



FAO's Role & Effectiveness in Emergencies



Reference Handbook
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FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS



FAO's Role and Effectiveness in Emergencies

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Many people have contributed in different ways to this process. Key inputs in the early stages were provided by a FAO steering group consisting of **Simone Borelli, Marta Bruno, Angela Hinrichs, Richard Moon, Laura Sciannimonaco, Jan Winderickx**, and coordinated by **Patrick Jacqueson**. Significant additional material was added thanks to the comments received from the participants of the workshops given in Bamako (July 2006), Johannesburg (October 2006), Bangkok (January 2007) and Cairo (May 2007). Substantive technical inputs have been given by **Federica Battista, Marta Bruno, Mona Chaya, Neil Marsland, and Florence Rolle**, with additional contributions from **Stephan Baas, Olivier Cossée, Dario Gilmozzi, David MacFarlane, Etienne Peterschmitt, Jordan Ramacciato, Maria Ruiz-Villar, Sylvie Wabbes** and **Marianne Ward**.

This reference handbook is a live tool and any suggestions and comments are very welcome. Please send all contributions to the overall training coordinator (patrick.jacqueson@fao.org).



Getting started

*How to use this handbook
Signposts to other resources*

How to use this handbook

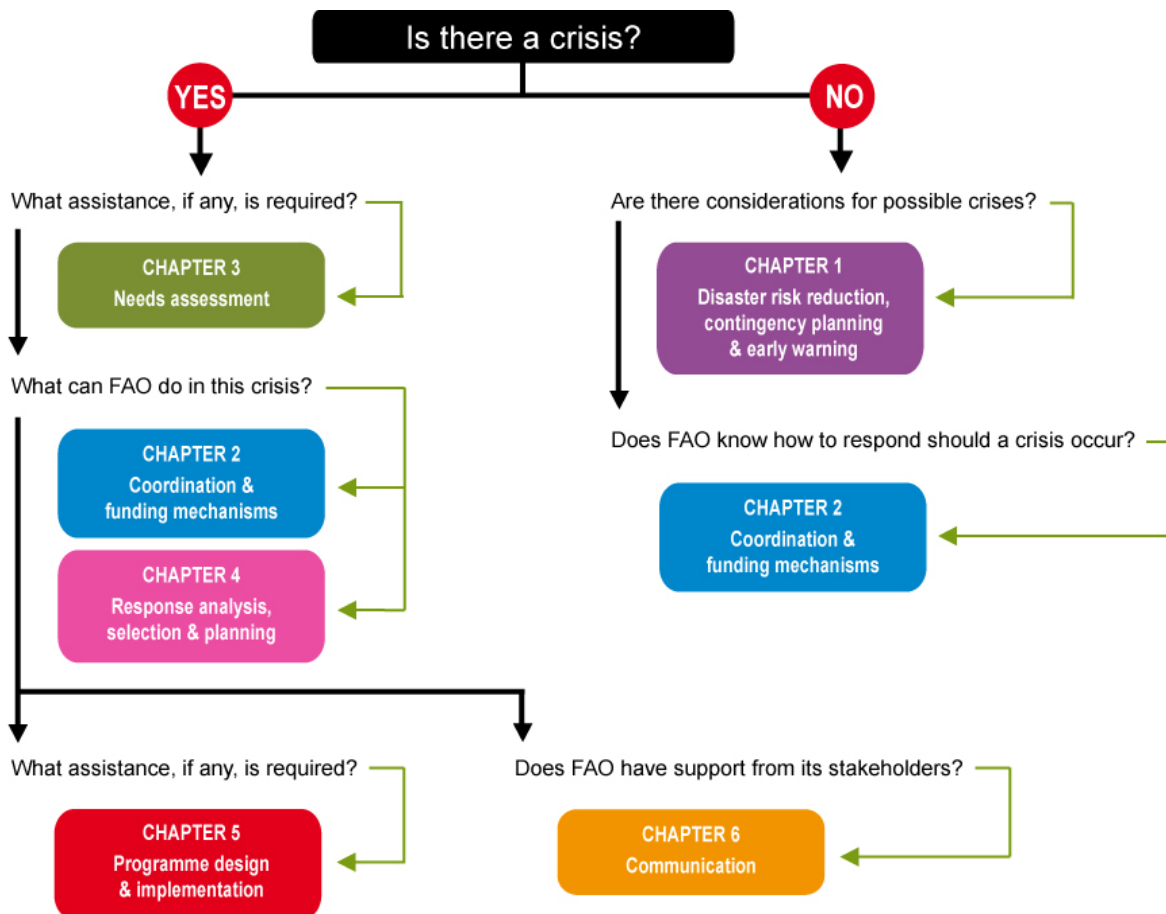
If you take part in the “FAO’s role and effectiveness in emergencies” training workshop, this handbook is your reference manual to guide you in three ways:

- Reading and reference information as you prepare for the workshop
- Reference information for use during the workshop simulations
- Use after the workshop as a reference manual

For those who do not take part in the training, the handbook constitutes a resource manual in which you can find a short description of the main aspects of FAO’s emergency response cycle. Additional information is available, either by contacting the indicated resource person directly, or by visiting the indicated weblink.

