



United Nations  
International Strategy for Disaster Reduction  
*Regional Office for Africa*

EUROPEAN COMMISSION



Humanitarian Aid and Civil Protection

# Drought Contingency Plans and Planning in the Greater Horn of Africa

A desktop review of the effectiveness of drought contingency plans and  
planning in Kenya, Uganda and Ethiopia





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February 2012

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The opinions expressed are those of the author, and do not necessarily reflect those of the UNISDR. Responsibility for the opinions expressed in this report rests solely with the author. Publication of this document does not imply endorsement by UNISDR of the opinions expressed.

This National Platform for Disaster Risk Reduction (DRR) Tool Kit was developed for African countries by UNISDR Regional Office for Africa, based on information provided by national DRR focal points in Africa, with the kind support of the European Commission Humanitarian Aid Department (ECHO)

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## Foreword

UNISDR is mandated to “serve as the focal point in the United Nations system for the coordination of disaster risk reduction and to ensure synergies among the disaster reduction activities of the United Nations System and regional organizations and activities in socio-economic and humanitarian fields” (UN General Assembly 56/195, 2002).

The UNISDR has been involved in the implementation of ECHO financed drought risk management project in the Horn of Africa with focus on Northern Kenya, Northern Uganda and Southern Ethiopia with the specific aim of increasing coordination, raising awareness, and giving technical support to the implementing partners. During the implementation process, the partners exchanged the good practices, lessons learnt, and up scaling of the same. One of the key outcomes from these consultative workshops and meetings was the need to develop robust and easy to implement contingency planning at all levels.

It is with this background that the UNISDR Regional Office for Africa commissioned this study to inform about best practices in drought contingency planning in the Greater Horn of Africa. This desk study was therefore based on the practice, observations and evidence collected from the communities and implementing agencies presented in various reports and publications. It is anticipated that the contributions from this study will also be useful for other regions in Africa and the world in drought risk management.

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# Table of Contents

<b>Foreword.....</b>	<b>iii</b>
<b>Acknowledgements.....</b>	<b>iv</b>
<b>Abbreviations.....</b>	<b>viii</b>
<b>Executive Summary.....</b>	<b>ix</b>
<b>1. Introduction.....</b>	<b>1</b>
1.1 Background to the task.....	1
1.2 Methodology, scope and limitations.....	2
1.2.1 The review methodology.....	2
1.2.2 The scope and limitation of the review.....	2
<b>2. Critical Gaps: Reviewing Effectiveness of Drought Contingency Planning.....</b>	<b>4</b>
2.1 Definition of terms and concepts.....	4
2.1.1 Drought.....	4
2.1.2 Contingency planning.....	4
2.1.3 Drought cycle management (DCM).....	5
2.1.4 Drought contingency planning.....	5
2.1.5 Drought contingency plan.....	5
2.1.6 Disaster (drought) risk management.....	5
2.1.7 Drought risk reduction plan.....	5
2.1.8 Community managed disaster risk reduction (CMDRR) plan.....	6
2.2 Drought contingency planning – A historical perspective.....	7
2.3 Critical gaps in drought contingency planning.....	8
2.3.1 The definition of drought dilemma in drought contingency planning.....	8
2.3.2 Linking drought contingency planning to drought cycle management.....	8
2.3.3 Drought contingency planning are neither administrative nor thematic focused.....	8
2.3.4 Drought contingency planning fail to coordinate interagency planning.....	8
2.3.5 Drought contingency plans implementations are not enforceable.....	8
2.3.6 Drought contingency planning emphasize on formulation rather than evaluation.....	9
2.3.7 Drought contingency plans developed to fulfill donor requirements.....	9
2.3.8 Drought contingency plans partially participatory.....	9
2.3.9 Drought contingency planning is cyclic limiting community resilience to drought impacts.....	9
2.3.10 Sustainable drought contingency funds limited from inadequate early warning systems information management.....	9



<b>3. Bridging the Gap: A Conceptual Framework for Drought Contingency Planning.....</b>	<b>11</b>
3.1 Drought contingency planning framework in focus .....	11
3.1.1 Overview of conventional drought contingency planning process .....	11
3.1.2 Overview of conventional drought contingency planning process, content and context.....	11
3.1.3 DCM, CMDRR and DRM in contingency planning .....	13
3.1.4 Seasonal calendar as a basis for drought contingency planning .....	13
3.2 Institutional frameworks for drought contingency planning .....	13
3.2.1 The roles of national disaster risk management institutions .....	13
3.2.2 The role of regional economic committees (RECs) in drought contingency planning .....	14
3.2.3 The role of communities and national non-governmental organizations.....	14
<b>4. The Content and Context of Drought Contingency Planning Redefined.....</b>	<b>16</b>
4.1 Proposed guide to drought contingency plans and planning in the horn of Africa.....	16
4.1.1 Review of types of contingency planning processes in the horn of Arica.....	16
4.1.2 Proposed contingency planning processes for the greater horn of Arica .....	17
4.2 Hyogo framework for action priority indicators in drought contingency planning.....	18
<b>5. Conclusion.....</b>	<b>19</b>
5.1 Conclusions and implications .....	19
5.1.1 Overview of conclusions on drought contingency planning gaps.....	19
5.1.2 Drought contingency planning coordination.....	19
5.1.3 Drought contingency planning options: funding and non-funding options .....	19
5.1.4 Drought contingency planning mandates and management.....	19
5.1.5 HFA priority indicators can be a good base for evaluating effective contingency planning .....	19
<b>Bibliography.....</b>	<b>20</b>
<b>Annex 1: Drought Plan Guidance Notes .....</b>	<b>21</b>
<b>Annex 2: List of Respondents .....</b>	<b>22</b>



**List of Tables**

Table 1: Historical perspective to drought contingency planning .....	7
Table 2: The 10 steps for successful early response (Levine, 2010) .....	12
Table 3: NDMC's 10-steps drought planning process .....	13
Table 4: EAC partner states proposals for sustainable drought contingency funding.....	15
Table 5: Hyogo framework for action priority five indicators in contingency planning .....	18

**List of Figures**

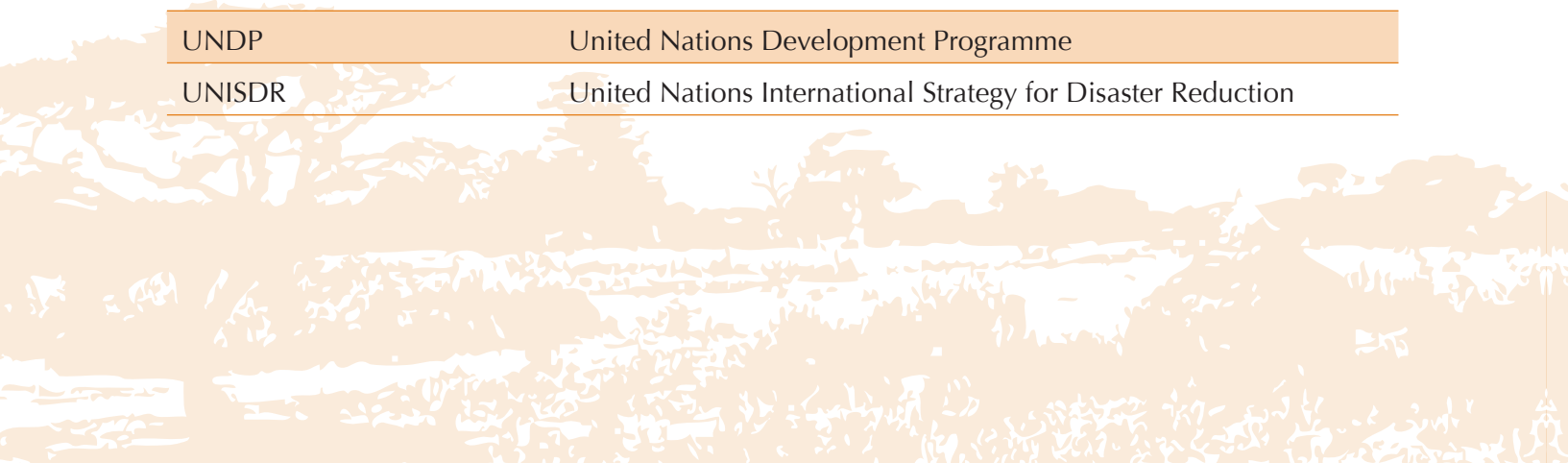
Figure 1: Number of persons reported affected by drought disasters: 1970-2008 .....	1
Figure 2: Drought cycle management .....	5
Figure 3: The disaster risk management cycle.....	6
Figure 4: Proposed main elements for drought risk reduction framework .....	6
Figure 5: Drought contingency planning process .....	12
Figure 6: Drought contingency plan and funding model for Kenya drought management authority.....	12
Figure 7: WFP's contingency planning process.....	16
Figure 8: The inter-agency standing committee contingency planning process .....	16
Figure 9: The contingency planning continuum .....	17
Figure 10: Proposed drought contingency plan and planning model.....	17





