinal orientation to participate.
4.	Implementing some aspects of the disaster contingency plan immediately it has been developed	<ul> <li>Implementable plan in practice with can go ahead of time to get prepared;</li> <li>Magnitude of the preparedness gap based on analysis;</li> </ul>	<ul> <li>Simulation results used to update or improve the contingency plan;</li> <li>Understanding of preparedness gap by all stakeholders and knowing how to reduce the gap;</li> </ul>	• Resources for rapid reaction and response are set aside and are easily available and

		<ul> <li>Simulation exercises i.e. preparedness gap analysis and action plans; standard operating procedures or protocols; early warning, alert systems and triggers; logistics and program readiness; staffing and human resource requirements; resource mobilization; training and simulation; and linkages and communications, etc.</li> </ul>	<ul> <li>Key departments, agencies and individuals participate in the simulation exercise</li> <li>Resource mobilization and positioning for response in strategic locations;</li> </ul>	accessible to be deployed to implement the plan.
5.	Review and update the disaster contingency plan and evaluate the process of implementation during (real-time) and after the intervention.	<ul> <li>Suitability of structure and content of contingency plan to actual response;</li> <li>Results of contingency plan testing;</li> <li>Areas for updating the contingency plan;</li> <li>Effectiveness of the contingency plan in terms of its effectiveness in delivering expected results upon implementation;</li> <li>Contingency plan assessment carried out based on current information and data.</li> </ul>	<ul> <li>Key departments, agencies and individuals participate in the simulation exercise</li> <li>Resource mobilization and positioning for response in strategic locations;</li> </ul>	Resources for rapid reaction and response are set aside and are easily available and accessible to be deployed to implement the plan.

### 3.6 Case Studies of good practice disaster contingency planning and risk management

## 3.6.1 Institutionalization of CMDRR, PFSs and LEGS as part of disaster contingency planning <u>Community Managed Disaster Risk Reduction (CMDRR) Process</u>

CMDRR is the process of bringing people together within the same community to enable them to collectively address common disaster risks, and pursue common disaster risk reduction measures. It is a process that mobilizes a group of people in a systematic way towards achieving a safe and resilient community<sup>23</sup>. The CMDRR approach is a bottom-up community disaster risk management approach to increase resilience of participating communities and reduce their vulnerability.

CMDRR can be broken down into a number of distinct processes:

<u>Participatory Disaster Risk Assessment and Analysis (PDRA&A)</u>: PDRA&A is the process of gathering all relevant data about the community and its individual members and use it to determine the nature and extent of risk by analysing the characteristics of hazards, the degree of vulnerability and the capacity of the community/individuals to cope. The PDRA&A is done in the specific village and/or community, since each hazard affects different areas/communities differently. Participatory rural appraisal tools are used for effective community participation, for example: the hazard source-force tree, proportionate and pair-wise ranking, Venn-diagrams, social and resource mapping, storytelling, historical trends and vision mapping. The PDRA&A has the following four steps:

### Step 1: Hazard Assessment:

Often people refer to a hazard as a disaster, but by using the following definition it is easier to differentiate the two: A hazard only becomes a disaster when it affects a community unable to cope with its effects. If the community is able to cope, a hazard event will come and pass—without becoming a disaster. The objective of a Hazard Assessment is to clearly define the nature and behaviour of the hazard. A Hazard Assessment covers the following:

• Identification of all the hazards that the community is exposed to.

<sup>&</sup>lt;sup>23</sup> TECHNICAL BRIEF: Community Managed Disaster Risk Reduction (CMDRR) – CORDAID's Strategy for building resilient communities in dryland areas of East and the Horn of Africa Cordaid/REGLAP, June 2011

- Ranking the hazards in order of importance based on frequency, scale of potential damage (geographically and in relation to the population affected), duration over which the impact is felt, etc.
- Analysis of each specific hazard to establish its distinct characteristics.
- Based on the characteristics of the hazard, information can be built up on risk management/reduction.

### Step 2: Vulnerability Assessment

In a Vulnerability Assessment the location of people and assets at the time the hazard is likely to strike is assessed as the key determinant of their vulnerability—or degree of exposure. The assessment helps understand how different individuals/assets are exposed to varying degrees, and the underlying reasons for their location in unsafe areas.

### It covers:

- Identifying the elements at risk divided into human elements (by gender, sex, socio-economic situation, etc) and non-human elements (productive assets and critical facilities).
- Deciding their level of vulnerability—considering the proximity of the elements at risk vis-à-vis the hazard.
- Analysing why the element at risk is in that location.

The summary of the assessment will show vulnerability levels (high, medium and low) of various elements at risk in that specific community/location.

### Step 3: Capacity Assessment

The community Capacity Assessment identifies the strengths and resources present or missing among individuals, households and the community to manage resources in times of adversity. Capacity is defined as the strengths and resources that are available to reduce risk levels and/or hazard impacts. They may include physical, social, institutional or economic means, as well as skilled personnel or collective attributes—such as leadership and management. Capacity also refers to strengths and resources that exist for coping with, withstanding, preparing for, preventing, mitigating, or quickly recovering from a disaster.

In the context of disaster risk reduction, capacities are analysed in terms of how strengths, attributes and resources can increase or decrease the disaster risk. Because the nature of a hazard and the degree of vulnerability determine what capacity is needed to reduce disaster risk, capacities are analysed in relation to the hazard and vulnerability. In relation to hazards it is necessary to look at mitigation and prevention capacities, and in relation to vulnerability, it is the individual survivability and community readiness before and during a hazard event.

### Step 4: Disaster Risk Analysis

Disaster Risk Analysis is a systematic process of consolidating the findings of hazard, vulnerability and capacity assessment to determine the risk levels for various elements at risk. It contributes to the community's awareness about potential disaster risks it was unaware of before, and enables the community to define their community action to reduce disaster risk. It is an essential precursor to decision-making in disaster risk reduction, as well as the formulation of development policies, strategies, plans, programmes and projects.

### Developing Disaster Risk Reduction Measures

The disaster risk assessment and analysis only generates general recommendations on measures for hazard prevention, mitigation and vulnerability reduction. A second stage is necessary to select the best DRR strategy to deliver the DRR measures in the most efficient and effective way. The various strategic options need to be identified and subjected to criteria, including the communities' own capacity to implement it, the feasibility of the activities and the possibilities of partnership in implementation. The DRR measures are presented as development plans and contingency plans.

The Community Development Plan becomes the activities/interventions that are identified for implementation before the hazard event and focuses on addressing the root causes of the hazard and/or vulnerability. The objective of the development plan is to strengthen and increase the resiliency of the

community to the hazard. This could include livelihood, health and education activities, or setting up systems and structures to get ready for hazard events.

The <u>Contingency Plan</u> entails an "analysis of specific potential events or emerging hazard situations that might threaten the community or the environment and establishes arrangements in advance to enable timely, effective and appropriate responses to such events and hazard situations" (IIRR, CORDAID, 2007). The Contingency Plan provides communities with a guide to what their operational needs are, and the actions needed to manage the hazard events to ensure that they do not turn into disasters.

Box 3.1 The following example of a CMDRR-trained community in Marsabit County of Kenya will illustrate the benefits of the CMDRR process:

#### Funan Gumbi – In Moyale Sub-District on the Kenyan side of the Kenya-Ethiopia Border

Funan Gumbi community is located about 25 km east of Rawan and 35km North of Turbi in Marsabit County. The community had lived here for 20 years before conflict arose with the Gabbra, forcing them to move and only returned to this current site in April 2009 from Rawan, Walda, etc. where they had been displaced to. The population now is about 140 households (800 people). The Implementing Partner carried out a seven - day training on CMDRR as an initial investment into the community. The training involved hazard identification and defining characteristics of all the hazards; identification of resources and gaps and coming up with a Community Action Plan (CAP). The community prioritized hazards which included drought, conflict, bush encroachment, inadequate water, poor health facilities and no school for the children. Since then, the community has moved on in earnest to implement its CAP with support from the supporting organization and other stakeholders. As the Chair of the CMDRR Committee said, "A man will clean his house first before he goes to clean his neighbour's".

#### a) How practices and strategies have changed as a result of CMDRR interventions

First the training enabled them gain knowledge and the community members formed a CMDRR committee which provides the right leadership for community members to work together. They have implemented many interventions that are likely to make this community more resilient to drought.

#### Examples include:

- **Pan construction**: With cash for work support, the community has come up with a pan (1200m3) to harvest water purely for domestic use. They ration so that each household gets 40 litres per day. This would last the community 6-7 months into the dry season;
- **Roof catchment**: A total of 23 households have constructed iron sheet roofed houses out of their own resources and the agency provided support in form of 14 5000liter plastic storage tanks for roof catchment water harvesting;
- **Bush clearing**: With FFA from World Vision/WFP, the community cleared 1km x2km rangeland of invasive bush species. The community plans to fence off this vast area for selected animals during the drought. It further reserved 30kmx20km rangeland for dry/drought season grazing;
- **Restocking**: The implementing partner supported a restocking intervention with 20 camels. Even with the severe drought in 2011-2012, only 2 died;
- Slaughter destocking: Christian Community Services (CCS) had supported slaughter destocking between May and Sept 2011 at 25 sheep and goats per week for 20 weeks i.e. 500 sheep and goats @ 2000 per shoat. Five shoats were divided among 50 vulnerable households for meat; in this way, the seller got money, the vulnerable household got meat. They claimed they settled for slaughter destocking because of lack of market. They would have preferred to sell early and fetch more money. They also want to rebuild their herds and so will hold on to some of the livestock until the risk of losing them is imminent;
- Food voucher scheme: CCS also supported a food voucher scheme for 40 households @ KES 3000 per month for 5 months;
- Conflict Management & Peace-building: The community here has a joint peace committee with Turbi center and work closely. If conflict arises these committees are activated. No conflict has occurred since April 2009 because they have rangeland monitors on the ground watching over grazing land but also providing timely information on any suspicious activities from other tribes or from across the border in Ethiopia. Once such an activity is identified, the Community Based Conflict Early Warning and Response (CEWARN) is activated because the monitors pass the information to the CMDRR committee which in turn passes the information to the Turbi CMDRR committee, which mobilizes the government forces based at Turbi and jointly rush to the suspected site. Previously, the community used to lose 300-400 sheep and goats a year to raids and conflicts. Not anymore;
- Emergency Water Trucking: CCS supported Emergency Water Trucking (EWT) for 90 households receiving 20 litres a day for three months; each trip brings in 10,000 liters and costs KES 20,000;

- School construction: The community has completed 2 classrooms of the school and is planning to continue construction with support from stakeholders;
- **Dispensary**: Not yet implemented but it is in the Community Action Plan.
- b) Extent to which these households/communities are better to deal with a drought situation: Asked whether the community was now more resilient to drought than before, the response was: "It is only God who is resilient to everything". But the CMDRR committee admitted they were better than before. They gave examples like having reserved 30kmx20km rangeland for dry season grazing, which can take 10000 cattle or 40000 sheep and goats for 6 months into the drought; the new dam and roof catchment storage tanks full of water; reserved grazing which has been cleared of bush, etc. They feel better placed to cope and even if relief aid would be required, it would be minimal.
- c) Empowerment: The community is empowered. The CMDRR committee is able to leverage funds from other stakeholders such as CCS and WVI-K and community members have taken the initiative to construct better houses using their own resources. The CMDRR committee now plans to harvest standing hay and store it for the drought period. It is a small community of about 800 people and they take care of each other well. Asked whether resilience was the same across all segments or groups in the community, the committee said it was not because capacities of households were different e.g. herd size, asset levels, household composition, age, etc. The vulnerable are targeted to enlist their involvement and participation but also for sharing in the CMDRR process benefits.