The first section of the handbook provides you with an overall view of the “**International Humanitarian System**” in which FAO has to act. This is the minimum background that anyone operating in emergencies should be aware of.

The following diagram illustrates the sequencing of the reference handbook and the accompanying training.



At the start of each Chapter you will find a list of questions that you should be able to answer after having read the Chapter.

It has been a judgement call about where to put some of the information, although we hope the contents page will help you find what you need.

You can recognize the start of a new section because the title is encased within a box, such as the title for this section 'how to use this handbook'.

Signposts to relevant additional resources

Country Office Information Network (COIN) – http://coin.fao.org/coin/coin_start.jsp
Information on policies and procedures, including the FAO Representative (FAOR) handbook

Field Programme Management Information System (FPMIS) - <https://extranet.fao.org/fpmis/index.jsp>
Corporate information on all activities funded from extra-budgetary resources, as well as Technical Cooperation Programme (TCP) and Special Programme for Food Security (SPFS) projects funded by the Regular Programme, including a Field Programme Manual

Inter-Agency Standing Committee (IASC) - www.humanitarianinfo.org/iasc
Resources that have been endorsed by the majority of the 'humanitarian and rehabilitation' community

Humanitarian Early Warning Service (HEWS) www.hewsweb.org
A global multi-hazard watch service to support humanitarian preparedness

United Nations Development Group (UNDG) – www.undg.org
The website for post-emergency United Nations (UN) system coordination

Individual training and learning resources within FAO. Click “staff services” at the top of the FAO intranet home page, then click fourth bullet down on left hand side “staff development & learning opportunities”
Learn about all the training opportunities available from within FAO

The Sphere Project - www.sphereproject.org
Agreed benchmarks, key indicators and technical guidance in four main life-sustaining emergency response areas

The quality compass - www.compasqualite.org
Question-based method for quality assurance when managing and evaluating humanitarian projects

Types of emergencies and implications for the emergency programme cycle

In practice, FAO country offices are faced with a range of emergency types, some types of emergency are more likely in certain parts of the world than others. The following table presents six major types of emergency. This in itself is a simplification, as other types and combinations do occur.

| <i>Emergency type</i> | <i>Geographical areas in which emergencies commonly occur (not exhaustive) and / or recent examples</i> |
|--|---|
| 1. Slow-onset drought-related | Sub-Saharan Africa (particularly, Sahel, Horn, eastern and southern) |
| 2. Slow-onset cross-boundary pests and diseases | Sahel (locusts); eastern and southern Africa (cassava mosaic virus, Larger Grain Borer) |
| 3. Sudden- and rapid-onset natural disasters | Pacific rim (earthquakes, tsunamis); Central America and Caribbean (hurricanes); Southeast Asia (typhoons); Africa, south and east Asia, South America (flooding); southwest Asia (earthquakes) |
| 4. Conflict-related emergencies | Iraq, Sudan (Darfur) |
| 5. Financial crisis | Latin America, Southeast Asia |
| 6 Complex emergencies <i>(i.e. involving more than one of the above)</i> | Sri Lanka, Democratic Republic of the Congo (DRC), Somalia, southern Africa |

Implications for FAO

Each type of emergency poses a set of challenges for FAO's response. Some of the challenges are the same and provoke the same kinds of questions:

- **Who is at risk? Who is vulnerable?**
- **How severe is the situation?**
- **How has it impacted upon people's food security and livelihoods?**
- **Can it be addressed locally or does it require exceptional external assistance?**
- **Who is doing what in response?**
- **What/how can FAO contribute?**

These are common questions irrespective of emergency type. This manual will help you answer these questions.

There are differences however. For instance:

- In most sudden-onset natural disasters, there is no or very limited early warning. This is in contrast to classic slow-onset drought emergencies.
- In conflict situations and most natural disasters, physical movement is either difficult or dangerous or both. This poses challenges for all aspects of the emergency programme cycle and may make answering any or all of the six questions noted above problematic.
- Different types, locations and sizes of emergency involve different types of stakeholders, each with their own perspectives, strengths and weaknesses. FAO's traditional counterpart is the Ministry of Agriculture. This relationship will normally be important in most types of crises and is likely to be central in the case of drought-related emergencies. In other types of crises, however, other stakeholders will become equally if not more important for FAO, e.g. the Disaster Management Authority/Ministry in the case of sudden-onset natural disasters or the organs of national security (particularly the army) in cases of conflict-related emergencies. For FAO, it is important to be alive to these dynamics and the need to respond to them in order to maximise the beneficial impact of corporate response.