## Abbreviations

ALRMP	Arids Lands Resource Management Project
CLISS	Interstate Committee for fight Against Drought in the Sahel
CMDRR	Community Managed Disaster Risk Reduction
CORDAID	Catholic Organization for Relief and Development AID
CSO	Civil Society Organization
DCP	Drought contingency Plan
DRM	Drought Risk Management
DRR	Drought Risk Reduction
EAC	East Africa Community
FAO	Food and Agriculture Organization
HFA	Hyogo Framework of Action
GHA	Greater Horn of Africa
IASC	Inter Agency Standing Committee
IFIs	International Financial Institutions
IFRC	International Federation of the Red Cross/Crescent
IGAD	Inter-governmental Authority on Development
IGADD	Inter-Governmental Authority on Drought and Development
INGO	International Non Governmental Organization
NDMC	National Drought Mitigation Center
NGO	Non Governmental Organization
ODI	Oversees Development Institute
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNISDR	United Nations International Strategy for Disaster Reduction



## Executive Summary

This paper is a UNISDR contribution towards effective Drought Contingency Planning (DCP) for stakeholders and partners implementing drought risk reduction programmes in the Greater Horn of Africa (GHA). It attempts to convert findings, concepts and guidelines into a guidance document from critical gaps to bridge general drought preparedness, contingency planning and early response.

Although “Drought Contingency Plan” and “Drought Contingency Planning” are used interchangeably, they are not identical. With respect to this review a few conceptual and operational definitions of terms and concepts related to drought are highlighted. Whereas the contingency planning process, guidelines and evaluation have been studied at the national government and inter-agency levels, there has been little research and examination on the critical gaps in contingency plans and planning for implementing partners for effective drought preparedness and response at community levels. Some of the critical gaps identified in this paper include:

- The definition of drought is unclear in drought contingency planning.
- Linking drought contingency planning to drought cycle management has for years simplified and misled contingency planning processes.
- Drought contingency planning is neither too administrative/geographical nor thematically focused, leaving grey areas especially in early warning information interpretation for funding.
- Drought contingency plans fail to coordinate inter-agency drought contingency planning.
- Drought contingency plans lack planning and are not enforceable.
- Drought contingency plans emphasize on formulation more than on its evaluation.
- Drought contingency plans are often being developed to fulfill donor requirements
- Drought contingency plans are only partially participatory.
- Drought contingency plans cyclic nature limits community resilience to drought impacts.
- Drought contingency plans are not linked to sustainable contingency funds but confined to early warning systems information for sectoral planning.

In an attempt to bridge the gap in the drought contingency planning process and content, the author proposed a framework and steps for combined considerations summarized in Table 5 and a proposed contingency planning model shown in Figure 10. A continuum model was also proposed as a dynamic and participatory contingency planning and funding process that will work for the Greater Horn of Africa. A guidance note for effective drought contingency planning is summarized in Annex 1.



To ensure long term sustainable funding, contingency planning needs to be linked with all stages of drought risk management and treated as part of the development process. It is important to acknowledge that there are draft disaster risk management policies in Kenya, Ethiopia and Uganda which support drought contingency planning and funding.

- Kenya has a drought management authority responsible for drought risk management.
- Uganda has already approved a comprehensive disaster management policy and is finalizing a strategy that guides drought risk management.
- The Government of Ethiopia has formalized disaster risk management for over three decades and is in the process of revising its disaster prevention and management policy to improve preparedness and response systems. This involves planning for emergency response as well as development of an integrated risk management facility, with contingency funds and a weather-indexed insurance scheme.



# 1. Introduction

## 1.1 Background to the task

Contingency planning process, guidelines and evaluation have been examined at the national government and inter-agency levels, but there has been little research and examination of the critical gaps in contingency plans and planning of implementing partners who are working on effective drought preparedness and response at community levels.

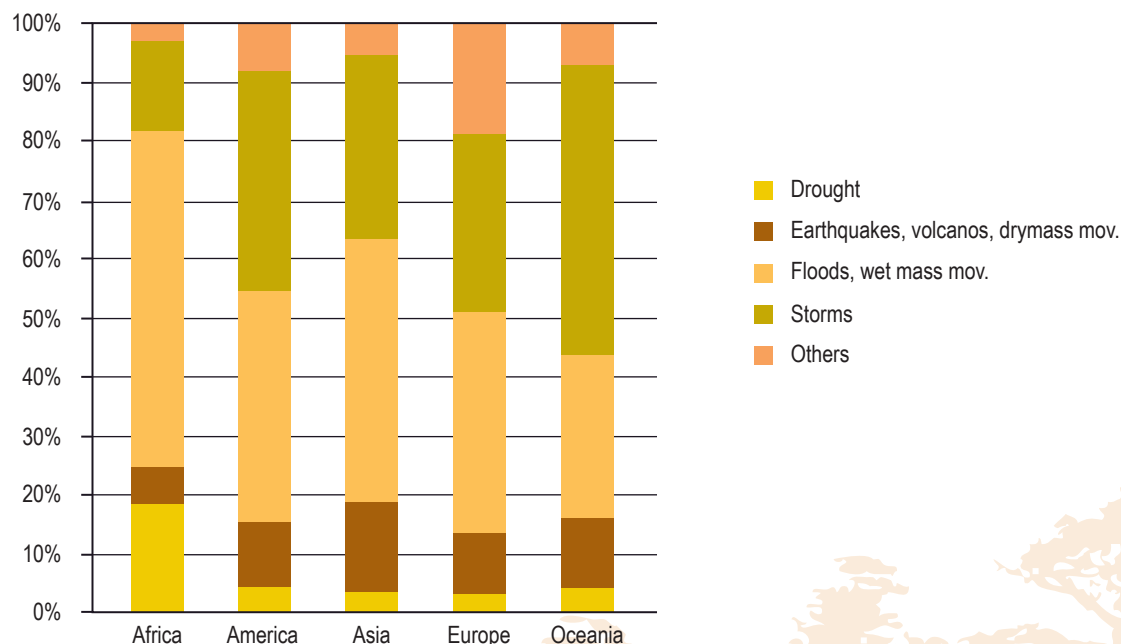
The UNISDR Regional Office for Africa is implementing an ECHO funded project entitled “Increased coordination, awareness and technical support to enhance risk management in the Greater Horn of Africa, Uganda, Ethiopia, and

Kenya”. The project is designed to target drought prone areas in the three project countries, building on existing initiatives to support state and non-state actors to integrate disaster risk reduction in development and relief efforts.

According to UNISDR (2009), and shown in Figure 1 below, the percentage of persons affected by drought in the African continent between 1970 and 2008 is nearly 80 percent.

This paper attempts to convert findings, concept and guidelines on drought contingency planning into a guidance document, identifying critical gaps and bridging general drought preparedness, contingency planning and early response. This

**Figure 1: Number of persons reported affected by drought disasters: 1970-2008**



Source: EM-DAT: The OFDA/CRED International Disaster Database – [www.emdat.be](http://www.emdat.be) – Université catholique de Louvain – Brussels – Belgium (Adapted from UNISDR, 2009)

is in accordance to Priority 5 of the Hyogo Framework for Action “strengthening disaster preparedness for effective response at all levels” which emphasizes the need for “coordination and exchange of information and early warning; contingency planning and response readiness”.

The overall study objective is to examine drought contingency planning and plans for drought preparedness, coordination and effective response through the lens of risk management and livelihood sustainability, providing a framework for designing, implementing and assessing drought contingency plans. The main tasks for this assignment are:

- Review existing drought preparedness contingency plans with a focus on the Horn of Africa to determine the gaps in current contingency planning.
- Develop a concept for innovative drought contingency planning/early action planning which would bridge existing gaps and include long-term drought mitigation activities.
- Develop practical guidelines for drought preparedness contingency planning/early action planning for implementing partners linked to the HFA.
- Combine findings, concept and guidelines into a guidance document for partners.

## 1.2 Methodology, scope and limitations

### 1.2.1 The review methodology

The review exercise for contingency planning was largely desk review and face to face interviews.

1. **Literature review:** The bulk of the study was a desk review as per the ToR and involved review of partners’ and stakeholders’ contingency plans (drought and other hazards) within the Greater Horn of Africa and globally.
  - a. Published literature: Current and previous studies and papers were identified through Internet searches and a systematic search

in the websites of organizations and international forums concerned with drought risk management in the Greater Horn of Africa and globally.