#### d) Quantifying the benefits

- It is possible to quantify some of these benefits from the CMDRR process.
- The construction of the pan with water lasting the community 6-7 months means that the community will not require emergency water trucking which is very expensive. For example if each household requires 40 litres a day, the community would need approximately 5000 litres every day for the 6 months. If the water is to be trucked, the 5000 litres would cost KES 10,000 per day. In 6 months, the cost of emergency water trucking would be KES 1.8m. This is the money that is saved as a result of the pan being in place. The 14-5000 litres roof catchment storage tanks in the community would harvest another 70,000 litres of water, reducing the need for emergency water trucking by 14 trips costing KES 140,000. These are substantial amounts considering a small community of 800 people;
- Bush clearing of an area of 1kmx2km has improved reserved grazing for selected animals significantly. The CMDRR committee estimated that the number of livestock to be "admitted" into this reserved grazing would double from 500 cattle to 1000 or from 2000 sheep and goats to 4000 (4 goats=1 cow). These animals would utilize this improved rangeland for up to 6 months without destroying the environment. Due to the improved range, the production of these animals and their body condition will still be high even during the drought. They will be strong to withstand the drought and provide breeding stock after the drought;
- The restocking of vulnerable households with camels means that probably by the next drought they will have calved at least twice, providing a very strong foundation for vulnerable families to rebuilt their herds in addition to having milk almost throughout the year;
- Slaughter destocking not only injected KES 1 million into the community, it also provided meat to vulnerable households during the 2011-2012 drought period;
- The food voucher scheme not only provided much needed food for vulnerable households for five months but also injected KES 600,000 into the local economy since the food was procured through local traders;
- The absence of conflicts or raids due to an effective conflict management and peace-building system at community level has saved 300-400 sheep and goats valued at over KES 1.2 million each year.
- Then there are those intangible benefits like training and knowledge gained by the community and the positive social capital formed as a result of working together cohesively. The capacity to leverage funds from other sources other than the implementing partner and the advocacy and negotiation skills developed cannot be quantified. Overall this community is a very good example of what the CMDRR process can do in terms of building the resilience of communities against droughts.

The RISPA project has many of such examples as illustrated above, spread across all the countries – Uganda, Kenya and Ethiopia. The CMDRR process has led to improved development and implementation of community managed disaster risk reduction (CMDRR) action plans, with linkages to local government authorities and partners for consideration, increasing effectiveness and enhanced capacity.

In common with other approaches, CMDRR helps communities strengthen physical assets for resilience (water development, pastures, animal health care etc.) but its "edge" may be in the emphasis it places on intangible assets (capacity-building in "soft" skills such as representative processes for community organization and planning) – as the means by which to ensure that interventions are demand-led, well-managed by the community and hence sustainable. Measuring the potentially far-reaching impacts of those "process" assets requires the development of robust monitoring systems to follow communities over a number of years.
### • Pastoralist Field Schools (PFS)

### Box 3.2: Pastoral Field Schools (PFSs) and their applicability to disaster contingency planning

A Pastoralist Field School (PFS) is essentially a "school without walls", where groups of pastoralists learn through observation and experimentation within their own context. Using experiential and participatory learning techniques, participants are empowered, rather than advised what to do. The objective of a PFS is to improve the decision-making capacity of its participants and their wider communities, and to stimulate local innovation. It allows pastoralists to improve their management skills and to stimulate local innovation. It allows pastoralists to improve their management skills and to become knowledge experts on their own resource use practices.

A PFS will usually comprise of about 30 pastoralists (including elders, men, women and youths) who will meet regularly over a defined period of time (often between 1 and 2 years) and who make observations and experiments with their own livestock on the rangeland ecosystem. A trained PFS facilitator usually from or living in the community, will guide the learning process. The PFS approach is an adaptation of the Framer Field Schools (FFS) that was developed by FAO in South East Asia in 1989. The FFS were a means of empowering farmers to develop their own solutions to problems that research and extension could not provide answers for. In 1995, the approach was applied in Eastern Africa, originally in agricultural areas. In 2006, ILRI, together with VSF B, embarked on a process of adapting the FFS approach to the pastoralist context in northern Kenya. Since then, numerous NGOs have taken up the PFS concept. The PFSs are of particular value in helping pastoralists to supplement their existing knowledge in facing challenges such as climate change and emerging diseases.

A PFS will build upon the existing traditional systems of knowledge transfers among pastoralist communities. As the PFS approach has been expanding in recent years, it has become evident that harmonization of PFS procedures and coordination among actors is necessary to ensure widespread quality in interventions.

#### Key points of information on PFS facilitators

- The PFS facilitator needs to be a locally selected resource person. In groups that are started up with external facilitators, a community facilitator should be identified soon after the initiation of the field school to allow them to gradually take over the facilitation role. Where appropriate, Community Animal Health Workers can make ideal facilitators.
- Field level PFS facilitators who lead the regular PFS learning sessions should be trained by a Master Trainer (i.e. specialist in the FFS/PFS approach) in order to ensure universal quality of the approach.
- Training of PFS facilitators courses should be a minimum of 3 weeks;
- Facilitators can handle a maximum of 3 schools concurrently depending on their workload. All PFS learning cycles should include frequent monitoring/mentoring visits by PFS expertise.
- If possible, it is useful to establish sufficient capacity for PFS within the government structures.

#### Pastoral Field Schools – Implementation of activities

- **FS** group members should live within easy access of the learning site;
- 4 Timing of sessions needs to be established based on the availability of both men and women;
- The participation of women, youth, the poor and social minorities should be encouraged where possible according to socially acceptable norms but not dictated by them;
- It is useful to encourage the participation of the groups of innovators and individuals who have positive influence in the community;
- Local knowledge and resources should form key points for identifying topics to be learned;
- PFS facilitators should receive some kind of motivation allowance, whether in kind or cash, agreed by the group and if possible tied to the local casual labor rate. The rate and mode of facilitators' allowances should be harmonized among the NGOs and other implementing institutions in the area (and if possible nationally/regionally);
- Director funding to groups for learning is preferable, as opposed to in kind support, in order to enhance ownership and develop financial management skills in the group. Any form of group funding should include an element of cost sharing by the group. The PFS learning grant should be standardized and harmonized across development actors. The group should be encouraged to register officially with local authorities, and have a bank account, if possible;
- The duration of PFSs should be scheduled at roughly 40 sessions spread over around 1.5 years, although this is dependent upon the selected learning topics and the prevailing climatic conditions;
- 4 It is essential to gain the buy-in and support of PFS activities by the local authorities and the wider community.

#### Using PFSs as an extension approach for the "unreached (Agro) pastoralists in the IGAD Region

Probably the most important benefit of PFSs lies in its potential to reach the often "unreached" pastoralists and agropastoralists, if the approach is taken up and used by local and national governments in the region, as a way of providing extension services to pastoralists. The conventional extension approach has over the years failed to reach pastoralists because it is based on sedentary outreach extension services model. A very good example is where the DANIDA NRM medium Term Assistance Program (MTAP) in Kenya contracted the Water Resources Management Authority (WRMA) to build the capacity of Water Resource User Associations (WRUAs), to among other things, apply for and access funding from the Water Services Trust Fund (WSTF) for group development and for improving their water catchment areas. The WRMA was successful in the higher rainfall areas like Nanyuki, Kajiado, Nyeri and parts of Samburu because many WRUAs were reachable and were able to benefit from the funding. On the other hand, WRUAs from the arid pastoral areas of North Horr, Mandera, Garissa and Tana River had not even seen the training materials they were meant to be using in the capacity building program, let alone being able to apply for the funding. The main reason given by the WRMA staff was that pastoralists were not available and interested. But the truth is that the approach for extension services used to reach the WRUAs was probably inappropriate and inadequate.

The PFS approach can also be effectively used in organizing and mobilizing pastoralists and agro-pastoralists to get more involved in devolved administrative structures; drought management and food security coordination structures at the village, ward and even county levels in Kenya, as has recently been revealed in a review by the National Drought Management Authority (NDMA) on coordination structures at the community level.

### Example of the effectiveness of PFSs in the Oromiya Region of Ethiopia

Participatory impact assessments conducted in Borena and Guji zones of Oromiya region revealed that the PFSs had enabled pastoralists to identify and tackle their own problems, share experiences, and improve their livelihoods. They had also helped them to focus on pastoralists' common problems on drought and food insecurity. Pastoralists are now working on how to cope with drought and hunger. PFSs are mainly set up to empower pastoralists with knowledge and skills to make them experts in their own context. This approach has enabled (agro) pastoralists' lives to become more resilient and less vulnerable to disasters and shocks because communities have learned new ways of solving problems and to adapt to changes by sharpening their ability to make critical and informed decisions on their coping strategies. Among others, communities have learned better ways of self-organization and "experimentation" with new livelihoods options and ideas, thereby contributing to diversification of their livelihoods.

Many community members involved in PFSs in these two locations had the following to say: "The fact that we are organized as a group has empowered us because we got seed money and enabled us to share experiences. We have learned by doing useful activities to benefit our lives and livelihood strategies. We are trying out new things like fattening animals before selling in order to fetch much better prices. Previously we knew only children going to school, but now, we ourselves learn from PFS experts and from members. The PFS has motivated us to carry out self-assessment, to build social cohesion and social capital, to better manage our livestock and our farms and learning is experiential and practical. The PFS approach is all about improving our lives and livelihoods. In the past, there was no such group for learning to solve our problems. Now we learn about NRM, the effective use of our animals, we debate and then come up with agreed upon solutions. We work in small groups and this allows every member to actively participate. We are the designers, implementers and beneficiaries of the whole process".

On what changes members had made in terms of livestock management, knowledge, skills and attitudes, they claimed to have had many changes. In the past, there was no preservation of hay, now members were preserving hay and had started fattening their animals using range enclosures. Mobility is more organized than before and there is separation of lactating animals from non–lactating ones for better care. Animals were now sold in better condition. They used to sell more livestock during the dry season, but this was loss to them due to poor prices. They could now hold onto the animals and take care for them to survive drought and fetch better prices later.

On comparison with non PFS pastoralists within the same community, they think PFSs members are better prepared for hazards such as drought. For example the group in Kenchero PFS in Borena Zone southern Ethiopia had identified its problems and was working to minimize impacts of droughts. PFS members and families were in better hygiene, many non PFS members of the community envied them; they thought it was because of learning many new aspects on lives and livelihoods, which nobody taught them before. The PFS members came together every week and had better opportunities to discuss problems and find solutions as a group. In the past, they only worked together when the government ordered them to do so. Now they saw the importance of working together and they did it for their common good. They have savings; they are fattening animals and are using crop residues to feed livestock, etc., with the main objective of reducing

vulnerability to drought. The PFS members claimed that although non-PFS members undertook some of these activities, the activities of PFS members were more organized/ planned.

Generally, the knowledge and practice changes of PFS members before and after 50 learning sessions (one year of participation and involvement) were in the following areas:

- Selective treatment, i.e. feeding and healthcare to herd and selected animals (lactating, growing animals, etc.);
- Strategic selling of animals and products in order to fetch better prices; no distress selling anymore;
- Saving and credit;
- Fodder conservation;
- Thinking of and practicing other income generating activities income diversification;
- Water development;
- Being empowered to solve our own problems instead of waiting for external support such as relief aid;
- Women participation in livelihoods improvement;
- Knowledge and practice in adapting to climate change;
- Household food security.

### Livestock Emergency Guidelines and Standards (LEGS) as a contingency planning approach

From early 2000, various agencies and individuals involved in livestock relief work began to question the quality and professionalism of their interventions. For example, inputs such as emergency veterinary care often arrived too late to be of any value and when delivered to people free-of-charge, undermined local service providers. In these situations, although some animals may have been saved in the short-term, the capacity of local services to provide more long-term support was damaged by the relief response. These kinds of problems were compounded because donors and NGOs often lacked in-house livestock expertise and decisions on livestock programming were made without professional input.

Over time, these concerns were linked to current thinking on livelihoods and the concept of 'saving lives and livelihoods'. Some agencies started to explore ways to deliver emergency livestock de-stocking programs using local traders. Others began to deliver emergency veterinary care through the private sector. The LEGS process brought these and other initiatives together to produce a single set of international standards and guidelines for livestock emergency interventions. From a global perspective, the most pressing need is to improve livestock relief programming with communities who rely heavily on livestock for their social and economic well-being. LEGS covers livestock interventions in these areas, but also addresses livestock support to settled farming communities and livestock kept by people in urban areas.

Climate change is resulting in more frequent and diverse types of disaster. Especially vulnerable are livestock-dependent communities in fragile arid and semi-arid environments who are experiencing increasing drought followed by severe flooding. LEGS address these and other types of slow and rapid onset emergency, as well as those compounded by conflict.