After reading this handbook you will be better equipped to tackle these types of issues and respond to emergencies which may strike the countries in which you work.

What FAO can do/deliver in emergencies?

In emergencies, FAO's comparative advantages are articulated by:

Gathering of information, which means

- ★ contribute to enhancing or establishing food security information systems and disseminate related information;
- ★ monitoring of the agricultural season and availability of agricultural inputs and assessing emergency requirements of the agricultural sector;
- ★ sharing of lessons learnt from actors involved in emergency activities in the country and draw lessons for future interventions; and
- ★ carrying out subject matter assessments (livestock, food security, seed needs, etc.).

Coordination, which means

- ★ coordination of field-based agricultural interventions by the UN, government and NGO actors (standard bearing, technical advice, sharing information on who is doing what where, and consensus building on priorities and modalities);
- ★ preparation, participation in and follow-up to inter-agency discussions regarding humanitarian and rehabilitation activities in the country;
- ★ elaboration of immediate country post-emergency strategies and programme frameworks;
- ★ enhanced partnership with NGOs, private voluntary organizations and civil society organizations (CSOs) in emergencies and rehabilitation activities; and
- ★ analysis of donor priorities and active contacts with donors, including reporting the achievements of improving the recovery of the agricultural sector.

Livelihoods recovery interventions, which means,

- ★ supply of seeds and other agricultural emergency inputs, such as hand tools and fertilizer (both direct distribution and voucher-based systems);
- ★ seed and planting material multiplication;
- ★ restoration of livelihoods of local fishing communities through equipping rural artisans and small producers with inputs (e.g. supply of fishing nets, lines and hooks) and improving marketing of produce, as needed;
- ★ support to home/school gardening initiatives through provision of inputs and training in gardening and nutrition;
- ★ promotion of improved farming practices such as conservation farming, crop diversification, water management etc., through training of beneficiary farmers, governments and/or field extension workers;
- ★ pest control activities, such as locusts;
- ★ asset building through provision of small stock (such as poultry and goats);
- ★ control of livestock transboundary diseases, such as foot-and-mouth disease, Contagious Bovine Pleuromonia, Newcastle disease, avian influenza;
- ★ vaccination campaigns, including the supply of veterinary medicines, to stop the spread of animal diseases;
- ★ training of government and community animal health workers to improve surveillance mechanisms;
- ★ rehabilitation of agricultural infrastructure (small-scale irrigation, drying floors, poultry and fishery hatcheries and rural roads);
- ★ support to small-scale agro-processing and income-generating activities (e.g. honey production);
- ★ promotion of labour-saving technologies and good nutrition in view of HIV/AIDS-affected households; and
- ★ support to Junior Farmer Field and Life Schools (JFFLS) to assist HIV/AIDS orphans.

Examples of FAO relief and rehabilitation activities

Protect, restore, enhance: FAO in emergencies

In developing countries, most communities affected by disasters depend on agriculture for their way of life. FAO's expertise in good farming practices, livestock rearing, aquaculture technology and fishing practices and forestry conservation and growth are therefore crucial in emergency response and rehabilitation efforts. In the aftermath of disasters, during conflicts and in transition situations, FAO's role is to protect, restore and enhance food security, nutrition and the livelihoods of farmers, including fishers. FAO's relief and rehabilitation assistance promotes self-reliance, moving crisis-affected communities away from dependence on food aid and paving the way for long-term sustainable development.

In emergencies, FAO works with governments, the UN and NGO partners. Activities include distribution of seeds, seedlings, hand tools, fertilizers and fishing gear, as well as crop protection, replenishment of livestock, the reactivation of veterinary and other agricultural services, training in good agricultural practices and the repair of irrigation infrastructure and feeder roads. Though FAO does not provide food aid, its assistance often complements food aid and is ultimately meant to reduce its need and promote an early exit from humanitarian assistance in general. Prevention, preparedness and early warning of food emergencies are also integral elements of FAO's strategy.

The coordination of other UN and NGO partners in the agriculture and food security sectors is one of FAO's comparative advantages. As the standard bearer in agriculture and food security, FAO provides technical advice and coordination to agricultural interventions undertaken by all actors in a crisis situation. Often, governments are weak in a crisis, post-crisis situations or during prolonged conflict and, as a UN organization, FAO can assist the government by working as an intermediary between the government and the many NGOs and others active in the agricultural sector. Governments and partners in the field, as well as donors, have greatly appreciated this role. The purpose is to avoid overlaps and gaps in disaster assistance, thus optimizing the impact.

Beneficiaries

The target groups for FAO's relief assistance are often the most vulnerable, for example, rural populations displaced by conflict who require assistance in resettling; widowers and female-headed households; ex-combatants seeking to reintegrate into civil society; and poor small farmers, fishers and pastoralists who need help getting back on their feet following a disaster. Aid agencies and government institutions also benefit from FAO's capacity building role, through training and information gathering and sharing.