- b. **Grey literature:** Documents provided by various agencies and stakeholders (UN agencies, government institutions/ departments and non-governmental organizations) were reviewed and where appropriate included.
- c. **Partner contingency plans documents:** Almost all the documents from Kenyan partners were available online and thus minimal interviews were conducted in Kenya.

### 2. Interviews:

- a. **Face to face interviews:** The study involved visits to Uganda, Kenya and Ethiopia to carry out key informant interviews with staff members in the three countries as well as regional staff based in Nairobi and Addis Ababa.
- b. **Telephone interviews:** Where no field visits were undertaken, a few interviews were carried out with selected staff who had been directly involved in drought risk management work from government and non-governmental organizations in Kenya, Ethiopia and Uganda to contextualize, validate and triangulate responses.
- c. **Semi-structured interviews:** Format guided by a limited set of pre-prepared question was shared with selected number of respondents.

### 1.2.2 The scope and limitation of the review

This desk study does not itself entail the development of a unique model in contingency planning. In part, this is because, the study examined the critical gaps in general contingency planning in the Greater horn of Africa, limiting the time available for the analysis of any one country in particular. In analyzing the drought contingency plans and planning, this review recognizes the following as its limitation:

- This is purely a review and not an in-depth study on drought contingency planning. Therefore the conclusions are purely from literature reviews and respondents' judgments.
- There are a number of past evaluations on drought contingency planning and not all of them have been reviewed or referenced here.
- By its nature, this review does not offer policy prescriptions, but simply outlines the approaches and recommendations that have emerged from the review of the literature without seeking to judge their validity and appropriateness.
- This review does not examine in-depth country contingency planning case studies, but reviewed few examples of contingency plans (relative number) in the three countries of focus – Kenya, Ethiopia and Uganda.
- This report was based on a desk review and not an evaluation of individual agency performance in drought contingency planning, thus the recommendations are generalized rather than specific to agencies.
- The opinions and discussions in this report are the author's views and not necessarily those of UNISDR.





## 2. Critical Gaps: Reviewing Effectiveness of Drought Contingency Planning

### 2.1 Definition of terms and concepts

Although “drought contingency plan” and “drought contingency planning” are used interchangeably, they are not identical. With respect to this review, a few conceptual and operational definitions of terms and concepts related to drought are highlighted below and modified based on UNISDR’s terminology on disaster risk reduction (2009) and on the National Drought Mitigation Center (NDMC), University of Nebraska.

#### 2.1.1 Drought

According to UNISDR (2009), a broad definition of drought is a deficiency of precipitation over an extended period of time, usually a season or more, which results in a water shortage for some activity, group, or environmental sectors. In order to explicitly define drought contingency plan and planning, it was necessary to further provide the various definitions of drought as may be relevant.

##### 2.1.1.1 Meteorological drought

According to UNISDR (2009), Meteorological drought is usually defined by a precipitation deficiency over a pre-determined period of time. A general working definition of meteorological drought is ‘a reduction in rainfall supply compared with a specified average condition over some specified period (Hulme, 1993). Therefore meteorological drought is a deficiency of precipitation (intensity) from expected or normal that extends over a season or longer period of time (duration) and is insufficient to meet the demands of human activities and the environment. This is

the most important type of drought which drives the other type of droughts discussed below.

##### 2.1.1.2 Agricultural drought

Agricultural drought links various characteristics of meteorological (or hydrological) drought to agricultural impacts, focusing on precipitation shortages, soil water deficits, reduced ground water or reservoir levels needed for irrigation, and so forth.

##### 2.1.1.3 Hydrological drought

Hydrological drought usually refers to a period of below normal stream flow and depleted reservoir storage during which stream flow is inadequate to supply established uses under a given system. It results from following periods of extended precipitation shortfalls that impact water supply potentially resulting in significant societal impacts.

##### 2.1.1.4 Socio-economic drought

Socio-economic drought occurs when the demand for socio-economic goods exceeds supply as a result of a weather-related shortfall in water supply (combination of meteorological and hydrological drought impacts) or human induced factors (from increased population and poor production from deficiency or poor technology).

### 2.1.2 Contingency planning

A management process that analyses specific potential events or emerging situations that might threaten society or the environment and establishes arrangements in advance to enable timely, effective and appropriate responses to such events and situations.

Figure 2: Drought cycle management



(Adapted from Pantuliano and Wekesa, 2008)

Contingency planning is a management tool used to analyze the impact of potential crises and ensure that adequate and appropriate arrangements are made in advance to respond in a timely, effective and appropriate way to the needs of the affected population (IASC, 2007).

### 2.1.3 Drought cycle management (DCM)

Drought cycle management is a cyclic process that acknowledges drought as a cyclic event and defines what actions to be taken in different stages of “a drought”. The concept of Drought Cycle Management (DCM) was developed in Kenya by Jeremy Swift in the mid-1980s under the EU-funded Turkana Rehabilitation Project (Pantuliano and Wekesa, 2008). Figure 2 summarizes the drought cycle management model.

### 2.1.4 Drought contingency planning

Drought contingency planning is a systematic process of integrating drought risk management from well designed, coordinated and funded drought contingency plans. The emphasis in drought contingency planning is in formalizing and enforcing the process from clarity in the

roles of different individuals, communities and institutions in managing drought risks.

### 2.1.5 Drought contingency plan

Drought contingency plan is a product of drought contingency planning. It is a summary of impacts of a specific drought translated into stages of and triggering criteria for drought risk reduction from legal or non legal operational implications.

### 2.1.6 Disaster (drought) risk management

The systematic process of using administrative directives, organizations, and operational skills and capacities to implement strategies, policies and improved coping capacities in order to lessen the adverse impacts of drought hazard and the possibility of disaster. Figure 3 presents a disaster risk management cycle.

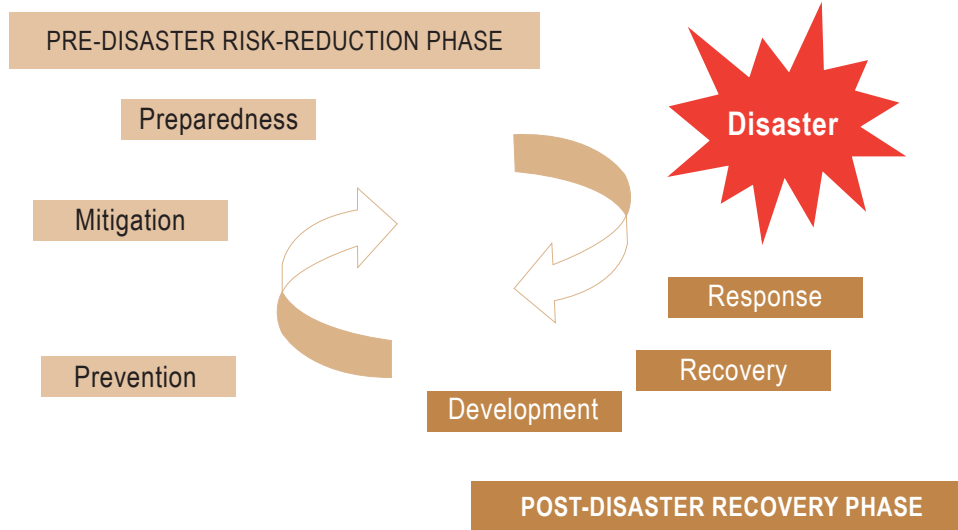
### 2.1.7 Drought risk reduction plan

A document prepared by an authority, sector, organization or enterprise that sets out goals and specific objectives for reducing disaster risks together with related actions to accomplish these objectives (Figure 4).