Although CMDRR, PFSs and LEGS approaches to working with communities are in themselves not necessarily disaster contingency planning activities or approaches, they have proved to be very effective outreach and emergency planning approaches that can support disaster contingency planning. In Ethiopia, some of these initiatives are now being institutionalized within formal government livestock extension services and the point in discussing the approaches here is that IGAD, through IDDRSI and the RPLRP, could facilitate their uptake by IGAD member states and institutionalize them to become part of the pastoral extension outreach approaches.

### 3.6.2 Improving animal health coordination in cross-border regions in the IGAD Region

During droughts or other crises that affect pastoral livestock in the IGAD region, mobility often escalate as a way of helping pastoral mobile herders to escape the effects of potential livestock diseases outbreaks and infections in a particular location. This often means cross-border communities will cross international borders and boundaries. It may also be as a result of a hazard such as drought, whereby natural resources on one

side of the border are depleted and herders are forced to cross over the border to negotiate access to pasture, browse and water for their livestock. In the process, livestock diseases and parasites may be transmitted across borders, exacerbating the problem among cross-border communities. This is such a common occurrence along cross-border areas and yet to-date, IGAD Member States still only address this challenge through Memoranda of Understandings (MoUs) as opposed to harmonizing, formalizing and institutionalizing approaches, to provide Standard Operating Procedures (SoPs) for cross-border animal disease control, particularly during outbreaks of notifiable diseases that require vaccination and treatment of livestock across the borders.

In 2012, a Memorandum of Understanding was brokered between Kenya and Uganda, with IGAD's support, to establish a framework and modalities of cooperation for the joint planning, management and execution of the joint cross-border animal health programmes. In June 2016, the same approach was applied between Ethiopia and Kenya. The commitment from the three countries is to roll out joint programs aimed at enforcing animal health policy and legal frameworks; establish coordination and management units as well as steering committees for the effective cooperation and implementation of animal health activities. This would also include frameworks for information exchange across the borders and would be operationalized within the IDDRSI strategy.

The expected outcomes of such cross-border agreements include: (1) coordinated animal health programs; (2) harmonized implementation of legal and policy frameworks; (3) enhanced linkages & information sharing: Community -Local Authorities-National & Regional Governments; (4) addressing practical challenges pastoralists face (e.g. access to veterinary drugs and services) and (5) improving animal health & building resilience of local communities. The indirect outcomes of this protocol include: (i) stimulation of trade; (ii) regulation of movement of goods and mobility of people and livestock across the border; (iii) facilitation of ecosystem-based planning & Resource use.

This approach seems to have been effective in facilitating livestock disease control measures across the three international borders. In 2014 for example, the county government of West Pokot on the Kenyan side used its own funds to support the vaccination of all animals across the two sides of the border, at a time the Ugandan side did not have the readiness to vaccinate at the same time. This success needs to be reviewed, analysed, documented, formalized and institutionalized as a way of working across the border. It should serve as a model of success for other countries in the IGAD region.

Harmonization and institutionalization could include outlining priorities to inform programming and investments, i.e. at local-national-cross-border and regional levels; defining institutional structures and implementation arrangements to deliver programs and coordination initiatives; identification of opportunities for linkages with existing and emerging coordination structures, processes and programs by Member States, IGAD and development partners. The operations of such a cross-border program would also be to develop the programme strategy and priority interventions by outlining implementation structures and arrangements, ensuring linkages, coordination and harmonization with existing and emerging opportunities and structures such as the IDDRSI framework, the RPLRP, County Governments, national structures and programs and development partners' programs, among others.

Again, it is emphasized here that although cross-border harmonization of animal health and disease control initiatives is in itself not a disaster contingency plan or activity, it provides the framework under which disaster contingency plans e.g. cross-border animal vaccinations and treatment can be planned and launched.

### 3.6.3 Disaster Contingency Planning Guidelines for Woreda Level in Ethiopia

Ethiopia has historically been affected by different kinds of disasters, which have been increasing in frequency and magnitude, because of population growth and other factors. Under such circumstances, preparedness for disasters becomes an important component of the overall disaster management cycle. A culture of preparedness, in line with the priorities of the Hyogo Framework for Action, will be strengthened within communities and institutions. The disaster contingency planning guideline helps planners at any governmental level to create a comprehensive contingency plan, which covers any hazard and sector. The

users of the manual can be government officials, executive bodies and associated stakeholders, community based organizations, private sector, NGOs, UN organizations and donors working in a certain territory.

The goal of the guideline is to create a framework that can be used to develop Contingency Plans at any level, although initially the first intention is focused at Woreda level. This helps the government to organize better the response mechanisms and make it feasible for any actor in the country to find the required information at the time of emergency or to help in the process of Contingency Planning at any administrative level.

The comprehensive contingency planning guideline is based on international experiences and on Ethiopian Contingency Plans so a number of existing and well-established guidelines for contingency planning have been used for this purpose. The guideline is designed to help people involved in DRM issues at any level in the country to develop contingency plans. Section 1 provides information and instructions on the fundamentals of contingency planning and their application. Section 2 presents information about the contingency planning environment in Ethiopia and its principles and objectives. It helps in contextualizing the background and to understand the fundamentals of the Contingency Planning Process. Section 3 explains the planning process and the steps in building a Contingency Plan, while Section 4 describes the Contingency Plan Content Guide and how to organize the information needed and elaborated during the planning process to develop the contingency plan.

Detailed templates are annexed to these guidelines with the formats required in order to standardize the information. The annexes will contain additional relevant information for the planning process. The guideline helps the reader to understand the process to build a contingency plan but in addition, provides training material for trainers to use to facilitate training in Woreda contingency planning. The training process is cascaded from the federal level to the Woreda and Kebele level. The Federal government provides initial support though trainings, guidelines development and ToT (Training of Trainers) materials, pilot sample of Woreda plans and facilitation of resource mobilization. These guidelines aim at devising plans to enable each selected administrative area (Kebele, Woreda, zone, region or federal) to be prepared to have rapid, effective and appropriate response to disasters. The main objective is to provide the Woreda with a planning tool to reduce the adverse impacts of the hazards which affect the Woreda.

The Key Informant Interviews (KIIs) and Focus Group Discussions (FGDs) with staff of Oromiya and SNNPRS regional states during the field work of this assignment, as well as a scrutiny of a sample of woredalevel contingency plans developed using these guidelines provide evidence to the effectiveness and efficiency inherent in using the guidelines. Staffs in these regions were very positive about the usefulness of the guidelines.

It is on this basis that this consultancy concludes that just as Ethiopia has prepared guidelines for disaster contingency planning including training materials and sample contingency plans for learning purposes, so would it be necessary for the RPLRP and IDDRSI to support IGAD Member States to provide these guidelines for cross-border pastoral disaster risk management and contingency planning.

### 3.6.4 NDMA's Drought Contingency Fund Project (DCFP) in Kenya

The Drought Contingency Fund Project (DCFP) is a three-year Drought Contingency Fund Project (DCFP) financed by the European Union and implemented by the NDMA started in July 2014. It has two components: one finances early response to impending drought, while the second supports drought preparedness at both the community and county levels. Guidelines have been developed to support the identification and appraisal of drought preparedness projects which are funded and implemented when the early warning system signals either no drought or an alert phase.

Drought preparedness component

As a first step, the DCFP has rolled out a comprehensive preparedness audit in some arid counties to take stock of current capacities, identify bottlenecks to early response, and make recommendations for enhancing preparedness capacity. Prioritized preparedness activities were already lined up for implementation in seven counties in the 2015-16 fiscal year. The rest of the counties are facilitated to implement their drought preparedness activities in the next financial year. Re-planning and continuous updates of preparedness measures are sustained by the NDMA county teams and resource mobilization for their implementation is expected to be strengthened over time.

### Drought response component

Under the DCFP, a budget of Euro 10 million is earmarked to finance county drought contingency plans to ensure timely measures that mitigate the impact of drought. The funds are part of KES 570 million released by the European Union in June 2014 to reduce the impact of unusually low rainfall on livestock and livelihoods in arid and semi-arid counties. The disbursement of DCF is managed through the use of a computerized management information system (MIS). The software provides a critical link between the EWS triggers and the drought response plans. The DCF is designed to deliver quick response by the NDMA to counties in the event of drought being declared. The figure below shows the business process related to the disbursement and use of DCF. The DCF funds are specifically targeted to support the coping strategies and livelihoods of affected populations, in particular pastoralists, with the objective of protecting their productive assets and facilitating access to dry season grazing areas and rural services.



### DCF BUSINESS PROCESS

Between August 2014 and November 2015 the NDMA disbursed KES 335 million (about Euro 3 million) in response to drought conditions experienced in 16 arid and semi-arid counties. Since October 2015, some funds were disbursed to prepare for the expected El Niño phenomenon and related risk of floods. In particular, funds have been used to support the vaccination of livestock to minimize risks related to Rift Valley Fever (RVF) outbreaks in specific counties identified as hotspots.

The DCF requisitions by the counties focused on immediate priority areas to cushion communities against livelihood losses, with agriculture and livestock; water provision; security; coordination and food security comprising the large proportion of requests.

### Feedback of effectiveness

Initial feedback from recipient counties confirmed that the drought response activities had been extremely important in mitigating the impact of drought and helping affected populations minimize the loss of productive assets such as livestock. However, some issues related to the implementation of DCF have already been

identified and would need to be further analysed. Lessons learnt from the implementation of DCF activities are:

- There is insufficient focus on preparedness. For example, in some cases the county offices lost up to one month to prepare specifications for generators / pumps when this activity should be undertaken before a drought occurs ( as part of the contingency planning process).
- Limited use of livelihood analysis to identify drought mitigation activities that can better support livelihoods early in the drought cycle.
- In some cases relief activities are proposed too early in the drought cycle (e.g. slaughter de-stocking in alert and early alarm) or in the wrong period (e.g. distribution of seeds under alarm).
- Conflict management initiatives and natural resource use agreements need to be facilitated and resource sharing frameworks developed early during the normal phase of drought other than during the drought period.
- The lengthy procurement process may significantly delay the timely implementation of response activities (e.g. animal feeds delivered late in Wajir when the rainy season had already started).
- Insufficient focus on the scalability of services.
- Insufficient focus on the involvement of the private sector.
- A communication budget should be earmarked under the contingency plan to enhance information flow during critical periods.
- Standard Operating Procedures (SOP) are often not spelt out sufficiently.
- The capacity of county line ministries to implement drought response activities is not always sufficient to ensure the efficient utilization of DCF.

Since October 2015, the DCF has also been used to address preparedness for the El Niño phenomenon, which was predicted to be particularly severe in many parts of Kenya with high risk of floods and related displacement of people and destruction of infrastructure. In this regard, the NDMA disbursed about KES 52 million in ten counties between October and December 2015 to support coordination for El Niño preparedness and response and the vaccination of livestock against the Rift Valley Fever (RVF).

### 3.7.5 Selected Regional/National-level disaster contingency financing mechanisms for El Nino 2015-6 event

Regional El Niño preparedness and response initiatives spearheaded by IGAD's projects and programs, together with regional donor-funded programs with links to national initiatives, such as those of USAID, DFID and the EU Humanitarian Aid and Civil Protection department (ECHO) to give but few examples, were well prepared to support implementation of El Nino preparedness and response initiatives in late 2015 and early 2016. Examples are provided below.

Use of crisis modifer by ECHO - ECHO's response to the El Niño-triggered drought and/or floods in the IGAD Region included increasing the appropriate envelopes of emergency response as far as possible within the 2015 Humanitarian Implementation Plans (HIPs), very much along the lines of the crisis modifier financing mechanism increasingly being used by USAID/OFDA.<sup>24</sup> ECHO works closely with EU Delegations, Member States and humanitarian partners, to adapt humanitarian and development programs for early disbursement and mobilization of contingency budgets. Close monitoring of the food security situation during this El Niño event continued in all affected countries. Coordination at headquarters level with Member States, main UN agencies and other donors started and took place regularly until the effects of El Niño subsided. Also, the 2016 HIPs for the different countries in the region identified the potential impact of El Niño on the humanitarian situation, already affected by conflict, natural disasters and food insecurity.

<sup>&</sup>lt;sup>24</sup> USAID/East Africa Resilience Learning Project (2015): Early Response to Drought in Pastoralist Areas: Lessons from the USAID Crisis Modifier in East Africa. USAID/East Africa, Nairobi <a href="http://pdf.usaid.gov/pdf">http://pdf.usaid.gov/pdf</a> docs/pa00m1px.pdf</a> accessed March 2016.