Resource mobilization

Bilateral donors are essential partners, as it is their funds that finance many of FAO's field activities. Except for limited amounts of seed money provided by FAO's TCP, the funding for all FAO's agricultural relief assessment missions and field operations, and for many emergency prevention and preparedness activities, comes from extra-budgetary resources provided by donors. FAO solicits donor support mainly through the UN inter-agency CAP and other emergency or transitional appeals and strategy papers/updates, on behalf of countries affected by disasters.

To enhance FAO's capacity to deal rapidly with an emergency situation, the SFERA was established in April 2004. The SFERA provides FAO with the flexibility and financial means to react promptly to humanitarian crises even before donor funding is secured.

Current activities

As of July 2007, FAO is operating US\$530 million in emergency and rehabilitation projects concentrated in 35 crisis-affected countries. In 2006, FAO received over US\$276 million in contributions: US\$270 million from donors and US\$6 million from TCP.

Programme snapshots and appeals

AFRICA

Democratic Republic of the Congo (DRC)

In 2006, FAO's programmes in the DRC helped 520 000 farmers, herders and fishers protect, rebuild and improve their livelihoods. Donor funding worth over US\$30 million supported a diverse portfolio of relief and rehabilitation projects in the country, covering crop and livestock production, fisheries and feeder road rehabilitation. Direct relief operations, such as the distribution of agricultural inputs to vulnerable groups, including returnees, augment more sustainable interventions, such as capacity building and rehabilitation of small-scale infrastructure.

Despite marked progress towards recovery, humanitarian needs remain high in the nutrition and food security sectors in the DRC. While continuing its emergency projects, FAO will work towards strengthening transition and rehabilitation programmes in order to facilitate the reinstallation and reintegration of returnees, as well as support the most vulnerable households to ensure the return of social stability. In 2007, populations in eastern DRC will continue to need humanitarian assistance, while the return of an estimated 850 000 IDPs and 250 000 refugees will require considerable effort on the part of the international community to support their reintegration into their communities.

As part of the 2007 Humanitarian Action Plan for the DRC, FAO is seeking US\$49 million to support agriculture and food security programmes in the country in 2007.

Southern Africa

In response to the region's increasingly complex and chronic emergency situation, FAO has adopted a livelihoods-based, strategic framework for its emergency operations. The approach aims to meet short-term humanitarian needs by rehabilitating and strengthening livelihoods.

The three thrusts of the framework are: i) improved agricultural and livestock production through more intensified and diversified methods of cultivation and husbandry; ii) capacity building and development of livelihood skills; and iii) improved information sharing, coordination and advocacy.

The FAO Regional Inter-agency Coordination Support Office (RIACSO) is co-located in Johannesburg, South Africa. It coordinates and provides technical backstopping for emergency and rehabilitation operations in southern Africa, including projects in Angola, Lesotho, Malawi, Mozambique, Namibia, Swaziland, Tanzania, Zambia and Zimbabwe.

Ongoing projects in southern Africa amount to more than US\$30 million thanks to generous contributions made by: Australia, Belgium, Canada, Denmark, EC, FAO-TCP, France, Greece, Ireland, Italy, Japan, Luxembourg, Netherlands, Norway, UN, South Africa, Spain, Sweden, UK, USA, the World Bank and CERF.

Sudan

Generous donor funding has allowed FAO to support hundreds of thousands of farmers, herders and fishers to protect, rebuild and improve their livelihoods across the Sudan. FAO has been implementing a wide-ranging portfolio of relief and rehabilitation projects in the country, including crop and livestock production, animal health, fisheries, water harvesting and support to agro-processing and rural artisans. FAO's programmes concentrate not just on providing material assets but also on building the knowledge and skills of vulnerable people, so that they are better able to cope with future shocks.

As part of the 2007 Work Plan for the Sudan, which outlines the international community's planned support to humanitarian, recovery and development programming, FAO is appealing for US\$58 million to implement its agricultural assistance programmes in 2007. Agriculture remains the mainstay of the Sudanese economy, with some 87 percent of the population dependent on agriculture for their food security and livelihoods.

ASIA

Pakistan

Pakistan was struck by a large earthquake in October 2005. FAO participated from day one in needs assessment as part of the UN Flash Appeal. A FAO Emergency Coordinator was fielded in November 2005 to strengthen the FAO Representation in fund-raising and cooperation within the UN Country Team, in particular to lead the livelihood sector, for the first time applied within the UN Appeal context.

By March 2007 a full-fledged Emergency Rehabilitation and Coordination Unit (ERCU) was set-up within the FAO Representation in Pakistan. ERCU sub-offices were subsequently opened in the two earthquake-affected provinces. These offices are hosted in WFP field offices, thereby fostering the relationship between the two organizations.