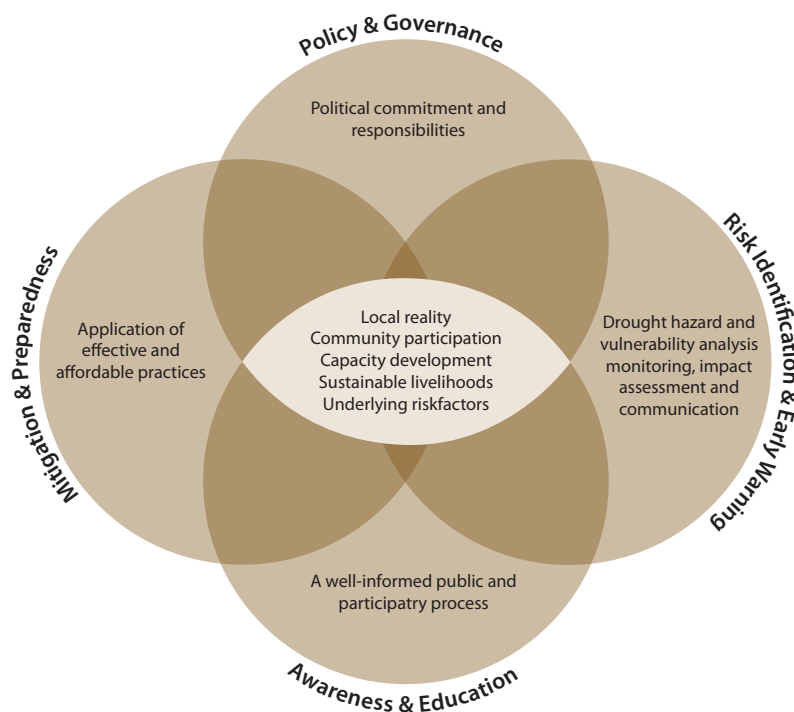


**Figure 3: The Disaster Risk Management cycle**

Traditional model sequences of action



(Adapted from Holloway, 2003)

**Figure 4: Proposed main elements for Drought Risk Reduction framework**

(Adapted from UNISDR 2009)

### 2.1.8 Community managed disaster risk reduction (CMDRR) plan

A condition whereby a community systematically manages its disaster risk reduction measures towards becoming a safer and resilient community,

people living in one geographical area, who are exposed to common hazards due to their location. In CMDRR the facilitation emphasis is on the interactive people's participation in the entire project cycle (Caritas Czech Republic, 2009).

## 2.2 Drought contingency planning – A historical Perspective

According to Wilhite et. al., 2005, past attempts to manage drought and its impacts has been ineffective, poorly coordinated, and untimely. In addition, the intrinsic value of drought management as a strategy, rather than as an operation, remains relatively unexplored (Caritas Czech Republic, 2009). Drought contingency planning as a

decision making and fund raising tool for drought risk management, evolved from the 1970s to date. A number of models emerged since then to move the drought risk management into the agenda of governments and funding agencies. However, as many drought crisis management have exposed, more emphasis is in funding drought responses and less overall drought preparedness and early warning. Table 1 below summarizes the historic perspective of drought contingency planning.

**Table 1: Historical perspective to drought contingency planning**

Year (s)	Major mile stone in drought risk management	Major drought concepts emphasized
Prior to 1970s	Droughts are seen typically as one-off event or disaster requiring an emergency response.	Humanitarianism to drought response
1970s – early 1980s	The delayed action and greater impacts of droughts in 1970s and early 1980s led to the formation of Interstate Committee for fight Against Drought in the Sahel (CLISS).	Cross border drought management
Mid 1980s	Greater impacts of drought crisis in the Mid 1980s from reactive and/or crisis management approach led to the emphases by governments and donor institutions to drought management as a driver of sustainable development (World Bank, 1998) and the formation of Inter-Governmental Authority on Drought and Development (IGADD).	Drought management key to sustainable development
Late 1980s	Drought became increasingly accepted as a normal occurrence in pastoral/dryland areas and not a rare or intrinsically disastrous event. The DCM model emerged from this thinking and improved programmes that recognized the cyclical nature of drought.	Drought contingency planning as part of drought cycle management.  Concept of drought cycle management as a drought response decision making, funding and management tool.
Early 1990s	During and after the drought of 1991-1992 in Eastern and Southern Africa, governments, the International Financial Institutions (IFIs) and bilateral donors accorded drought management to increased emphasis to contingency planning and funding (World Bank, 1995). The World Bank in particular funded projects in Kenya from 1993 to date specifically to enhance drought contingency planning in Arid Lands Resource Management Projects (ALRMP).	Increasingly, agencies look at drought contingency plans as a way to prepare for and respond to droughts.  Drought contingency planning and drought contingency funding promoted in humanitarian and development sectors.
Late 1990s and early 2000	Increase in floods and other non-drought related disasters led to the concepts of community managed disaster risk reduction in an attempt to manage holistically localized disaster risks at community level.	Community managed disaster risk reduction planning informs drought contingency planning
From Mid 2000 to date	After the tsunami, the emphasis shifted to disaster risk reduction based on the Hyogo Framework for Action.	Drought contingency planning defined based on Hyogo Framework for Action Priority 5: “strengthening disaster preparedness for effective response at all levels” emphasizes the need for “coordination and exchange of information and early warning; contingency planning and response readiness”.

## 2.3 Critical gaps in drought contingency planning

From the drought contingency plans and planning review, the following critical gaps have been identified as key.

### 2.3.1 The definition of drought dilemma in drought contingency planning

The mainstream definition of drought (based on impacts) is a critical gap identified in most contingency plans reviewed. The inconsistent and unclear definition of drought impede effectiveness of most drought contingency plans that are essentially not clear of what type of drought they are developed for. It was easy to see that most activities or combination of them in drought contingency plans were based on reactive response to an already looming crisis from an unidentified drought. The lack of consensus in drought definition often means that the activating of contingency plans is either late or lacks consistency even for adjacent districts or regions. Practitioners and communities are often aware of drought (mostly meteorological or hydrological) while the decision maker's battle with scientist's in interpreting early warning information.

### 2.3.2 Linking drought contingency planning to drought cycle management

According to Levine et., al. (2011), the concept of drought cycle management as a planning, decision making, funding and management tool in drought management has proven futile in actual drought risk management. While the drought cycle management, a cyclic process that defines what actions to be taken in different stages of "a drought", the plans themselves are static rather than dynamic with less or little changes in the specific stages of drought. This is particularly true in the designing of contingency plans during alert stages of drought cycle for activation (in similar way) during alarm and emergency stages of the drought cycle. Concentrating on development and mitigation activities has, therefore, been very difficult as focus is on short term repeated measures rather than larger scale – long term drought risk management. This reinforces the notion that

we cannot look at the drought cycle in discrete phases; rather, we must find ways to increase DRR efforts at all stages – but particularly as part of our response and recovery efforts (Oxfam, 2008).

### 2.3.3 Drought contingency planning are neither administrative nor thematic focused

Because regions are interconnected by eco-hydrologic systems, the impact of meteorological and hydrological droughts, for instance, may well extend well beyond the borders of the precipitation-deficient area. In their current form, drought contingency plans have been developed mostly based on administrative borders and boundaries on one hand and based on the agency mandate (preference being NGO borders based on geographic coverage and a little on thematic and/or its contribution during drought response) on the other. Thus, contingency plans are general, not for any real situation (thematic) or place (geographic), but have been applied for very generic contingencies – ranging from 'drought', 'flood', 'conflict' (Levine S. A. Crosskey, and Abdinoor M., 2011).

### 2.3.4 Drought contingency planning fail to coordinate interagency planning

Drought contingency plans are themselves insufficient to coordinate interagency drought contingency planning for effective preparedness and response. This is largely true in that most drought contingency plans are not only geographical focused but at times thematically defined. A good part of drought contingency plans reviewed are focused mostly on livestock (based on original intent of DCM). If this is not handled properly most of the drought contingency plans will react rather proactively to complex livestock and non livestock livelihood based responses. The most significant gap is that agencies' policies and mandates for drought contingency planning are more policy-led than operationally driven.

### 2.3.5 Drought contingency plans implementations are not enforceable

The countries in review, Kenya, Uganda and Ethiopia, have not enacted drought risk management policy and legal framework/strategy for action. Therefore

the drought contingency plans are not based on national drought policies thus making coordination of interagency planning and early action from joint implementation basically impossible. The capacity of government agencies for drought contingency planning is not necessarily centrally managed and thus implementation of plans is not enforced from coordination and monitoring.

### **2.3.6 Drought contingency planning emphasize on formulation rather than evaluation**

The majority of contingency plans reviewed put more emphasis on the plan's formulation and define clear actions for its implementation but little or no mention on its testing, evaluation and on pre-testing and refining the plans. From the respondents and contingency plans, it was easy to see that very little effort has been put in revisiting and refining drought contingency plans after drought. Regrettably, a few respondents pointed out that successive contingency plans developed were hurriedly done with little updates or reference to previous contingency plans.

### **2.3.7 Drought contingency plans developed to fulfill donor requirements**

The majority of drought contingency plans had little or no consistency between seasonality and funding cycles. With many drought contingency plans developed around funding opportunities, it could mean that the contents and contexts of these plans and planning respectively will largely be donor driven and in view of fulfillment of donor requirements.

### **2.3.8 Drought contingency plans partially participatory**

Though the majority of the plans had an element of joint or all stakeholders planning process, it lacked involvement of or often excludes stakeholders from local recipients of the plans and/or those who could affect the success of drought mitigation efforts through policy change and practice. The participant list of most contingency plans lacked representation from communities. It may be assumed that earlier consultations took place with communities and

local government authorities. There is a need to include experienced agency and community staff in drought contingency planning for a period of time for continuity and that could easily link preparedness actions to mitigation.