- Hunger Safety Net Programme, Kenya the DFID-supported Government's Hunger Safety Net Program (HSNP), in October 2015, transferred KES 478 million (US\$ 4.7 million) to 187,000 vulnerable households in parts of Marsabit, Wajir, Mandera and Turkana counties, as a one-off payment to HSNP households with active bank accounts but not receiving regular payments. This shows the use of a contingency mechanism, whereby financing of an existing initiative is expanded to accommodate response to an emerging crisis or emergency. It followed a 'one program approach', where no separate arrangements or program is required to implement interventions to address an emergency within the same program location.
- Protracted Relief and Recovery Operation WFP in Kenya is involved in supporting community and household asset creation through Cash for Assets (CFAs) and Food for Assets (FFAs) programs under its Protracted Relief and Recovery Operation programs (PRRO). For El Niño preparedness and response initiatives, WFP received US\$5.7 million from the corporate advance financing mechanism and used this to purchase food, and prepare for cash transfers for the flood response. Through its PRROs, WFP uses SLI through General Food Distributions, CFAs, FFAs and the School Meal Support Program, and in harmonizing its interventions through joint action with other government, donor, CSOs and private sector initiatives.

With respect to El Nino's preparedness and response initiatives, WFP started emergency food distributions for flood-affected populations in Garissa and Tana River counties on 8 December 2015. A Kenya Initial Rapid Assessment (KIRA) confirmed that 6,170 households (37,000 people) in Tana River needed emergency food assistance. In Garissa, a meeting held on 6 December approved emergency food assistance for 4,620 households (27,700 people). Accessibility to some of the sites where the displaced people relocated remained a challenge. The County Government committed to providing tractors to help pull out food trucks if they got stuck. WFP was working with the Kenya Red Cross Society to implement the distribution in Garissa and Tana River counties.

In Isiolo, Mandera and Wajir, WFP's general food distribution for the November cycle (part of the response to the August long rains assessment) were found to have cushioned the impact of flooding for some of the flood-affected families. WFP's logisticians remained on ground, supporting five hot-spot counties i.e. Baringo, Garissa, Samburu, Marsabit, Tana River and Wajir. As far as resourcing was concerned, WFP received some additional donor funding to preposition food in the refugee camps, ahead of the rains. However, at the time of this study, no donor had committed additional funds to WFP for the impact of El Niño flooding. The advance financing of USD5.7 million was deemed to be meeting the initial anticipated requirements. Suffice it to say that this loan facility would need to be repaid from future contributions from donors. WFP was responding to El Niño flooding through the relief component of the protracted relief and recovery operation 200736: "*Bridging Relief and Resilience in arid and semi-arid areas of Kenya*".

International Federation of the Red Cross and the Kenya Red Cross Society - supplemented the NDMA, WFP and the NDOC in monitoring the humanitarian situation countrywide. They assisted the Government in moving people to higher ground, carrying out rapid assessments where needed, and distributing non-food items. Other NGOs, both international and national, also assisted with localized responses. In Mandera, the River Daua burst its banks, resulting in flooding and destruction of crops. The county government intends to provide relief food to farming communities in three wards that lost their harvests, as the farmland remained flooded. In Wajir County, 2,600 families, previously displaced by inter-clan conflicts along the Eldas-Wajir north border were in bad condition, as the rainfall had destroyed their houses and livelihoods. The county government assisted them to return to their homes, but it was expected that more assistance would be needed as they resettled.

These selected contingency financing mechanisms emphasize support to national and sector specific initiatives.

# 4. LESSONS LEARNED IN DISASTER CONTINGENCY PLANNING ACROSS THE IGAD REGION

The following lessons have been identified with respect to policies and practice of disaster contingency planning in Kenya, Uganda and Ethiopia, although it should be noted by the reader that these are by no means exhaustive:

1. With respect to cross-border disaster contingency planning in pastoral areas of IGAD member states, member countries have national government-led processes and approaches but these are not harmonized across IGAD-member states. For example, in Ethiopia guidelines exist for disaster contingency planning right from the community to the federal level and these follow a multi-hazard approach. In Kenya, the focus of contingency planning is on drought and guidelines seem to be available only at county level. So national sector ministries for example, do not have guidelines from the National Drought Management Authority (NDMA) on how to undertake drought contingency planning, let alone adopting a multi-hazard approach.

In Uganda, there are no government-led guidelines and standards for stakeholders to undertake disaster contingency planning. The lesson here is that harmonization of policies, institutional frameworks and implementation of cross-border disaster contingency planning initiatives in cross-border pastoral areas of the IGAD region is important for effective disaster risk management in the region, bearing in mind that most climate-related hazards transcend international borders and boundaries;

- 2. IGAD member states and their development partners have country-specific disaster risk management frameworks but regional institutions such as IGAD; the East African Community (EAC) and the African Union (AU), among others have a comparative advantage in regional and cross-border programming, including disaster contingency planning. This is largely due to their mandates and ability to effectively program with two or more Member States in their cross-border pastoral and agro-pastoral areas, for which these regional institutions should take advantage. The lesson is that IGAD and other regional integration institutions, such as the East African Community (EAC) have a vital role in cross-country and cross-border disaster contingency planning and in supporting initiatives across two or more countries, with more effective capability than any of the Member States undertaking the same initiatives each on their own, hence the need for harmonized frameworks for cross-border disaster contingency planning in the pastoral areas of the IGAD region;
- 3. An adequately supported and resourced IGAD Secretariat, with its core functions and staffing underwritten by regular, predictable and multi-annual funding streams from national treasuries public financing mechanisms, is a prerequisite for effective and efficient coordination of regional and cross-border disaster contingency planning in the IGAD Region. Thus, IGAD member states' commitment to the coordination role of IGAD's IDDRSI platform and cross-border initiatives, ultimately determines the success in cross-border disaster risk management and contingency planning in the pastoral areas of the IGAD region;
- 4. Capacity building of communities in community-managed disaster risk reduction (CMDRR), which includes a large component of disaster contingency planning, makes a big difference in community level disaster preparedness (See Section 3 of this report). During this assignment, four different communities were randomly visited in Kajiado county in Kenya, two with CMDRR training and two without, although all four had each an NDMA field monitor collecting drought EWS data regularly. There was a clear distinction between the two trained communities and those without CMDRR trained. Those which had gone through the CMDRR narrated how they were trained by the NDMA and NGOs working in their area and showed the consultancy team their community action plans, which had helped them to make critical decisions during stress periods, including livestock mobility and animal disease risk avoidance, due to better community organization for disaster risk management.

The other two communities had little to discuss on setting aside community contingency resources for

the "hard times". Although community-level disaster contingency planning was not the focus of this consultancy, the lesson from this field visit is that community mobilization and training for disaster risk management is vital in ensuring a significant level of disaster preparedness at the community level. Through approaches such as CMDRR, use of Livestock Emergency Guidelines and Standards (LEGS) and Pastoral Field Schools (PFSs), among others, communities can be equipped to provide the first line of defense against drought and other hazards. These methods and approaches could be used more, and should even be institutionalized within local governance frameworks in the pastoral areas of the IGAD region, as is happening now in Ethiopia;

- 5. Devolved and decentralized governance structures emerging in the IGAD member states are giving voice to citizens and opening up democratic space for growing community participation and engagement in development and humanitarian programming. Also, gender equity and inclusivity, as shown by the IDDRSI gender study in the IGAD region, is an important fact in effective pastoral area disaster contingency planning processes. This is because both women and men are affected by disasters but more often, women are affected more, both in terms of their practical as well as strategic needs.
- 6. Formalizing regional and cross-border policy harmonization, institutionalization and implementation initiatives such as disaster contingency planning, with specific reference to pastoral areas across two or more IGAD member states, is vital for effective cross-border programming;
- 7. For disaster contingency planning in pastoral areas to succeed at regional level and in pastoral crossborder areas, agreed upon institutional and financing frameworks, with effective ownership and participation by diverse stakeholders, ought to be established and aligned to harmonized member states' policies and objectives. They must not be temporary task forces *or ad hoc* committees, but rather permanent structures, adequately resourced and embedded within relevant government structures with effective leadership and coordination nation capacity, engaging all stakeholders on a continuous basis to build trust relationships;
- 8. Regional and cross-border institutional Coordination, Collaboration and Cooperation (3Cs) for disaster contingency planning in the pastoral areas requires effective inter-governmental leadership by legitimate and respected institution(s) with adequate technical, financial and material resources to perform this full-time responsibility;
- 9. Devolution in Kenya and decentralization in Uganda and Ethiopia are opening up space for community participation and engagement in development and humanitarian programming, providing one of the most formidable forces to demand for transparency and accountability in resource allocation and in decision-making that affects their lives and livelihoods, as exemplified by recent protests on land ownership and tenure issues in Narok County in Kenya and in the Oromiya region of Ethiopia, to give but a few examples;
- 10. Disaster contingency planning is a relatively new approach to disaster risk management planning, both within national government MDAs and pastoral communities, long used to the development- emergency (food aid) *modus operandi*: A lot of training and capacity building is required at all levels for disaster contingency planning to begin having the desired and expected effect of improving disaster risk management in the IGAD region. An important lesson learned from implementing this consultancy is that training and capacity needs in disaster contingency planning are numerous and that government staff from member state MDAs, as well as staff from Civil Society Organizations (CSOs); Community Groups and other stakeholders active in contingency planning work desire such training and capacity development in order to equip them to undertake their responsibilities more effectively.

### **5. TRAINING NEEDS ASSESSMENT RESULTS IN THE THREE COUNTRIES**

### 5.1 Training Needs Assessment (TNA)

This consultancy assignment carried out a training needs assessment in the area of disaster contingency planning. Checklists had been prepared and divided into the five main steps of the contingency planning process and the training needs assessment sought to assess the perception of respondents in terms of the need for training and capacity building in disaster contingency planning as well as which step in the contingency planning process needed the greatest capacity development or training. However it became clear during this assignment that most stakeholders consulted felt training needed to be wholesome and comprehensive to cover disaster risk management as well as other related topics in order to give greater meaning to disaster contingency planning training. Most of those consulted felt that contingency planning should not be isolated when it came to identifying training needs, thereby prompting the consultant to collect data on other related training needs pointed out by stakeholders. These training needs or courses are presented in table 5.1 below.

As earlier discussed in this report, a disaster contingency plan is a course of action that may be designed to help communities, organizations, institutions and government authorities, among others, to respond effectively to a significant future hazard or situation that may or may not happen. A contingency plan is sometimes referred to as "*Plan B*," because it can be also used as an alternative for action if expected results fail to materialize. Contingency planning is a component of development programming continuity; disaster recovery and risk management.

Developing a contingency plan involves making decisions in advance about the management of human and financial resources, coordination and communications procedures, and being aware of a range of technical and logistical responses. Such planning is a management tool, with a multi-sectoral and multi-stakeholder approach, which can help ensure timely and effective provision of humanitarian aid to those most in need when an emergency crisis occurs, with a view to avoid the situation turning into a disaster. T. Effective contingency planning should lead to timely and effective disaster-relief operations;

### 5.2 The five steps of developing a disaster contingency plan

The five steps involved in developing a disaster contingency plan are as presented in the figure below.