Sri Lanka

Sri Lanka has been affected by two recent large-scale disasters: the December 2004 Indian Ocean Tsunami and the recent conflict in the north-eastern part of the country. FAO Tsunami relief and early rehabilitation operations are phasing out in the coastal regions. The focus has shifted to the northeastern part of the country, affected by internal conflict. In response and in order to assist affected populations, the UN has fielded a Humanitarian Coordinator to the country and, in January 2007, launched a major appeal for funding. FAO, in its role as one of the lead agencies in food security and livelihood issues, is participating in the appeal, seeking US\$5.1 million in funding in support of the food security and agriculture sector.

FAO currently has an Emergency and Rehabilitation Coordination Unit (ERCU) in the capital to assist the FAO Representation, with sub-bases in the conflict region.

Tajikistan

Tajikistan is a small, open, landlocked economy with a narrow economic base dominated by the production of aluminum, cotton and electricity, as well as remittances. Agriculture is a major component of the economy, representing 24 percent of GDP, 26 percent of exports and 39 percent of tax revenue. Sixty-four percent of the population of six million people depends on agriculture for its livelihood.

Currently, FAO emergency and rehabilitation programmes in the country amount to US\$9 million. Activities focus on animal health and production, community-based land and water resources development, food security and land tenure and crops production and marketing.

Latin America and Caribbean

Hurricane response

In 2005, FAO provided support to Grenada, Haiti, Jamaica, Guatemala and El Salvador to recover from the damages caused by one of the worst hurricane seasons in recent memory. Vulnerable farmers were assisted through technical assistance and the distribution of agricultural inputs. Emergency preparedness programmes are being developed in Caribbean countries highly prone to hurricane related disasters.

Haiti

In the past years, FAO has continuously assisted the Haitian rural population in the aftermath of natural disasters (hurricanes, floods and droughts), conflict situations and socio-economic crises. In 2004, FAO established an Emergency Coordination Unit hosted in the FAO Representation in Haiti.

FAO's programme in Haiti combines relief activities with rehabilitation interventions, which aim to reduce farmers' vulnerability to emergency crises and to promote disaster preparedness and mitigation. Programmes include support to livelihoods through the distribution of vital inputs, animal disease control,

irrigation rehabilitation, management of water resources, disaster preparedness and mitigation, and coordination.

After several years of social and political unrest aggravated by recurrent hurricanes, floods, droughts and other natural disasters that hampered its development, the Republic of Haiti is facing a crucial moment. The recent democratic elections held in 2006 and the backup of the international community to reactivate a socio-economic development process have created a hopeful environment. In this context, the United Nations launched a UN Transitional Appeal in 2007 to support the stabilization of Haiti, which attempts to respond to the most urgent needs of vulnerable population and set up the foundations for longer-term structural initiatives.

Near East

Iraq

Iraq is emerging from a long period of sanctions and wars with many of its social and economic infrastructure and institutions damaged. Agriculture plays a prominent role in the economy. The sector involves almost 37 percent of the country's 26 million inhabitants and currently generates approximately 13.6 percent of the GDP.

FAO is actively involved in the formulation and implementation of the UN Strategy for Assistance to Iraq, coordinated by the United Nations Assistance Mission to Iraq. This assistance is provided through "clusters" a new way for the UN family to work together which facilitates collaborative programming. Within this framework, FAO has been designated lead UN agency for the agriculture, food security, environment and natural resource management cluster in partnership with the United Nations Educational, Scientific and Cultural Organization (UNESCO), United Nations Industrial Development Organization (UNIDO), UNDP, WFP, United Nations Environment Programme (UNEP) and United Nations Office for Project Services (UNOPS).

FAO provides a broad spectrum of support to build capacities, improve infrastructure and restore livelihoods, guiding the country from crises to recovery. Programmes include water management, veterinary/livestock services, promotion of cottage industries, food safety/food processing, fisheries and support to seed industry.

The Iraq Trust Fund (ITF) was created as a mechanism to receive and manage donor funds for a broad thematic purpose as opposed to a specific project. The ITF, which was set up as part of the International Reconstruction Fund Facility for Iraq at the request of donors, provides funding to the entire range of activities foreseen in the UN Assistance Strategy for Iraq. Through the ITF mechanism, FAO and some 25 other UN agencies receive resources for funding their Iraq programmes and projects. FAO has received US\$80 million through this funding mechanism and new projects are in the pipeline.

Through the country team, FAO will continue to address the basic needs of the population, while assisting the Government and ministries to build their capacity for self-management.

West Bank and Gaza Strip

In June 2006, a rapid assessment by WFP/FAO estimated that almost two million, or 49 percent of Palestinians, were food insecure. Increased food insecurity is the result of reduced access to and loss of agricultural land, trade restrictions and reduced availability of food commodities on the market. Agricultural production and marketing are decreasing, while poverty and nutrition related problems are on the rise.