### **2.3.9 Drought contingency planning is cyclic limiting community resilience to drought impacts**

Though drought contingency plans have various activities to support drought risk reduction by including minimal preparedness, response and recovery actions, there is very little link between preparedness, early warning and early action/response. In fact, most drought contingency plans are response oriented with little emphasis on mitigation. This could be associated with technical capacity of those involved in contingency planning or timing and duration for its development is too short and not part of a bigger drought risk reduction strategy.

### **2.3.10 Sustainable drought contingency funds limited from inadequate early warning systems information management**

The reviews conducted highlighted development of drought related early warnings as sufficient for decision making in many countries. However, the critical gaps identified in linking drought preparedness to actualizing contingency plans from timely early warning information communication included:

#### **Early warning systems:**

- Drought contingency planning in early warning systems information communication and management is confined to sectoral crisis management rather than critical drought risk management stages of preparedness and mitigation.
- The gap between information provided by the early warning system about impending threats and the ability of government to act to reduce those threats has been a main shortcoming.
- Capacity of stakeholders to interpret and disseminate early warning information to trigger contingency plans is limited.



Most of government officers at district and county levels are constantly rotating which makes capacity building of individuals and institutionalizing effective preparedness for response varied or taking longer.

- The absence of a legal framework in drought management policy makes it hard to make any individual or institution accountable for not operationalizing drought contingency plans triggered by early warning information.
  - Different sectors and sectoral activities within the drought contingency plans are selectively implemented at different stages of drought, making overall planning, activating and evaluation varied. This is mainly due to lack of or limited sources of sustainable contingency funds.
  - Though early warning information is transmitted to different line ministries of the governments, different departments select and plan with parts (but not all) of the early warning information. This makes triggering
- early warning information for coordinated early action impossible across all departments for a coordinated and timely drought response.
- In addition, interpretation of the early warning information to activate drought contingency plan has not been institutionalized based on drought risk management policy. The countries in question, Kenya, Uganda and Ethiopia have no legal framework to implement their national drought risk management policies. This particularly makes testing and refining the drought plans prior to drought not feasible.
  - Contingency planning has not helped people to be on time because it had not told people when action would be needed (Levine S. A. Crosskey, and Abdinoor M., 2011).
  - District drought management plans have included pre-prepared 'shelf projects' of activities to be triggered by the early warning system, but without sustainable contingency funding these actions and projects could not be accomplished.



## 3. Bridging the Gap: A Conceptual Framework for Drought Contingency Planning

### 3.1 Drought contingency planning framework in focus

#### 3.1.1 Overview of conventional drought contingency planning process

Several attempts in the past have been geared to modify the contingency planning tools by a number of researchers, consultants and partner organizations. From the various drought contingency plans reviewed in Kenya, Ethiopia and Uganda (both at district, regional and national levels) there was no consistency in the model adopted in drought contingency planning. The majority of them follow the model as shown in Fig. 5 and 6 below, while a few took note of the proposed 10 steps for successful emergency response and drought planning process summarized in Tables 2 and 3 respectively. This meant that a confusion exist between contingency planning and response planning. The distinction between the two will ensure clarity in putting a working and accepted framework for drought contingency planning with emphasis on long term sustainable development.

According to the International Federation of Red Cross and Red Crescent Societies (IFRC) website (<http://www.ifrc.org/en/what-we-do/disaster-management/preparing-for-disaster/disaster-preparedness-tools/contingency-planning-and-disaster-response-planning/>), there is a distinction between contingency planning and response planning:

- **Contingency plans** are components within an overall disaster response planning process. They are based on individual specific events or known risks at local, national, regional or even

global levels, e.g. droughts, famine, conflicts, floods, etc., and include a concept of operations with anticipated resource requirements, available resources and shortfalls or gaps.

- **Disaster response planning** involves identifying disaster risks, vulnerabilities, impact, organizational resources and capacities, determining roles and responsibilities, and developing policies and procedures and planning activities to reach a level of preparedness for timely and effective response to a disaster should one occur. This planning does not address specific disaster scenarios. Moreover, it is essential in this process to identify gaps and needs. The actual planning process is preliminary in nature and is carried out in a state of uncertainty until an actual emergency or disaster occurs. After a disaster occurs, plans must be monitored, evaluated and adapted to the actual situation. Figure 5 and 6 show examples of contingency planning process for humanitarian responses and government of Kenya respectively.

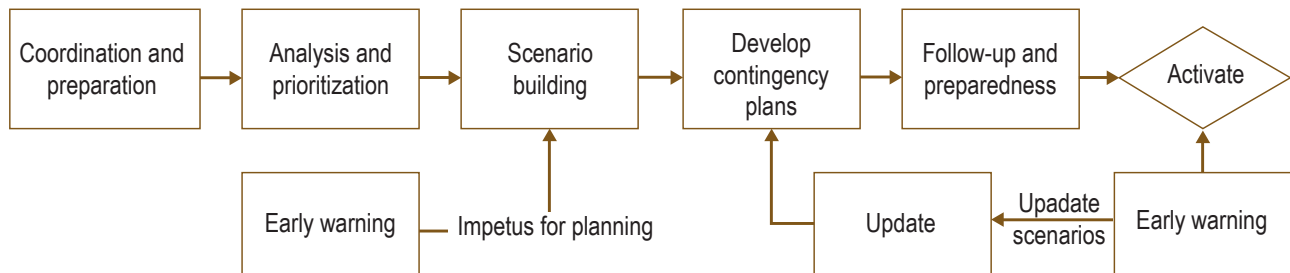
The National Drought Mitigation Center (NDMC), University of Nebraska-Lincoln, USA, has developed a 10-step to drought planning process as summarized in Table 3.

#### 3.1.2 Overview of conventional drought contingency planning process, content and context

Barton et al., 2001 proposed that drought contingency planning must allow for the implementation of three kinds of measures (context):

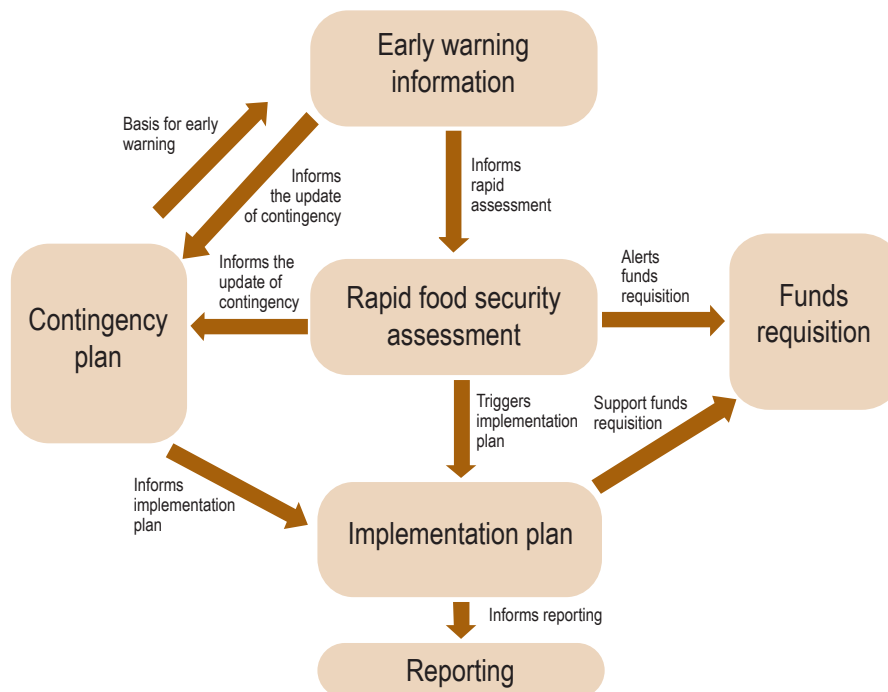
- **Mitigation:** to minimize the impact of drought on livelihoods

**Figure 5: Drought contingency planning process**



(Source: Modified from Global Crisis Solutions) [http://www.globalcrisisolutions.org/libraries/contingency\\_planning\\_process.pdf](http://www.globalcrisisolutions.org/libraries/contingency_planning_process.pdf)

**Figure 6: Drought contingency plan and funding model for Kenya drought management authority**



(Adapted from Ministry of Northern Kenya and other Arid and Semi Arid Lands)

**Table 2: The 10 steps for successful early response (Levine, 2010)**

1. Identify the likely hazards
2. Describe the 'normal' seasonal calendar
3. Draw up your 'scenario calendar'
4. Decide what support you want to give at each stage of the crisis
5. Work out the 'start-up time-line' for each intervention
6. Plot the start-up time-line back onto calendar
7. Check that your activities can realistically be on time
8. Be prepared: shorten start-up time-lines for all interventions
9. Keeping the contingency plan alive
10. Share these ideas with those who can make things happen

**Table 3: NDMC's 10-steps drought planning process**

1. Appoint a drought task force or committee
2. State the purpose and objective of the drought mitigation plan
3. Seek stakeholder input and resolve conflicts
4. Inventory resources and identify groups at risk
5. Prepare and write the drought mitigation plan
6. Identify research needs and fill institutional gaps
7. Integrate science and policy
8. Publicize the drought mitigation plan and build awareness and consensus
9. Develop education programmes
10. Evaluate and revise drought mitigation plans

- Relief: for the welfare of those made destitute by drought.
- Rehabilitation: of pastoral production systems in the aftermath of drought.