- Prepare: This aspect provides some of the definitions, key considerations and principles that must be taken into account when preparing a regional and cross-border disaster contingency plan for the pastoral areas in the IGAD Region. Sections covered under this component of the contingency plan include: i) what is contingency planning? b) when and how to develop plan; c) national authorities mandates and contingency planning; d) resilience building and regional/cross-border contingency planning; e) principles, quality and accountability; data collection and practical steps to prepare for planning;
- Analyze: Analysis helps planners to create realistic scenarios on which the contingency plan will be based, including what the likely priority needs will be and IGAD's or IDDRSI/RPLRP's role these. The component covers aspects such as: i) hazards; ii) vulnerability and capacity assessments (VCA); iii) risk analysis; iv) impacts of a hazard or disaster; v) role, mandate and capacity of the national and sub-

national institutions; and vi) scenario development;

- 3. **Develop**: This is the stage where the actual preparation of the contingency plan is set out and it covers aspects such as: i) strategy, goal and objectives of the contingency plan- sectoral focus, targets and target numbers, geographical coverage, etc.; ii) activation of the disaster contingency plan; iii) management i.e. the organization, institutional and management structure; staffing requirements; assessment; logistics; communication; mobilization of resources; media and information; etc.; iv) coordination among different players and stakeholders and within key institutions participating; definition of roles and responsibilities, etc. and v) quality and accountability including guidelines, standards and principles of response;
- 4. Implement: Contingency planning is about being prepared. This component looks at how certain parts of the contingency plan developed in c) above could be put into place immediately, answering the question: "what can we do ahead of time to get prepared?" This often depends on "preparedness gap analysis" and the best way of testing a plan is to try it out through simulation. Simulation e.g. through a role play will help planners see what works and what does not work. Aspects covered here include: i) preparedness gap analysis and action plans; ii) standard operating procedures or protocols; iii) early warning, alert systems and triggers; iv) logistics and program readiness; v) staffing and human resource requirements; vi) resource mobilization; training and simulation; and vii) linkages and communications;
- 5. **Review:** This component includes updating and evaluating disaster contingency plan and evaluating the process of implementation during (real-time) and after the intervention. Once the first version of the disaster contingency plan has been completed, it is important to determine whether the structure and contents are best suited to actual response capabilities. The plan needs to be tested and changes made, if necessary. Contingency plans quickly become outdated due to changes in the social, economic, legal and institutional context and regular updating of the contingency plan is therefore necessary. In addition, the efficacy of a contingency plan can be assessed once it has been implemented. Assessments should be carried out using current information and data.

For training needs in disaster contingency planning, the above five areas were presented to stakeholders where they were asked in which step of the process they thought training was required. A total of 50 respondents out of the 80 consulted agreed or were willing to invest their valuable time to participate in the training needs assessment either in Focus Groups Discussion (FGDs) forums or during the Key Informant Interviews (KKIs) carried out by the consultant.

### 5.4 Results of the disaster contingency planning training needs assessment

Respondents were asked to tick the column where they felt training or capacity development was needed. Four different levels as shown in the table below were provided in the checklist. The results from each form or checklist marked were analysed and the table below shows the proportional piling of how respondents ticked the boxes. Each star in the table below represents 5 respondents. For example, if there are five stars under level 2 (basic level of capacity in place; more need for general training in disaster contingency planning) for the first step – "**PREPARE**" in contingency planning (i.e. preparation for contingency planning phase), it means that 25 respondents out of 50 (or 50%) felt that "only basic level of capacity was in place for this step in contingency planning and that more general training was required".

Another example from the table is: "understanding pastoral and agro-pastoral livelihoods and their risks in the IGAD region". There is only one star in that "box" meaning that only 5 respondents out of 50 (10%) felt there was "a clear need for training and increased capacity" while many more felt there was "basic to moderate level capacity in place and both general and targeted training would be required".

Table 5.1 Results of the training	needs assessment	across different s	takeholders in th	ne three countries
Capacity Development Needed	1.	2.	3.	4.

	Clear need for training and increased capacity	Basic level of capacity in place; more need for general training in DCP	Moderate level of capacity in place; targeted training needed	High level of capacity in place; no serious need for external intervention in terms of training and capacity development
PREPARE				
DCP Policy, Legal & Institutional Framework formulation and advocacy skills to influence their implementation	* **	***	**	**
Mainstreaming DRR/DCP into sectoral programming & Planning;	* * * * *	***	* *	
Regional and Cross-border Inter- Agency Common Programming Approach for DCP	****	****	*	
What is disaster contingency planning?	**	* * **	**	**
Global standards, contingency planning principles, codes of conduct, norms and instruments specific to DCP within the global DRR agenda.	* **	***	**	**
ANALYZE				
Hazards analysis	* * *	* * * *	** *	**
Assessment (VCA)	$\star \star \star$	$\star \star \star \star$	* *	**
Disaster risk analysis and mapping	$\star \star \star$	***	* *	**
Disaster impacts on (agro-) pastoral livelihoods in the IGAD Region	* *	**	** * *	**
Role, mandate and capacity of national government institutions for DRM/DCP	*	* * *	* * *	* * *
IGAD's potential role in regional/cross-border disaster contingency planning for (agro-) pastoral areas in the IGAD region	*	***	****	**
Developing Scenarios		***	* *	*
DEVELOP				
Developing contingency plans and content	* *	** * *	***	*
Strategy, goal and objectives of the DCP process	**	* * *	****	*
Contingency Plan	* * *	$\star \star \star$	***	*
Management: Internal management structure- human resources, logistics, communication, media, resources, etc.	****	**	* *	*
Inter-Agency, Multi-Agency & Multi- Sectoral regional/cross-border DCP: Coordination, Stakeholder Participation, Community/Traditional Institutions, etc.	** **	* *	**	**
Quality and accountability: Standards; Principles of Response	* ***	** *	* *	*
Preparedness gap analysis and action plans	* * * *	* *	* *	**
Standard Operating Procedures (SoP)	* * ***	* * *	*	*

Early Warning, alert systems and triggers	* *	$\star\star\star$	* ** *	*
Logistics and programme readiness	****	* **	*	*
Human resources	** *	* **	* *	**
Resource Mobilization	* *****	* *	*	*
Training and Simulation	$\star$ $\star$ $\star$ $\star$	* *	* *	*
Linkages and communications	$\star \star \star$	** *	* *	**
REVIEW				
<ul> <li>Updating and evaluating the Disaster Contingency Plan:</li> <li>Which sections should be updated;</li> <li>When or how frequently to up- date;</li> <li>How or with which methodology should the plan be updated;</li> <li>Who has responsibility for updating;</li> <li>What resources are required to update the DCP;</li> <li>Registering when changes have</li> </ul>	*****	**	*	*
been made to the DCP				
<ul> <li>Evaluating during (real- time) and after the response:</li> <li>Use of pre-established criteria and indicators to evaluate different aspects of the plan in order to reach conclusions;</li> <li>Lessons learned and actions necessary for its improvement;</li> <li>SWOT analysis of DCP;</li> <li>Aggressive and thorough follow-up on key issues and recommendations;</li> <li>Responsibility for evaluating the DCP</li> </ul>	****	**	*	*

From the table above, the following inferences can be made regarding the results of the training needs assessment in disaster contingency planning:

From the analysis of responses a lot more are concentrated in the first two levels of capacity to undertake disaster contingency planning. These first two levels are: (1) the clear need for training in order to increase capacity; and (2) existence of only basic training and therefore the need for more general training in disaster contingency planning.

1)This majority opinion can be explained by the statement from Oromiya Region technical staff in Ethiopia, which was echoed across the three countries, almost in equal measure, and hereby summarized: "<u>Organized</u>, <u>structured</u> and <u>formal</u> disaster contingency planning is a relatively new approach to disaster risk management planning, both within Federal/Regional and Woreda Government Ministries Departments and Authorities (MDAs), as well as among pastoral and agro-pastoral communities, which have long been used to the development-emergency (food aid) modus operandi. As a result, a lot of training and capacity building is required at all levels for disaster contingency planning to begin having the desired and expected effect of improving disaster risk management in Ethiopia, and across borders with other IGAD Member States".

Also some respondents, especially from Kenya pointed to the fact that more training is required in disaster contingency planning because of devolution, which has sent new staff to the counties, some of which are not familiar with disaster risk management and yet are holding very key positions in devolved government

structures responsible for disaster risk management

2) The following aspects of disaster contingency planning process seem to have been identified as having the greatest needs for training and capacity development:

- i. Integrating or mainstreaming disaster risk management and contingency planning into sectoral programming and planning within government;
- ii. Regional and cross-border capacity inter-agency common programming approaches for disaster contingency planning;
- iii. Strengthening internal management systems including adequate, skilled and experience staff; logistics; communications; media; availability of adequate resources, etc.;
- iv. The need for training in strengthening stakeholder coordination, participation and improved involvement of traditional community institutions in disaster contingency planning processes;
- v. Need to improve quality assurance and accountability; adherence to internationally accepted standards and principles of disaster response, etc.;
- vi. Resource mobilization and establishment of disaster contingency funds, especially for cross-border programming in the pastoral areas;
- vii. Development of Standard Operating Procedures (SoPs) in disaster contingency planning across the IGAD member countries;
- viii. Logistics and program readiness to respond to hazards or disaster by activating contingency plans; preparedness gap analysis and action plans;
- ix. Regular updating and evaluating the disaster contingency plans; evaluating the disaster contingency plan (real time) and after the response.
- x. Developing scenarios in contingency planning and timeliness in activating the disaster contingency plans.

These results of the training needs assessment seem to be corroborated by the recent El Nino Review Study carried out by the Tufts University under the USAID- funded Resilience Learning Project (RLP), whose findings have been referred to earlier in this report.

### 5.5 The importance of training and capacity building within the RPLRP and IDDRSI

Discussions with the different stakeholders on training needs and capacity building in disaster risk management and contingency planning underscored the stakeholders' perception that the RPLRP and DRLSP were projects with a timeframe and that it was important for them to provide resources for building capacity and skills that can be retained in the region and in the different organizations and institution. These views from stakeholders emphasize the need for these projects and for IDDRSI as a whole to give capacity building and training high priority.

# 6. TOWARDS A HARMONIZED REGIONAL CONTINGENCY PLANNING FRAMEWORK

### 6.1 The Sendai Framework for Disaster Risk Reduction

The Sendai Framework for Disaster Risk Reduction 2015-2030 is the first major agreement of the post-2015 development agenda, with seven targets and four priorities for action. The framework was <u>endorsed by the UN General Assembly</u> following the 2015 Third UN World Conference on Disaster Risk Reduction (WCDRR) and adopted at the Third UN World Conference on Disaster Risk Reduction in Sendai, Japan, on March 18, 2015. It outlines seven clear targets and four priorities for action to prevent new and reduce existing disaster risks: (i) Understanding disaster risk; (ii) Strengthening disaster risk governance to manage disaster risk; (iii) Investing in disaster reduction for resilience and; (iv) Enhancing disaster preparedness for effective response, and to "*Build Back Better*" in recovery, rehabilitation and reconstruction. It aims to achieve the substantial reduction of disaster risk and losses in lives, livelihoods and health and in the economic, physical, social, cultural and environmental assets of persons, businesses, communities and countries over the next 15 years.

The Sendai framework is shifting focus from disaster risk reduction to disaster risk management, emphasizing the need to strengthen disaster risk governance i.e. enabling policy, legal, institutional, management and operational frameworks to support all stages of the disaster risk management cycle – prevention, mitigation, preparedness, response, recovery, rehabilitation/reconstruction. This is the global framework which needs to be taken into account when developing a harmonized framework for disaster contingency planning in the IGAD Region.

## 6.2 Rationale for a harmonized regional disaster contingency planning framework for IGAD Region

The rationale for a harmonized regional disaster contingency planning framework for the IGAD Region is based on the following overarching facts:

 Regional integration includes integrating disaster risk management initiatives across countries: Pastoral areas make up a large proportion of the IGAD Region. These are the areas most affected by disasters and cover about 70% of the IGAD region, receive less than 600 mm in annual rainfall and are commonly known as the arid and semi-arid lands (ASALs). Harsh and worsening ecological circumstances are increasingly creating conditions of chronic vulnerability, with persistent food insecurity, widespread economic hardships and human suffering, affecting the mostly pastoralist and agro-pastoralist communities that inhabit the region. Yet, more than 80% of the livestock found in the IGAD region are kept in these ASALs. In addition to livestock, the IGAD region is endowed with dryland crops and natural resources; and there are traditional markets in the region and the Middle East for non-woody forest products and livestock and livestock products. With an area of 5.2 million km<sup>2</sup>, an estimated 240 million people, a livestock population of over 336 million ruminants and an even larger population of wildlife and exotic plants, the IGAD region could easily be the engine of economic development in Africa.