In the West Bank and Gaza Strip, FAO ongoing operations total US\$4.2 million, with support coming from the EC, Norway, Spain and UNDP. FAO is supporting the revitalization of agriculture by providing agricultural inputs and equipment. FAO is also providing training on Integrated Pest Management, cultivation techniques, as well as irrigation and fertilization of greenhouse crops. In terms of institutional support, FAO is contributing to the establishment of a multi-sectoral FIVIMS. This will facilitate access to comprehensive, up-to-date and user-friendly information on food security, nutrition and vulnerability. Outputs from this system will also provide valuable support to decision-making and policy formulation. Work is also in progress with the Ministry of Agriculture, UNDP and other partners to define the priority

areas for rehabilitation and development of the agricultural sector and how FAO can best support this process.

The main objective of FAO's activities in the West Bank and Gaza Strip in 2007 will focus on providing a safety net for food insecure households that can no longer rely on traditional sources of assistance.

Avian Flu Global Programme

FAO continues to work with WHO and the World Organization for Animal Health (OIE), together with member governments at risk, to stop the spread of highly pathogenic avian influenza (HPAI). The key to stopping the disease is at its source in animals and through the strengthening of veterinary services, improved surveillance and efficient response. Accordingly, FAO and key partners have developed a Global Programme for the Progressive Control of Highly Pathogenic Avian Influenza with the following priorities:

- support to infected countries' control activities;
- assistance to countries at risk;
- global and regional action; and
- immediate support for any newly-infected country to ensure a quick and effective response.

HPAI continues to spread around the world and the disease remains a threat to animal health, and subsequently humans. Total multilateral assistance through FAO is currently US\$195 million comprising US\$93 million received from donors, US\$37 million approved but not yet received and US\$65 million in the pipeline. FAO is requesting a total of US\$308 million for its avian flu programme over the three-year cycle of the Global Programme (US\$40 million for global coordination and US\$268 million for direct assistance at national and regional levels).



The International Humanitarian System and FAO

After having read this section you should be able to respond to the following questions:

- *What are main components of the International Humanitarian System?*
- *What are humanitarian principles?*
- *What is humanitarian reform?*
- *What is FAO's role and position within the International Humanitarian System?*

The architecture of the International Humanitarian System

The International Humanitarian System is varied and complex and rather non-systemic! Here are the principle components of the 'System'.

National governments have the mandate and obligation to provide humanitarian assistance and other actors intervene only when there is insufficient capacity or desire to fulfil those obligations. Local people provide the majority of resources in any disaster response situation.

1. National government.
2. Resolution 46/182: the United Nations Office for the Coordination of Humanitarian Affairs (OCHA), the United Nations Development Disaster Assessment and Coordination (UNDAC), IASC, the Consolidated Appeals Process (CAP), the Central Emergency Response Fund (CERF), the Emergency Relief Coordinator (ERC) and clusters.
3. Humanitarian Coordinator/Resident Coordinator (HC/RC).
4. International Organizations:
 - a. The big five UN emergency organisations: the United Nations Development Programme (UNDP), Office of the United Nations High Commissioner for Refugees (UNHCR), World Food Programme (WFP), World Health Organization (WHO) and United Nations Children's Fund (UNICEF);
 - b. Other members of the IASC (including FAO);
 - c. Organizations that play a role in 'transitions'; and
 - d. Other multilaterals, such as the International Organization for Migration (IOM).
5. Principle donor countries in humanitarian situations.
6. Red Cross/Red Crescent Movement.
7. Non-governmental Organizations (NGOs):
 - a. international;
 - b. local; and
 - c. umbrella groups.
8. Integrated missions and military involvement.

Humanitarian principles

Origins

- Cultures around the world contain values that limit the conduct of war.
- Values that limit the suffering caused by war are from the same tradition and are known as “humanitarian principles”.
- Their most comprehensive expression is in the Code of Conduct, which was inspired by the relatively long tradition of working in conflict by the Red Cross.

Purpose

Humanitarian principles combine the core ideology of the humanitarian movement with practical lessons learnt over many years of disaster response. They are a ‘how to’ guide for those who wish to adhere to good practice. For example, involving local communities, respecting culture, investing in prevention as well as response can save lives and make the difference between help that benefits people and help that does not.

By adhering to principles, agencies will be predictable in ways that promote the confidence of others in the humanitarian interest. The question of trust is recurrent. Without being trusted, humanitarians will not obtain the resources and access (i.e. the humanitarian space) that is fundamental to their work.

The principles of the Code of Conduct also serve to guide humanitarian workers through dilemmas they encounter regularly in their work to alleviate suffering. Understanding that the humanitarian imperative comes first, that aid must be given without discrimination and according to need can often help resolve seemingly intractable problems. Using the ideals of humanitarianism can help guide decision-making and practical action.