### 3.1.3 DCM, CMDRR and DRM in contingency planning

The original intent of DCM was to guide drought management taking drought as a cyclic event that needed flexibility in drought planning (during normal phases) to drought response (in alarm and emergency phases). The concept is very relevant if modified to strengthen drought preparedness for effective response at all phases of drought. The modification could then be in having contingency planning at all stages of drought management cycle. This will certainly offer partners and communities with a chance to have their development plans as centre for drought risk management. Therefore drought preparedness and mitigation informs contingency planning, while contingency plans inform effective drought responses and vice versa and refining the process and contents become a part of sustainable development strategy.

### 3.1.4 Seasonal calendar as a basis for drought contingency planning

From the country responses, it was emphasized that drought is slow onset with predictable (from cyclic events) impacts and with time for early warning information to be communicated

in time. The proposal was to embed drought contingency planning to fit into the seasonal calendar. Contingency planning should therefore be conducted based on season for instance in dry season for drought response and rainy season for drought risk mitigation.

## 3.2 Institutional frameworks for drought contingency planning

### 3.2.1 The roles of national disaster risk management institutions

It is important to acknowledge that there are draft disaster risk management policies in Kenya, Ethiopia and Uganda.

- Kenya has a drought management authority responsible for overall drought risk management collaborating and coordinating partners at the national platform for Disaster Risk Reduction.
- Uganda has already approved the disaster management policy and finalizing on the strategy that guides drought risk management.
- The Government of Ethiopia is in the process of revising its Disaster Prevention and Management Policy, to improve on its preparedness and response systems. This involves planning for emergency responses as well as development of an integrated risk management facility, with contingency funds and a weather-indexed insurance scheme.



In all the three countries the national disaster management institutions have similar drought management systems with roughly similar components (that can be utilized for appropriate drought contingency planning and funding):

1. A national drought management policy
2. A drought early warning system
3. A set of district level contingency ('shelf') plans
4. A drought contingency (response) fund
5. Drought coordination and response structures

However, the most challenging task was to identify sustainable sources of contingency funds and funding mechanisms. The possibilities proposed are:

- Linking contingency planning and plans as part of development process
  - Highlighting contingency plans as part of and basis for CMDRR plans implementation.
  - Enhance community participation so as they advocate for locally available resources through devolved and/or decentralized funding mechanisms.
- Early warning systems information interpretation and communication always had a delay with various end users not sure of what action to take.
- Having detailed information management (from CMDRR process) and proactive communication can minimize time for decision makers to get information and make decisions.
- National and regional advocacy on increased funding with drought contingency as part of preparedness and mitigation as part of drought risk reduction.

### 3.2.2 The role of regional economic committees (RECs) in drought contingency planning

The role of regional economic committees is to facilitate cross border and multi country ecosystem based contingency planning as summarized below.

#### 3.2.2.1 IGAD:

- IGAD has established a specialized centre known as IGAD Climate and Application Centre (ICPAC) that provides seasonal weather forecasts and climate change;
- ICPAC monitors and analyses regional impacts of climate change within IGAD member countries.

#### 3.2.2.2 East African Community (EAC):

In November 2009, EAC's 3rd meeting of sectoral council on Agriculture and Food Security recommended the following in relation to drought contingency planning (Table 4).

### 3.2.3 The role of communities and national non-governmental organizations

The following is a summary of proposed roles of communities and NGOs in drought contingency planning

- Develop and revise CMDRR plans for consideration in development oriented/ holistic drought contingency planning at district or county levels.
- Implement fundable and non funding options of the contingency plans.
- Provide information for early warning systems and identify triggers and threshold for activation of contingency plans.
- Advocacy from emerging issues in drought contingency planning and funding.



**Table 4: EAC partner states proposals for sustainable drought contingency funding**

Action proposed in November 2009	Status as at February 2012
<ul style="list-style-type: none"> <li>The Regional Technical Steering Committee on Pastoralism and drylands should be constituted urgently;</li> </ul>	<ul style="list-style-type: none"> <li>Most actions ongoing</li> </ul>
<ul style="list-style-type: none"> <li>Partner states undertake studies to assess the loss of animals caused by prolonged drought in the EAC region to quantify losses in economic terms;</li> </ul>	
<ul style="list-style-type: none"> <li>The EAC should observe regional pastoralists week in support of Partner States initiatives;</li> </ul>	
<ul style="list-style-type: none"> <li>Proposal to establish a regional disaster emergency fund;</li> </ul>	
<ul style="list-style-type: none"> <li>The EAC to conduct a study on the existing national pastoral and drylands policies in the region;</li> </ul>	
<ul style="list-style-type: none"> <li>Livestock based early warning system should be based established in the region.</li> </ul>	
<ul style="list-style-type: none"> <li>Mainstream pastoral issues in all sectors;</li> </ul>	
<ul style="list-style-type: none"> <li>The EAC and its Partner States should develop a contingency plan for pastoralism and drylands development;</li> </ul>	
<ul style="list-style-type: none"> <li>Organize, build capacity and empower actors in the regional beef value chain including pastoralists</li> </ul>	
<ul style="list-style-type: none"> <li>The EAC Secretariat should embark on resources mobilizations for the coordination of regional activities.</li> </ul>	



## 4. The Content and Context of Drought Contingency Planning Redefined

### 4.1 Proposed guide to drought contingency plans and planning in the Horn of Africa

#### 4.1.1 Review of types of contingency planning processes in the Horn of Africa

According to Choularton (2007), there are two types of drought contingency planning processes namely the linear model and the continuum model. The linear model has mostly been applied by World Food Programme (Figure 7) and the Inter-Agency Standing Committee (Figure 8). The main assumption of the linear model is the logical flow of activities in steps, building on unfolding scenario from an anticipated disaster. The challenge is however that the hazard is slow onset and gives time for at various levels to take place in logical manner.

The second model is the continuum model (Figure 9) that is based on the emergency

management cycle and initially developed by CARE International. The main characteristic is that it's based on contingency planning as an ongoing process with emergency response as a cyclic event. The advantage of this model is the flexibility in re-assessing, evaluating and redefining contingency plans and updating based on lessons learnt from responses (Wilhite, 2005 and Wilhite et., al. 2005).

#### 4.1.2 Proposed contingency planning processes for the Greater Horn of Africa

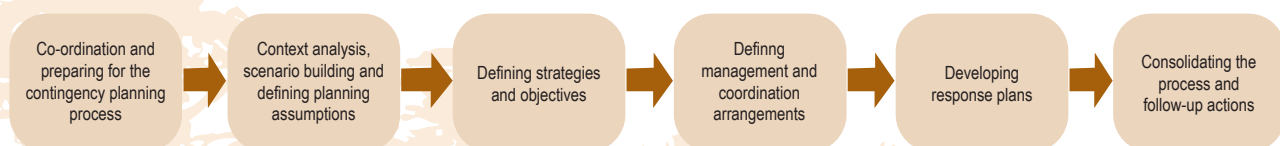
In an attempt to bridge the gap in drought contingency planning process and content, the author proposes the following framework/steps for governmental and nongovernmental partner considerations as shown in Figure 10 below. To have a dynamic and participatory contingency planning and funding process; a continuum model will work for the Greater Horn of Africa. The main difference will be on linking contingency planning with all stages of