The much sought after regional socio and economic integration will not be easy if integrated efforts are not forged to tackle floods, recurrent droughts and environmental degradation, which have exacerbated poverty and food insecurity in the region's vast arid and semi-arid lands (ASALs). The main economic activities in the ASALs, including livestock production, rain-fed crop agriculture and efforts to exploit non-wood forest products continue to bear the brunt of climate extremes and the harsh ecological circumstances in the region and remain severely constrained by the poor resource allocation from the public sector and the disturbances from resource conflicts. Moreover, the escalating demands for food, energy and social services arising from the region's rapidly increasing human population lead to increasing encroachment into forest reserves, bush clearing with the associated loss of biodiversity, degraded soils, desertification and reduced food and livestock production and result in migration to towns in search of employment. Regional socio-economic integration must include regional integrated disaster risk management for cross-border pastoral areas of the IGAD region.

• Some aspects of disaster contingency planning are best tackled at the regional level: Climate related risks and hazards such as drought, floods, epidemics, and to some extent natural resource-based conflicts transcend national borders and call for regional programming and approaches. This is more pronounced in pastoral cross-border areas where national government presence, particularly in terms of administration, security and infrastructure development as well as provision of basic services such as water, health and education facilities have lagged behind other areas in the different countries of the region. Hazards are cross-boundary in nature and require concerted effort and common programming frameworks across countries, in addition to national initiatives, in order to effectively tackle the impacts of hazards and in some cases disasters. A good example is in trans-boundary animal diseases (TADs), specifically with reference to animal vaccinations, where best efforts of one Member State may be nullified by inaction by another member. In such a case, a harmonized strategy for vaccinating animals across all the borders yields better results than a single handed Member State Approach. It is only prudent that Member States harmonize approaches, policies, institutional and implementation arrangements to address such aspects of pastoral livelihoods across international borders and boundaries.



Map 1: Cross-Border Clusters

- Cross-border communities on either side of the border share common socio-cultural values and **livelihood strategies**: Nearly in all cross-border areas, communities on each side of the border are related; have common livelihoods strategies; share common resources especially water and pasture; largely agree to share critical resources during times of stress; have free movement of goods, services and people across the borders and do not always see themselves in terms conflict with each other and there is more in common among these communities that there is in their differences. Harnessing positive social capital and enhancing socio-economic benefits that come together with living in cross-border areas can only be done when the administrations and political leadership of both sides of the border are in agreement. An important example here is disarmament. In Uganda, this process has borne fruit in terms of reducing livestock raids and banditry in areas such as Karamoja. But at the same time, the Turkana and the Pokot, on the Kenyan side, are still armed to the teeth, making continuous peaceful co-existence across the borders a most challenging agenda. If disarmament was agreed between Kenya and Uganda, more benefits would realized raids banditry: be in fighting livestock theft. and
- National programming frameworks may be limited in their remits and capacities: National programming frameworks for disaster contingency planning may be confined in terms of their remits to

national priorities, disaster profiles, mandates, etc. and issues pertaining to regional capacity building programs, implementation of activities as well as resource allocation and mobilization and support from institutions with a regional mandate such as IGAD, would go a long way in improving the effectiveness and efficiency of disaster contingency planning measures across the region;

• **IDDRSI** is a regional strategy and framework initiated by regional Member States of IGAD in 2011: The IDDRSI is a regional multi-sectoral undertaking of coordinated activities in different IGAD Member States aimed at building resilience to drought and other shocks for vulnerable communities in the IGAD region. The IDDRSI Strategy identifies 7 priority intervention areas that highlight and prioritize the region's range of approaches to address food security and other development challenges in relation to the objective of ending drought emergencies through building resilience. These priority intervention areas include: (i) ensuring equitable access and sustainable use of natural resources, while improving environmental management; (ii) enhancing market access, facilitating trade and availing versatile financial services; (iii) providing equitable access to livelihood support and basic social services; (iv) improving disaster risk management capabilities and preparedness for effective response; (v) enhancing the generation and use of research, knowledge, technology and innovations in the IGAD region; (vi) promoting conflict prevention and resolution and peace building; and (vii) strengthening coordination mechanisms and institutional arrangements for more organized, collaborative and synergistic action as well as improving partnerships to increase the commitment and support necessary to execute the objectives of the initiative.

It important to for Member States and their development partners and other stakeholders to recognize and capitalize on the framework made available by the IDDRSI strategy to make gains on regional and national fronts.

## 6.3 A Harmonized Regional Disaster Risk Management framework and Contingency Planning

One of the most important questions to be asked at this point is: "What should a harmonized regional disaster contingency planning framework for IGAD member states comprise of?"

It must provide value addition to national policies, plans and strategies for disaster contingency planning: The review of disaster risk management and contingency planning in three countries of Ethiopia, Kenya and Uganda has revealed that significant traction has been gained over the last few years i.e. since 2011, in terms of national frameworks being put in place to address hazards and disasters that affect lives and livelihoods in these countries. In Kenya for example, the National Drought Management Authority (NDMA) has been established with a clear mandate for drought risk management and there is now a draft policy on disaster risk management with a multi-hazard perspective awaiting discussion by government, development partners and stakeholders and subsequent adoption and implementation. In Ethiopia, the Disaster Risk Management Commission, with the accompanying policy, institutional framework, plans and strategies, is now in place. In Uganda, steps have been taken to institutionalize disaster risk management within the Office of the Prime Minister.

This means that any regional disaster risk management and contingency planning framework would need to add value to national disaster contingency planning initiatives and frameworks. The responsible institutions for DRM in the three countries saw value addition of a regional framework in:

- 1. Provide regional harmonization support for relevant policy, legal, institutional and funding arrangements to take care of disaster contingency planning issues of regional nature that go beyond national remits;
- Provide technical support to Member States in bolstering their disaster contingency planning mechanisms and improving the quality of their disaster contingency plans and implementation capability, including M+E and Knowledge Management frameworks;
- 3. Establish a framework for cross-border programming and facilitate Member States to effectively participate and contribute to cross-border initiatives in their respective cross-border pastoral areas;

- 4. Support customized training and capacity building activities with respect to disaster contingency planning;
- 5. Facilitate the establishment of Disaster Contingency Planning Guidelines and Standardized Operating Procedures to be adopted across IGAD member states;
- 6. Facilitate and support institutionalization of LEGS, PFSs and CMDRR approaches in pastoral extension services outreach programs in the IGAD region;
- 7. Establish effective results-based M+E systems, including Knowledge Management (KM) mechanisms;
- 8. Mobilize resources for cross-border disaster contingency planning and implementation by lobbying Member States and engaging Development Partners to fund-raise on behalf of the relevant national institutions charged with disaster contingency planning;
- 9. Support national institutions responsible for disaster risk management to integrate contingency planning into sector ministries at national, sub-national and county/district levels, right to the community level;
- 10. Facilitate the documentation of cross-border lessons learned in regional contingency planning initiatives, including collaborative cross-border and cross-country learning.

### 4 It must provide a model for effective regional disaster risk management for the IGAD Region

The framework for effective pastoral disaster risk management in the IGAD region would be based on the model represented in figure 1 below. This is premised on six important aspects of disaster risk management as follows:

### Fig.1 Model for effective Disaster Risk Management in the IGAD Region



Source: Wekesa M; Swift J.J & Ogada J. (2004 – Unpublished): Feasibility Study to establish a National Drought Contingency Fund in Kenya

The six Pillars of disaster risk management and the place of Disaster Contingency Planning - (i) Early Warning Systems; (ii) Contingency Planning; (iii) Contingency Financing; (iv) Institutional arrangement for planning; (v) Capacity to implement appropriate interventions in a timely, effective and efficient manner and (vi) Lessons learning and Knowledge Management, including M+Es systems. What are these components of DRM? Why are they important? How are they designed, implemented and operated? Whose responsibility is it? When should these components be in place? Where or at what institutional level should these components be

1. Early Warning for Early Action: For regional and national institutions and agencies to be effective in supporting pastoral risk management in the IGAD region, their planning and decision-making for Action ought to be based on information and data from effective, efficient, reliable and credible disaster early

warning systems that trigger Early Action;

- 2. Disaster contingency planning processes and availability of effective contingency plans: Contingency Plans significantly lessen turn-around time in terms of response, allocation of requisite resources and intervention, as well as well-thought-out-action, leading to effective, efficient and timely Early Action. The availability of disaster contingency plans (also called "*Plan B to be implemented when things go out of the expected situation*") means that communities, local authorities, government institutions, departments and agencies are not caught unawares by hazards;
- 3. Contingency financing and resourcing: This can be done through set-aside funds; reallocation of development funds by sectors and resources earmarked for early response and action. This is one of the most important components of contingency planning and disaster risk management. There is no need for an effective early warning system which elicits early action and the <u>Action</u> is delayed because resources were not in place and at the right time to enable rapid reaction;
- 4. Joint Action Planning and Coordination with all Partners and Stakeholders: This avoids duplication, engenders harmonized approaches and strategies and ensures a common approach, fostering collaboration and effectiveness in the use of development and humanitarian aid resources from national governments, regional institutions such as IGAD and from development partners;
- 5. Capacity to implement development and disaster risk management/disaster response initiatives: This is very important, particularly at the local and community level (where vulnerable households and communities bear the brunt of hazards or disasters), to ensure capacity to implement planned response interventions. There is no point in having very good disaster contingency plans which end up in bungled implementation processes. Ensuring that households, communities, Community Based Organizations (CBOs), including traditional institutions and local authorities, have capacity to implement Appropriate, Timely and Effective (ATE) interventions, in partnership with national and regional institutions, is key to successful pastoral disaster risk management;
- 6. Reviews, lesson-learning and sharing, collecting and analysing data to build the evidence base for disaster contingency planning and the economics of early response and resilience are essential components of an effective disaster risk management system. If nothing is changing during implementation, it is likely that no lessons are being learned.

It is important for regional disaster contingency planning framework to be embedded within a comprehensive disaster risk management framework because disaster contingency planning is part and parcel of a DRM framework and cannot exist or be addressed in isolation.

### 6.4 Operationalizing the regional disaster contingency planning framework

Operationalizing the regional disaster contingency framework will involve the participation of all the relevant Member States represented by the mandated DRM national institutions responsible for DRM and disaster contingency planning. The IDDRSI DRM Program Manager will facilitate these Member State teams to undertake a comprehensive review of regional and cross-border pastoral livelihood issues pertinent to disaster contingency planning in the IGAD region, in order to identify gaps and impediments related to policy, legal, institutional, political, implementation and funding issues to be addressed within the remit of the framework.

This comprehensive review should use the Political, Economic, Social, Technology, Environmental and Legal (PESTEL) analysis tool to examine the current context in the IGAD member countries with respect to the potential for establishment a harmonized approach for disaster contingency planning in the Region.

A report detailing the critical policy, institutional, legal, implementation and funding environment for disaster contingency planning in the region will be produced as a background and reference document against which negotiations by member states will be made with respect to harmonizing approaches, policies, institutions,

plans, strategies, implementation modalities and drafting of the regional disaster contingency planning protocols across member states. The report should then be presented to other stakeholders in a regional workshop to receive input from development partners and stakeholders with a stake in regional disaster contingency planning and programming. Draft protocols can then be taken to the IGAD Council of Ministers and finally to Heads of State.

### 7. RECOMMENDATIONS

### 7.1 Review the existing Regional Disaster Risk Management Strategy and include disaster contingency planning

IGAD and its institutions e.g. ICPAC, ICPALD and CEWARN has a comparative advantage in terms of political leverage; regional and cross-border programming mandate/ implementation of DRM initiatives in pastoral areas and that there is now under IDDRSI a window of opportunity for IGAD to review the current draft DRM strategy to capture emerging issues and other aspects such as contingency financing, livestock insurance, etc. It is recommended that IGAD together with member states reviews the existing DRM draft strategy to capture gaps and opportunities for the development of a common investment framework across the region.

## 7.2 Formulate a harmonized cross-border disaster contingency planning framework across member states

Disaster contingency planning is not new in the Horn of Africa, with good practice examples evident as early as the mid-1980s. However, it is happening through small and isolated initiatives and projects; on a small scale; and where it is of cross-border nature, based on MoUs between one or more State and Non State Actors across the borders. It is recommended that the IDDRSI DRM Program Manager, supported by RPLRP staff and relevant IGAD institutions spearheads the facilitation and establishment of a harmonized cross-border pastoral areas regional disaster contingency planning framework, with an agreed upon protocol across Member States comprising of the following:

- A harmonized regional and cross-border policy, legal, institutional, funding and implementation framework for disaster contingency planning in the pastoral areas of the IGAD region;
- An effective regional multi-hazard Monitoring & EWS providing regular, credible, timely information and data focused on pastoral areas and livelihoods across borders, strongly linked to national EWSs and complemented by products from ICPAC and CEWARN mechanisms, such that a strong cross-border information and data provision system exists to benefit the respective cross-border communities in planning and responding to hazards in their respective locations;
- An effective M+E and Knowledge Management System, including operation and maintenance of a crossborder information and database center(s) for disaster contingency planning, implementation of contingency planning as well as documentation and cross-border lesson learning and sharing networks across relevant clusters.