However, principles contain ambiguities, which can only be resolved through a comprehensive analysis of context. For example, relations between governments and disaster response organizations will depend on the context: is it a civil war where the Government is a belligerent or is it within the context of a natural disaster where the Government is coordinating?

The code of conduct for Red Cross Red Crescent Societies and NGOs in disaster response

1. The humanitarian imperative comes first.
2. Aid is given regardless of the race, creed or nationality of the recipients and without adverse distinction of any kind. Aid priorities are calculated on the basis of need alone.
3. Aid will not be used to further a particular political or religious standpoint.
4. We shall endeavour not to act as instruments of government foreign policy.
5. We shall respect culture and custom.
6. We shall attempt to build disaster response on local capacities.
7. Ways shall be found to involve programme beneficiaries in the management of relief aid.
8. Relief aid must strive to reduce future vulnerabilities to disasters as well as meeting basic needs.
9. We hold ourselves accountable to both those we seek to assist and those from whom we accept resources.
10. In our information, publicity and advertising activities, we shall recognize disaster victims as dignified human beings, not hopeless objects.

The key principles

- Humanity/humanitarian imperative (save lives, alleviate suffering, ensure dignity of the individual).
- Impartiality (non-discrimination and justice and proportional to need).
- Independence (increases the probability that impartiality will be upheld).

Ambiguities and challenges

- Who decides what principles are humanitarian principles? For example, the Code of Conduct and General Assembly Resolution GA 46/182.
- The non-reciprocal nature of principled humanitarian action (how this is threatened by counter insurgency strategies).
- The provision of aid on the basis of need alone and not on any other form of targeting or distinction.
- Ideological neutrality and its limits for witnessing and advocacy.
- Short-term versus long-term 'consequentialist' approaches.
- The importance of accountability as a humanitarian principle.

General Assembly Resolution 46/182

The General Assembly,

Recalling its resolution 2816 [XXVI] of 14 December 1971 and its subsequent resolutions and decisions on humanitarian assistance, including its resolution 45/100 of 14 December 1990,

Recalling also its resolution 44/236 of 22 December 1989, the annex to which contains the International Framework of Action for the International Decade for Natural Disaster Reduction,

Deeply concerned about the suffering of the victims of disasters and emergency situations, the loss in human lives, the flow of refugees, the mass displacement of people and the material destruction,

Mindful of the need to strengthen further and make more effective the collective efforts of the international community, in particular the United Nations system, in providing humanitarian assistance,

Taking note with satisfaction of the report of the Secretary-General on the review of the capacity, experience and coordination arrangements in the United Nations system for humanitarian assistance,

Adopts the text contained in the annex to the present resolution for the strengthening of the coordination of emergency humanitarian assistance of the United Nations system;

Requests the Secretary-General to report to the General Assembly at its forty-seventh session on the implementation of the present resolution.

ANNEX

I. GUIDING PRINCIPLES

1. Humanitarian assistance is of cardinal importance for the victims of natural disasters and other emergencies.
2. Humanitarian assistance must be provided in accordance with the principles of humanity, neutrality and impartiality.
3. The sovereignty, territorial integrity and national unity of States must be fully respected in accordance with the Charter of the United Nations. In this context, humanitarian assistance should be provided with the consent of the affected country and in principle on the basis of an appeal by the affected country.
4. Each State has the responsibility first and foremost to take care of the victims of natural disasters and other emergencies occurring on its territory. Hence, the affected State has the primary role in the initiation, organization, coordination, and implementation of humanitarian assistance within its territory.
5. The magnitude and duration of many emergencies may be beyond the response capacity of many affected countries. International cooperation to address emergency situations and to strengthen the response capacity of affected countries is thus of great importance. Such cooperation should be provided in accordance with international law and national laws. Intergovernmental and non-governmental organizations working impartially and with strictly humanitarian motives should continue to make a significant contribution in supplementing national efforts.
6. States whose populations are in need of humanitarian assistance are called upon to facilitate the work of these organizations in implementing humanitarian assistance, in particular the supply of food, medicines, shelter and health care, for which access to victims is essential.
7. States in proximity to emergencies are urged to participate closely with the affected countries in international efforts, with a view to facilitating, to the extent possible, the transit of humanitarian assistance.
8. Special attention should be given to disaster prevention and preparedness by the Governments concerned, as well as by the international community.
9. There is a clear relationship between emergency, rehabilitation and development. In order to ensure a smooth transition from relief to rehabilitation and development, emergency assistance should be provided in ways that will be supportive of recovery and long-term development. Thus, emergency measures should be seen as a step towards long-term development.
10. Economic growth and sustainable development are essential for prevention of and preparedness against natural disasters and other emergencies. Many emergencies reflect the underlying crisis in development facing developing countries. Humanitarian assistance should therefore be accompanied by a renewal of commitment to economic growth and sustainable development of developing countries. In this context, adequate resources must be made available to address their development problems.
11. Contributions for humanitarian assistance should be provided in a way which is not to the detriment of resources made available for international cooperation for development.
12. The United Nations has a central and unique role to play in providing leadership and coordinating the efforts of the international community to support the affected countries. The United Nations should ensure the prompt and smooth delivery of relief assistance in full respect of the above-mentioned principles, bearing in mind also relevant General Assembly resolutions, including resolutions 2816 [XXVI] of 14 December 1971 and 45/100 of 14 December 1990. The United Nations system needs to be adapted and strengthened to meet present and

future challenges in an effective and coherent manner. It should be provided with resources commensurate with future requirements. The inadequacy of such resources has been one of the major constraints in the effective response of the United Nations to emergencies.