Figure 7: WFP's contingency planning process



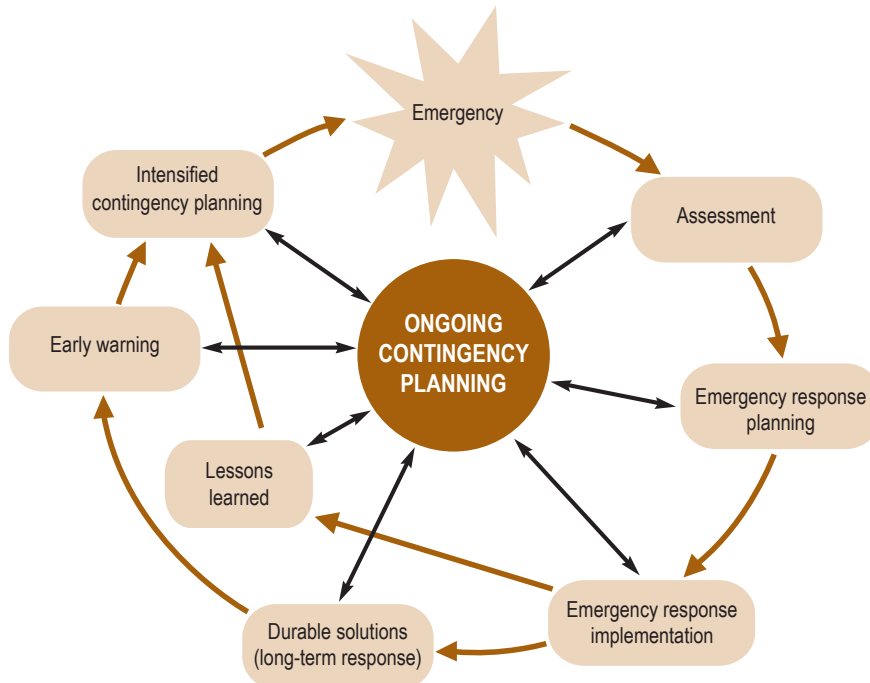
(Adapted from Choularton, 2007)

Figure 8: The inter-agency standing committee contingency planning process



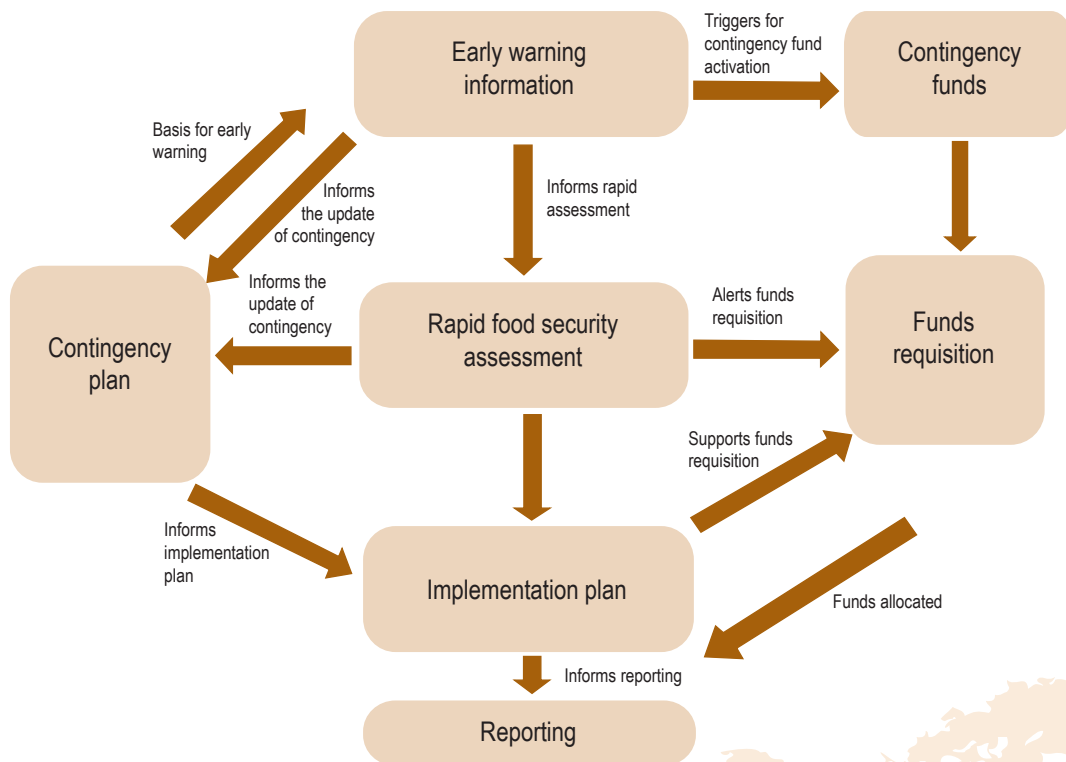
(Adapted from Choularton, 2007)

Figure 9: The contingency planning continuum



(Adapted from Choularton, 2007); Source: CARE International

Figure 10: Proposed drought contingency plan and planning model



Modified from The Ministry of Northern Kenya and other Arid and Semi Arid Lands

drought risk management as a development plan (Wilhite, 2005 and Wilhite et., al. 2005).

For effective drought contingency planning and funding; the proposed Kenyan model with modification (Figure. 10) looks the most ideal model. This is a continuum model that combines the instructional and community preparedness with link to early warnings, triggers for contingency fund allocation, activation, and requisition with little delay in disbursements. It also provides accountability and monitoring framework from the systematic but less time lost from early warnings to decision making in contingency funds disbursements and contingency plans implementation.

## 4.2 Hyogo framework for action priority indicators in drought contingency planning

As indicated in sections 3.1 to 3.2, bridging the gap in contingency planning is only possible if local authorities, individuals and communities in drought-prone areas are well prepared and ready to act and are equipped with the knowledge, resources and capacities for effective drought risk management. A proposal will be to relate indicators of success under priority 5 of the Hyogo Framework for Action to all the stages of drought contingency planning (Table 5) as means to evaluate and support contingency planning.

**Table 5: Hyogo framework for action priority 5 indicators in contingency planning**

Hyogo framework of action: Priority 5 indicators of success	Stage of drought contingency planning process/context	Proposed institutions to support the process
<ul style="list-style-type: none"> <li>Strong policy, technical and institutional capacities and mechanisms for disaster risk management, with a disaster risk reduction perspective are in place.</li> </ul>	All stages of contingency planning	National drought/disaster Management Institutions (Lead)
<ul style="list-style-type: none"> <li>Disaster preparedness plans and contingency plans are in place at all administrative levels, and regular training drills and rehearsals are held to test and develop disaster response programmes.</li> </ul>		<ul style="list-style-type: none"> <li>CMDRR Committees</li> <li>District/county disaster management committee</li> </ul>
<ul style="list-style-type: none"> <li>Financial reserves and contingency mechanisms are in place to support effective response and recovery when required.</li> </ul>		CSO/NGOs/INGOs support implementation of contingency plans
<ul style="list-style-type: none"> <li>Procedures are in place to exchange relevant information during hazard events and disasters, and to undertake post-event reviews</li> </ul>		UNISDR support National DRR platforms to coordinate drought risk reduction strategies.
		FAO/UNDP provide a link to drought contingency planning as part of sustainable development programming



## 5. Conclusion

### 5.1 Conclusions and implications

#### 5.1.1 Overview of conclusions on drought contingency planning gaps

In an attempt to bridge the gap in drought contingency planning for effective drought preparedness and response, the conceptual and operational models have been reviewed and this study proposes a more continuum and relief-developmental thinking model (section 4.1.2). Though this is not yet a new framework or model it is expected to take note of the gaps in the activating contingency plans and funds triggered by early warning system.

#### 5.1.2 Drought contingency planning coordination

There was consensus during discussions that drought contingency planning could take place at all stages of drought cycle with thresholds for its activation following the same pattern at all stages of the drought cycle. Definition of drought in question earlier on will revert the general, not for any real situation (thematic) or place (geographic) contingency plans that have been applied for very generic contingencies in the past.