### 7.3 Build capacity for integrating disaster risk management into regular development programming

Evidence from this consultancy has shown that disaster contingency planning and implementation across IGAD member countries suffers from inadequate technical know-how; capacity and resource constraints, even though there is considerable interest and enthusiasm among stakeholder staff across member states in the IGAD region. It is recommended that the IDDRSI DRM Program Manager; RPLRP staff supported by relevant IGAD institutions formulate a 3-year customized disaster contingency planning training program based on identified training needs from this consultancy to be implemented in close liaison and participation of the relevant national disaster risk management institutions in each of the three countries.

### 7.4 Support institutionalization of disaster contingency planning approaches into pastoral outreach programs

The RPLRP with support from other IGAD institutions to facilitate and support national mechanisms for institutionalizing into national extension services and pastoral outreach programs tested disaster contingency planning and implementation approaches such as CMDRR, LEGS, PFSs and other proven community-based contingency planning mechanisms;

## **ANNEXES**

### ANNEX 1: Glossary of terms and definitions used in this report

**A household** – Is the smallest coherent economic unit. It is defined as group of people, each with different abilities and needs, who contribute to a common economy and share food and other income from this;

A Livelihood – A livelihood is the means by which a person or household makes a living over time;

A livelihood zone - is a delineated geographical area within which people share the same patterns of access to food, including crops and livestock and have the same access to markets. Household asset holdings or wealth are also important in the determination of a livelihood zone;

Adaptive capacity of a livelihood system to hazards – The ability of households, communities, societies or regions to adjust to current and future hazard effects and impacts, moderate potential damage, take advantage of opportunities and cope with the consequences of the changes resulting from the hazard episodes. Adaptive capacities allow individuals, households, communities and actors to anticipate, plan, react to, and learn from hazard shocks or stresses;

**Household Economy Baseline –** The quantified analysis of sources of food and income and of expenditure for households in each wealth group over a defined reference period;

**Chronic food insecurity** – A household is chronically food insecure when it consistently fails to meet its minimum energy requirements;

**Community:** – refers to groups of individuals and sectors of society that are linked by their common situation, interest or purpose. A community is not necessarily a homogenous group or a static unit;

**Emergency:** - An extraordinary situation caused by a hazard event resulting in serious and immediate threats to human life, imminent threat of the drought becoming a disaster that could be associated with a process of long-term neglect, civil conflict, environmental degradation or socio-economic and political failures. An emergency can encompass a situation in which there is a clear and marked deterioration in the management capacity of a group or community in relation to prevailing and worsening hazard conditions;

**Hazard management strategies (coping mechanisms)**: – These are strategies developed by households or communities to hazard-related problems. Such strategies are based on historical knowledge, cultural acceptability or experience of managing hazards shocks and stress. Hazard management strategies help communities to adjust and adapt to changing, frequently deteriorating circumstances. They are often not formalized but nonetheless are a central part of the social fabric of drought-prone households and communities;

**Hazard Recovery**: A situation where livelihood stress or risk indicators begin and continue to show improvement toward "normal" and expected ranges resulting from receding of hazard effects. It is usually associated with the on-set of change in weather or climatic or seasonal conditions such as on-set of rainfall but is a process that may take many months or years depending on the viability potential and adaptive capacity of the affected livelihood systems;

**Emergency:** Means an urgent situation that requires quick response.

**Environment:** Is a total of both Living and non-living things that affect an organism. Organisms may include man, animals, plants etc.

**Epidemic:** Means existence, in a particular community and at a particular period, of a disease whose degree of effect goes beyond normal/expected levels and numbers.

**Food insecurity:** - Is the lack of access to enough food. There are two kinds of food insecurity: chronic food insecurity, which results in a continuously inadequate diet, and acute food insecurity that is a temporary decline in a household's access to enough food as a result of a shock such as drought, price fluctuations, etc.;

**Food security**: - relates to the availability of food on a continuous basis, in quantities and with a quality to sustain life and gives adequate nutritional value, for a given population. Food security relates to both the supply of foods for consumption and to ability of populations to acquire food that is available. FAO definition of food security includes the following requirements; adequate supply, stable supply and access to the supply (including adequate consumption, adequate income in relation to food prices and access to employment);

**Hazard** – A shock such as drought, flood, conflict or market disruption which is likely to have an impact on people's livelihoods;

**Household economy** – The sum of the ways in which the household gets its income; its savings and asset holdings, and its consumption of food and non-food items;

**Household Poverty** – A household experiences absolute poverty when it does not have enough income to obtain the basic material requirements for a healthy and dignified life;

**Household Questionnaire:** A data collection instrument administered to obtain information from members of a household on demographic characteristics, migration, education, employment, health and fertility. It also collects household level information on housing food expenditures, non-food expenditures, agriculture, remittances, benefits, household durables, and real estate benefits. The data files are used as the most accurate information;

**Infectious disease:** Means any disease which can be communicated directly or indirectly by any person or livestock suffering from it to any other person.

**IPCC:** Intergovernmental Panel on Climate Change.

**Lead agency:** Means any ministry, department, parastatal agency, public officer in which or whom any law vests functions of control or management of any segment of disaster management.

**Livelihood Security** – The adequate and sustainable access to and control over resources, both material and social, to enable households to achieve their rights without undermining the natural resource base;

**Livelihoods Protection Threshold** – represents the total income required to sustain local livelihoods. This means expenditure to: a) ensure basic survival; b) maintain access to basic services (e.g. routine medical and schooling expenses), plus c) sustain livelihoods in the medium to longer term (e.g. regular purchases of veterinary drugs, seeds, water for irrigation, replenish business stock, etc.) plus d) achieve a minimum locally acceptable standard of living (e.g. purchase of basic clothing, food, coffee/tea, sugar, etc.)

**Management:** Is the act of getting people together to achieve desired goals and objectives using available resources efficiently and effectively. Management comprises planning, organizing, staffing, leading or directing, and controlling an organization for the purpose of accomplishing a goal;

Market - A place where exchange of goods and services occurs;

**Market functionality assessment and analysis**: The process of understanding how a particular market for goods and services is working at different stages of the drought cycle – examining factors that usually affect supply and demand such as household purchasing power, availability of demanded goods and/or services, access to the market – market infrastructure, communication and information; prices and price elasticity, as well as other factors affecting or likely to affect the normal functioning of the market e.g. subsidies, insecurity,

conflict, deteriorated road network, etc.

Mitigation: Are the measures which can be taken to minimize/ reduce the destructive effects of hazards.

**Policy:** A policy is typically described as a principle or rule to guide decisions and achieve rational / desired outcomes.

**Preparedness:** Is a state of being ready for any event or happening by providing the appropriate, timely and effective response;

**Prevention:** Covers activities designed to stop the occurrence of a disaster event and/ or prevent such an occurrence from having harmful effects on communities and facilities;

**Public Awareness**: Is the processes of informing the general population about risks and how people can act to reduce their exposure to hazards;

Rapid Hazard Assessment – It is a quick (within 2 weeks) interdisciplinary (multi-sectoral) process for carrying out a holistic analysis of the current status of livelihood sources and livelihood strategies in a particular location or community; comparing these with the normal or expected conditions at that particular place at the same time; developing likely outlook scenarios for the immediate and long-term future in relation to the hazard and analysing possible effective responses, their timings and scale and resources for mobilizing such responses. It must involve those likely to be affected by the hazard or changes in the drought status.

**Recovery:** Means the process by which the nation, communities or groups of individuals are assisted to return to their proper level of functioning and livelihood following a disaster;

**Relief Response:** Is the provision of assistance during or immediately after a disaster to meet the basic subsistence needs of the affected people;

**Resilience:** "The ability to prevent disasters and crises as well as to anticipate, absorb, accommodate or recover from them in a timely, efficient and sustainable manner. This includes protecting, restoring and improving food and agricultural systems under threats that impact food and nutrition security, agriculture, and food safety/public health" (FAO definition);

**Response mechanisms**: – are the working steps taken by households and/or communities to address the impact of a drought on either food sources or income sources or some other aspect of the household's or community's economy;

Response: Means activities to address the immediate and short-term effects of an emergency or disaster;

**Risk** – Potential losses (live lost, persons injured, damage of property and disruption of economic activity or livelihood) caused by a particular phenomenon. It is a function of the probability of particular occurrences and the losses each would cause. A societal element is said to be at-risk or vulnerable when it is exposed to known hazards and is likely to be adversely affected by the impact of those hazards if and when they occur. The communities, structures, services or activities concerned are described as "elements at risk";

**Seasonal calendar** – A graphical presentation of the months in which food and cash crop/livestock production and key food and income acquisition strategies take place, also showing key seasonal periods such as the rains, periods of peak illness and the hunger season;

**Sustainable Development** – Sustainable Development is the continuous growth of people's assets or capitals, within an enabling political, policy, institutional and legal environment, accompanied by concerted

efforts to minimize threats and shocks to lives and livelihoods, while adhering to Rights-Based Approaches to programming;

**Sustainable Livelihood Strategies** – Sustainable Livelihood Strategies are the growing means by which communities or households make a living, in an environment where they are continuously taking charge of their own situations, developing own capacity to maintain products or services generated over time, without compromising the livelihood strategies of future generations;

**Vulnerability Analysis:** Is a process that involves consideration of all significant elements in society and their numbers, including physical, social and economic elements and the extent to which they are exposed to a hazard or disaster event;

**Vulnerability**: The extent to which an individual household, community, sub-group, structure, service or geographic area is likely to be damaged or disrupted by the impact of a particular disaster hazard;

**Vulnerability:** Is the degree to which an area, people, physical structures or economic assets are exposed to loss, injury or damage caused by the impact of a hazard (ISDR definition);

Vulnerable groups: Means categories of persons likely to be affected when a disaster strikes.

**Warning signs and signals:** Are the scientific and indigenous indicators that warn that a hazard is likely to happen.

**Wealth of a household** – Is defined by its holdings of assets that have a market value: i.e. can be exchanged for money or other goods.

Region	
Training Course No. 1	Foundations of Disaster Risk Management in Pastoral Areas of the IGAD Region
Component	Disaster Risk Management Component
Aim	To provide a framework for trainees to understand the place of contingency planning and contingency financing in effective, efficient and sustainable disaster risk management systems led by IGAD member states and supported by development partners (The five pillars of disaster risk management)
Training	By the end of this training course, participants should be able to recall and articulate the five
Objective(s)	components of the disaster risk management framework for pastoral and agro-pastoral areas in the IGAD Region and demonstrate the importance of each component- how to plan, design, appraise, implement, assess effectiveness and impact of each component
Suggested	Disaster Risk Management Terminology;
content	<ul> <li>The Disaster Risk Management Cycle – Prevention, Mitigation, Preparedness, Response, Recovery and Rehabilitation/Reconstruction</li> </ul>
	<ul> <li>Early Warning Systems and other information/data sources and their place in disaster risk management;</li> </ul>
	<ul> <li>Contingency Planning and Development of Contingency Plans</li> </ul>
	<ul> <li>Contingency funding and disaster risk financing mechanisms</li> </ul>
	<ul> <li>Institutions for disaster risk management planning, decision-making and coordination</li> </ul>
	<ul> <li>Strengthening implementation capacity of community traditional institutions and groups; local partners; CBOs/NGOs; government departments in partnership, working in partnership with UN Agencies, INGOs and Private Sector</li> </ul>
Target Group	NGO staff; government implementing staff; project officers; project managers
Suggested	One week (7 days)
duration	

ANNEX 2:	Training Needs	<b>Identified for</b>	Regional	Disaster	Contingency	Planning	in IGAD
Region	-		-			-	