#### 5.1.3 Drought contingency planning options: funding and non-funding options

Not all contingency activities in the plans require funding. If drought contingency planning (process and context analyses) is mainstreamed into sustainable development and drought

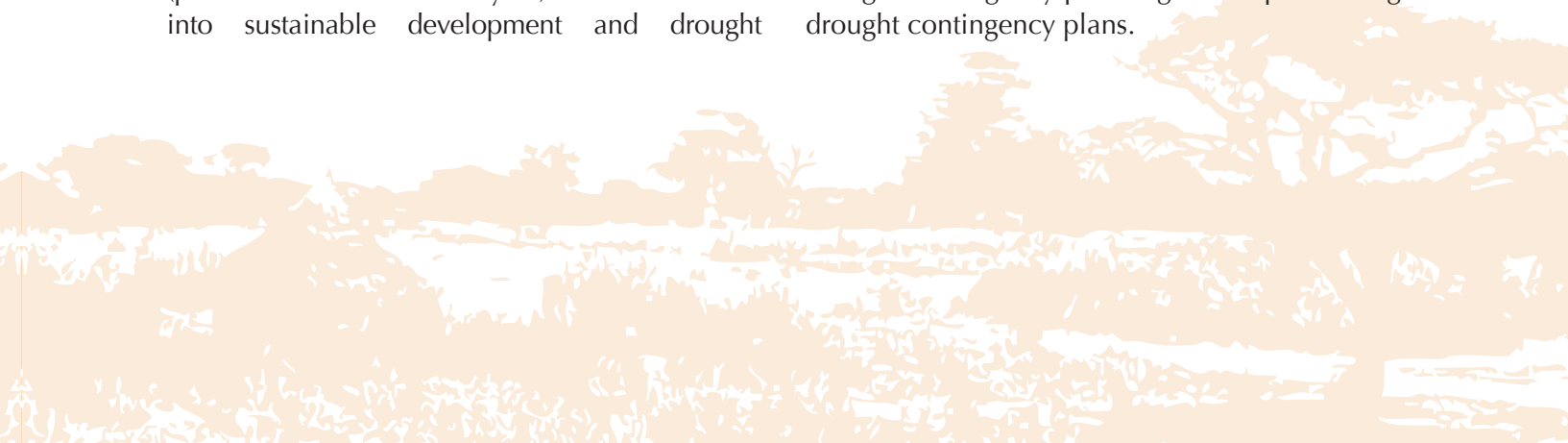
risk reduction framework and practices, many contingency plan activities need not any financial implications for activation as they form part of community managed disaster risk reduction plans.

#### 5.1.4 Drought contingency planning mandates and management

For drought contingency plans and planning to be effective, responsibilities and accountabilities for action and in action need to be specified and managed as articulated in section 3.2.1. More often in the past drought responses, no one was responsible for the in action and delayed responses or not activating the contingencies all together. More advocacies are required to push national and regional governments to enact drought management policies and strategies with legal frameworks to hold individuals or institutions accountable.

#### 5.1.5 HFA priority indicators can be a good base for evaluating effective contingency planning

The HFA priority five indicators of success show that for effective drought contingency planning to be a success; strengthening drought preparedness and coordination from proactive exchange of information and early warning; contingency planning and response readiness is key. HFA priority indicators can be utilized for monitoring and accountability purposes in drought contingency planning and implementing drought contingency plans.





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## Annex 1: Drought Plan Guidance Notes

Document section (10 pages)	What to watch out or include
1. Executive Summary (0.5 page)	A brief overview of the contingency planning process and plan
2. Hazard and Risk Analysis (1 page)	Brief Summary of the community managed drought risk reduction process.
3. Define the drought type (2 pages)	Brief summary of agreed scenarios and planning assumptions based on drought type. 3.1 Type of drought 3.2 Sources of early warning information 3.3 The stages of unfolding situation (seasonal calendar)
4. Objectives and Strategies of the contingency plan (1.5 pages)	Define the objectives and strategies of the contingency plan based on drought risk reduction strategies/options (preparedness and mitigation) build up scenario from anticipated drought impacts
5. Overview of Management and Coordination Arrangements (3 pages)	5.1 Thematic and geographic focus (district and regions) and Clusters established and designated lead agencies/organizations (national); 5.2 Diagram of coordination mechanisms (in all levels); 5.3 Summary of funding and non funding options; 5.4 Early Warning Information management arrangements; 5.5 Cross-cutting issues; 5.6 Risks and mitigation measures
6. Summary contingency plans (2 pages)	6.1 Preparedness plan 6.2 Response Plan 6.3 Funding plan 6.4 Communication plan
7. Annexes	Annex 1: List of participants Annex 2: Action plan (what, when by who) Annex 3: Contingency planning and plan review (based on seasonal calendar)





## Annex 2: List of Respondents

### ECHO RDD and other stakeholders partner staff Uganda based

	Name	Agency/organization	Country
1	Malika Ogwang	ACTED	Uganda
2	Carolyne Sekyewa	DCA	Uganda
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4	Rose Bwenu	OPM	Uganda
5	Samuel Akera	UNISDR	Uganda
6	Moges Bekele	CORDAID Uganda	Uganda
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24	AmanuelKassie	CARE Ethiopia	Ethiopia
25	FassilDemeke	Mercy Corps	Ethiopia
26	Mohammed Abdinoor	USAID, Ethiopia	Ethiopia
27	Kasaye Hadgu	OCHA , Ethiopia	Ethiopia
28	Mohammed F. Siryon	OCHA, Ethiopia	Ethiopia
29	Claire Balbo	UNISDR	Ethiopia

30	Moges Abebe	CORDAID	
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32	BayuTedesse	IRC	Ethiopia

**List of individuals not contacted but contributed directly or indirectly to organizational based information available at [www.disasterriskreduction.net](http://www.disasterriskreduction.net) (authored or contribute to organization documents, reports or publications)**

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3	Isaac Wamugi	COOPI	Kenya/Ethiopia
4	Mohammed Dida	Cordaid	Kenya/Ethiopia
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7	Emmanuella Olesambu	FAO	Regional
8	Paul Opio	FAO	Regional
9	Rod Charters	FAO	Regional
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15	Maria Hauer	UN ISDR	Regional
16	Pedro Basabe	UN ISDR	Regional
17	Rhea Katsanakis	UN ISDR	Regional
18	Yuko Kurauchi	UNDP	Regional
19	Robert McCarthy	UNICEF	Regional
Kenya based			
21	Luigi Luminari	EC / DMI	Kenya
22	Choice Okoro	OCHA	Kenya
23	Brian McSorley	Oxfam GB	Kenya
24	Eunice Obala	VSF Germany	Kenya
25	Ilona Gluecks	VSF S	Kenya

## UNISDR is at the heart of a global partnership which plays a vital role in raising awareness of the socio-economic benefits of disaster risk reduction.

### Mandate

UNISDR was established in 1999 to facilitate the implementation of the International Strategy for Disaster Reduction (ISDR). UNISDR was mandated "to serve as the focal point in the United Nations system for the coordination of disaster reduction and to ensure synergies among the disaster reduction activities of the United Nations system and regional organizations and activities in socio-economic and humanitarian fields" (UN General Assembly Resolution 56/195). With the adoption of the Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters (HFA), the United Nations General Assembly tasked UNISDR with supporting its implementation. UNISDR also organizes the Global Platform for Disaster Risk Reduction (UN General Assembly Resolution 61/198).

### Who

UNISDR is the UN office dedicated entirely to disaster risk reduction. UNISDR is an entity of the UN Secretariat led by the Special Representative of the Secretary-General for Disaster Risk Reduction. UNISDR mobilizes and coordinates a vibrant network comprising numerous organizations, States, intergovernmental and non-governmental organizations, financial institutions, technical bodies, UN agencies and civil society. UNISDR was a founding member of the World Bank-based Global Facility for Disaster Reduction and Recovery and manages its global and regional components.

### What

UNISDR coordinates international efforts on disaster risk reduction, organizes a Global Platform every two years which brings together all parties involved in disaster risk reduction, and campaigns to build global awareness. UNISDR advocates for greater investment and the integration of disaster risk reduction into policies and programmes for climate change adaptation. UNISDR informs and connects people by providing practical tools and publishing the biennial Global Assessment Report, an authoritative analysis of global disaster risk. UNISDR also supports the HFA Monitor which allows for national reporting on HFA implementation.

### Where

UNISDR implements its mandate through five regional offices based in Asia (Bangkok), Africa (Nairobi), Europe (Brussels), Arab States (Cairo) and Latin America and the Caribbean (Panama). The regional offices are guided and supported by UNISDR Headquarters in Geneva. UNISDR also maintains a UN HQ liaison office in New York, a liaison office in Bonn and field presences in Kobe, Japan, Suva, Fiji, Incheon, Korea and Almaty, Kazakhstan.

The Hyogo Framework for Action Expected Outcome:

"The substantial reduction of disaster losses, in lives and in the social, economic and environmental assets of communities and countries"

### The Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters

Adopted by 162 Member States of the United Nations, The Hyogo Framework for Action (HFA) is the key instrument and global blueprint for implementing disaster risk reduction. Its overarching goal is to build the resilience of nations and communities to disasters, by achieving substantive reduction of disaster losses by 2015.

The HFA offers five areas of priorities for actions to achieve disaster resilience for vulnerable communities in the context of sustainable development. The Priority Areas are:

- 1. Make disaster risk reduction a priority: Ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation.**
- 2. Know the risks and take action: Identify, assess, and monitor disaster risks and enhance early warning.**
- 3. Build understanding and awareness: Use knowledge, innovation, and education to build a culture of safety and resilience at all levels.**
- 4. Reduce risk: Reduce the underlying risk factors.**
- 5. Be prepared and ready to act: Strengthen disaster preparedness for effective response at all levels.**



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