Training Course No.2	Disaster Risk Management Cycle Training
Component	Disaster Risk Management Component
Aim	To develop capacity among relevant staff and personal across stakeholders to mainstream DRM into regular development planning and programming.
Training Objective(s)	By the end of the training course, participants will have acquired knowledge and skills on disaster risk management cycle and how to integrate DRM into development planning and programming
Suggested	Disaster Prevention; Mitigation; Preparedness; Response; Recovery and
content	Rehabilitation/Reconstruction and why DRM and not DM or DRR?
Target Group	Project implementing staff; County/District/Woreda ;NGOs/INGOs/Private Sector
Suggested duration	10 working days (2 weeks)

Training	Regional and Cross Border Disaster Risk Contingency Planning in Pastoral Areas
Course No. 3	
Component	Disaster Risk Management Component
Aim	To equip trainees with knowledge of regional and cross-border disaster contingency planning
	and skills for developing good quality disaster contingency plans
Training	By the
Objective(s)	

Suggested content	<ul> <li>What contingency planning is and the need for it in disaster risk management;</li> <li>Objectives and characteristics of contingency planning;</li> <li>The contingency planning process – risk analysis; preparedness plans;</li> <li>Contingency planning prioritization;</li> <li>Scenario building;</li> <li>Forthe Warning and Repid Accessment Systems</li> </ul>
	<ul> <li>Early Warning and Rapid Assessment Systems</li> <li>Contingency Plan Development;</li> <li>Validation of contingency plan;</li> <li>Simulations;</li> <li>Reviewing and updating contingency plans;</li> <li>Link to risk financing mechanisms e.g. contingency funds</li> <li>Communications Strategy – focuses on defining structures and methods focused on public outreach including procedures for collecting, screening, formatting, and disseminating information</li> </ul>
Target Group	Project Officers: Program Managers: Subject Matter Specialists in Government MDAs
Suggested duration	14 days (10 working days including field work and simulations)

Training	Disaster Risk Management Policy Formulation & Development Capacity
course No. 4	
Component	Policy and Institutional Development
Aim	To build capacity of county/district level stakeholder personnel – government, CSOs, CBOs, Project Officers and Project Managers in formulating, developing and supporting approval and implementation processes of disaster risk management policies under devolved structures
Training Objective(s)	By the end of the training course, participants should have learned the importance of policy frameworks in disaster risk management and contingency planning processes and acquired skills of how to develop such policies, advocate for their adoption and approval and support their implementation
Suggested content	<ul> <li>What is involved in the policy making process?</li> <li>Why are policy statements and frameworks important in disaster risk management?</li> <li>What are the components and processes involved in policy formulation and development?</li> <li>What are the steps involved in the policy formulation process?</li> <li>What is involved in policy harmonization across two or more IGAD member states on a particular issue e.g. disarmament and what are the roles of different stakeholders, groups, individuals, etc. in cross-border and regional policy harmonization?</li> <li>What are policy briefs and what processes are involved in developing effective policy briefs or briefing papers?</li> </ul>
Target Group	Project Officers and Managers and Government Officers working at county/district and/or other devolved structures requiring policy development to guide implementation of disaster risk management and contingency planning initiatives.
Suggested duration	7 days (5 full working days)

Training course No. 5	Community Managed Disaster Risk Reduction Training Course
Component	Disaster Preparedness and Response
Aim	The Community Managed Disaster Risk Reduction (CMDRR) training course aims to build individual and community capacities to prevent and mitigate the impact of hazards of communities at risk. The course enhances individual survivability and community readiness and contributes to building resilient communities by strengthening the foundation of safety and enhancing disaster risk reduction measures.
Training Objective(s)	To equip managers and facilitators of CMDRR training with knowledge and skills

Suggested content	The course is in existence and is offered by the International Institute for Rural Reconstruction. It is offered in four modules as follows: Module 1. Concepts, principles and practices in CMDRR Module 2. Facilitating CMDRR: Methods and process Module 3: Sustaining CMDRR Module 4: Action planning
Target Group	The course targets key staff (senior managers and facilitators) of both local and international NGOs and government agencies and departments that need to sharpen their skills in facilitating community managed disaster risk reduction and enable them to integrate CMDRR into institutional policies and programs.
Suggested duration	Two weeks training, inclusive of field visits and community activities

Training course No. 6	Livestock Emergency Guidelines & Standards (LEGS)/SPHERE ToT and training courses
Component	Disaster Preparedness & Response Component
Aim	To build capacity of livestock sector personnel in preparing effective and good quality livestock-based response contingency and intervention plans using LEGS
Training Objective(s)	By the end of this training course, participants will have known and practiced the use of LEGS in designing livestock-based disaster contingency and response plans for pastoral areas in the IGAD Region
Suggested	<ul> <li>Livestock, livelihoods and emergencies</li> </ul>
content	<ul> <li>Core standards and cross-cutting themes common to all livestock interventions</li> </ul>
	<ul> <li>Initial assessment and identifying responses</li> </ul>
	<ul> <li>Technical standards for destocking; veterinary support; feed supplies; water provision; livestock shelter and settlement and livestock restocking/redistribution</li> </ul>
Target Group	Technical officers in charge of planning livestock-based interventions in government, CSOs
	and other relevant institutions
Suggested	5 full working days for both the ToT and the Training Course itself. These courses are
duration	already in existence and some officers in the IGAD Region have been trained.

### ANNEX 3: Terms of Reference for a consultancy to review Disaster Risk Contingency Planning for Pastoral Areas of Ethiopia, Kenya and Uganda

### 1. Background

The Intergovernmental Authority on Development (IGAD) in the Greater Horn of Africa (GHoA) is a Regional organization with the mission to assist and complement the efforts of the member States to achieve, through increased cooperation, food security and environmental protection; promotion and maintenance of peace and security and humanitarian affairs; and, economic cooperation and integration.

As part of its wider drought resilience building initiative in the Horn of Africa, IGAD has secured financial support from the World Bank to execute a Regional project called **Regional Pastoral Livelihoods Resilience Project** (RPLRP). The project is being undertaken in three IGAD member states (Kenya, Ethiopia and Uganda) under the general coordination of IGAD, within the framework of the IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI) and alignment with the Regional Programming Paper (RPP) and the respective Country Programming Papers (CPPs). The Project objectives are to enhance livelihood resilience of pastoral and agro-pastoral communities in cross-border drought prone areas of selected countries and improve their capacity to respond promptly and effectively to an eligible crisis or emergency. The IGAD RPLRP focus on harmonized Regional polices, scaling up good practices across the countries and facilitate discussions on issues related to cross border activities. The parallel RPLRP projects in the three countries converge at IGAD level giving regional context.

The program has five main components which are same across the three countries and IGAD. The five project components (PC) are: PC1, Natural Resources Management: aims at enhancing the sustainable management and secures access of pastoral and agro-pastoral communities to natural resources (water and pasture) with trans-boundary significance. PC2, Market Access and Trade: aims at improving the market access of the agro-pastoralists and pastoralists to the intra-regional and international markets of livestock and livestock products. PC3, Livelihood Support: aims at enhancing the livelihoods of Pastoralist and agro-pastoralist communities. PC4, Pastoral Risk Management: aims at enhancing drought-related hazards and preparedness, prevention and response at the national and regional levels. PC5, Project Management and Institutional Support: focus on all aspects related to overall project management, including monitoring safeguards mitigation measures identified in the different frameworks disclosed, and institutional strengthening at national and Regional levels for drought resilience.

Under component 4 and Sub component 4.1 of the IGAD RPLRP, the project will conduct capacity building in pastoral risk early warning and response systems. One of the expected outputs under this sub-component is *Contingency plans developed and strengthened*. Thus IGAD RPLRP is looking for competent individual consultant to conduct assessment of contingency planning exercise in the three IGAD member states including training needs assessment and develop harmonized IGAD Region framework for Pastoral disaster risk contingency planning.

### 2. Objective of the Assignment

The overall objective of the assignment is to review policies and practices of disaster risk contingency planning of the three IGAD member Countries (Kenya, Uganda and Ethiopia) in order to draw lessons and develop regional contingency planning framework in order to strengthen and harmonize the IGAD member States disaster risk early warning and early action mechanisms.

### 3. Scope of the Assignment and Tasks

Under the overall supervision of the IGAD RPLRP coordinator and the technical supervision of the IGAD/ICPAC Disaster Risk Management (DRM) Program Manager, and in close consultation with the RPLRP National Team Leaders of Ethiopia, Kenya and Uganda, the Consultant will be responsible for undertaking a review of the current pastoral area disaster risk contingency planning practices as well as review available policies, guidelines, regulations and other relevant documents with emphasis in cross border pastoral areas; identifying training needs at national level; develop framework for harmonized

contingency planning approaches at Regional level. In undertaking this assignment, the consultant will carry out but not limited to the following tasks:

- Travel to each of the three countries and consult with stakeholders focusing on Pastoral area disaster contingency planning approaches in use; conduct training need assessment for relevant institutions involved in pastoral disaster risk contingency planning;
- Collect information on disaster risks and vulnerabilities (including physical, natural, economic and social hazards) in the cross border pastoral areas and particularly assess availability of contingency plan, and to the extent possible a source of resources;
- Collate information and lessons learnt on previous and existing contingency planning activities in the pastoral areas and other comparable settings;
- Conduct desk review of best practices on disaster (drought, flood, etc) risk contingency planning in other countries as well as best global practices from leading international sources (e.g. World Bank's Disaster Risk Financing and Insurance, -DRFI -, Program; IFAD1) and distill learning's that can be applicable to pastoral communities of the three countries;
- Review National/sub-national disaster risk contingency planning mechanisms (institutions, resource, information flow, information source) of the three countries;
- Examine best practices, problems and opportunities of existing contingency planning approaches in use (e.g. information communication and early response mechanism, information sources, etc) in the three countries;
- Suggest institutional measures for improved contingency planning and operationalizing for the three countries;
- Prepare a comprehensive Draft Report contextualizing the issue of contingency planning for cross border pastoral communities across the three countries including training needs;
- After receipt of comments from the IGAD DRM Program Manager, the RPLRP Project Coordinator, and other reviewers, prepare a Draft Final report;
- Suggest a harmonized regional contingency planning framework;

### 4. Expected Deliverables

1) Prepare an inception report reflecting clear comprehension of the tasks, the method of execution and a work plan to ensure that the final report provides the required country level inputs for the development of Regional contingency planning.

2) An initial draft and draft final reports contextualizing disaster risk contingency planning issues for in-depth review and validation by country level and other stakeholders.

3) The proceedings of the validation workshop (which will be organized by IGAD RPLRP) should be documented highlighting salient pastoral risk contingency planning issues for consideration in preparation of the report.

4) A final report consisting of a main report of not more than twenty pages, and relevant brief annexes such as statistical tables, mission reports, workshop report, interview report, reviewed national documents, draft Regional policy, lists of participants etc.

In close coordination with the RPLRP PC and IGAD/ICPAC DRM Program Manager organize and convene a validation workshop, attend the workshop and present the study findings and participate in the development of the "way forward".

### **ANNEX 4: People met and consulted during this Assignment**

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21.         Dr. Dereje Wakjira         RPLRP         Reg. Coordinator         Nairobi         Dereje.wakjira@igad.int           22.         Dr. Francis Opiyou         UNDP GPC         Program Officer         Nairobi         Francis.opiyo@undp.org           13.         Dr. Guliat Gezahegn         SNNPRS         RPLRP         Livestock         Awassa         Ggmamuye555@gmail.com           24.         Dr. Isaack Thendiu         USAID EA         Program Manager         Nairobi         Ithendiu@usaid.gov           25.         Dr. M. Munyua         ICPALD         Ag. Director         Nairobi         Muchina.munyua@igad.int           26.         Dr. Steven Kajura         RPLRP-         Ivational Coordinator         Entebbe         Sileshi.zewdie@care.org           27.         Dr. Steven Kajura         RPLRP-         National Coordinator         Entebbe         stephen.kajura@igad.int           28.         Dr. Tate Munro         Mercy Corps         Reg. Resilience         Nairobi         tmunro@field.mercycorps.org           29.         Eng. Kizito Lwawuga         Min. of Water         Commis. Production         Kampala         richard.cong@mwe.go.ug           31.         Faith Mpoke         Action Aid         LRP Manager         Kajiado         faithmpoke@actionaid.org           32.	20.	Dr. Chip Burry	USAID EA	JPC Reg. Coord.	Nairobi	cburry@usaid.gov
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