II. PREVENTION

13. The international community should adequately assist developing countries in strengthening their capacity in disaster prevention and mitigation, both at the national and regional levels, for example, in establishing and enhancing integrated programmes in this regard.
14. In order to reduce the impact of disasters there should be increased awareness of the need for establishing disaster mitigation strategies, particularly in disaster-prone countries. There should be greater exchange and dissemination of existing and new technical information related to the assessment, prediction and mitigation of disasters. As called for in the International Decade for Natural Disaster Reduction, efforts should be intensified to develop measures for prevention and mitigation of natural disasters and similar emergencies through programmes of technical assistance and modalities for favourable access to, and transfer of, relevant technology.
15. The disaster management training programme recently initiated by the Office of the United Nations Disaster Relief Coordinator and the United Nations Development Programme should be strengthened and broadened.
16. Organizations of the United Nations system involved in the funding and the provision of assistance relevant to the prevention of emergencies should be provided with sufficient and readily available resources.
17. The international community is urged to provide the necessary support and resources to programmes and activities undertaken to further the goals and objectives of the Decade.

III. PREPAREDNESS

18. International relief assistance should supplement national efforts to improve the capacities of developing countries to mitigate the effects of natural disasters expeditiously and effectively and to cope efficiently with all emergencies. The United Nations should enhance its efforts to assist developing countries to strengthen their capacity to respond to disasters, at the national and regional levels, as appropriate.

Early warning

19. On the basis of existing mandates and drawing upon monitoring arrangements available within the system, the United Nations should intensify efforts, building upon the existing capacities of relevant organizations and entities of the United Nations, for the systematic pooling, analysis and dissemination of early-warning information on natural disasters and other emergencies. In this context, the United Nations should consider making use as appropriate of the early-warning capacities of Governments and intergovernmental and non-governmental organizations.
20. Early-warning information should be made available in an unrestricted and timely manner to all interested Governments and concerned authorities, in particular of affected or disaster-prone countries. The capacity of disaster-prone countries to receive, use and disseminate this information should be strengthened. In this connection, the international community is urged to assist these countries upon request with the establishment and enhancement of national early-warning systems.

IV. STAND-BY CAPACITY

[a] Contingency funding arrangements

21. Organizations and entities of the United Nations system should continue to respond to requests for emergency assistance within their respective mandates. Reserve and other contingency funding arrangements of these organizations and entities should be examined by their respective governing bodies to strengthen further their operational capacities for rapid and coordinated response to emergencies.
22. In addition, there is a need for a complementary central funding mechanism to ensure the provision of adequate resources for use in the initial phase of emergencies that require a system-wide response.
23. To that end, the Secretary-General should establish under his authority a central emergency revolving fund as a cash-flow mechanism to ensure the rapid and coordinated response of the organizations of the system.
24. This fund should be put into operation with an amount of 50 million United States dollars. The fund should be financed by voluntary contributions. Consultations among potential donors should be held to this end. To achieve this target, the Secretary-General should launch an appeal to potential donors and convene a meeting of those donors in the first quarter of 1992 to secure contributions to the fund on an assured, broad-based and additional basis.

25. Resources should be advanced to the operational organizations of the system on the understanding that they would reimburse the fund in the first instance from the voluntary contributions received in response to consolidated appeals.
26. The operation of the fund should be reviewed after two years.

[b] Additional measures for rapid response

27. The United Nations should, building upon the existing capacities of relevant organizations, establish a central register of all specialized personnel and teams of technical specialists, as well as relief supplies, equipment and services available within the United Nations system and from Governments and intergovernmental and non-governmental organizations that can be called upon at short notice by the United Nations.
28. The United Nations should continue to make appropriate arrangements with interested Governments and intergovernmental and non-governmental organizations to enable it to have more expeditious access, when necessary, to their emergency relief capacities, including food reserves, emergency stockpiles and personnel, as well as logistic support. In the context of the annual report to the General Assembly mentioned in paragraph 35 [i] below, the Secretary-General is requested to report on progress in this regard.
29. Special emergency rules and procedures should be developed by the United Nations to enable all organizations to disburse quickly emergency funds, and to procure emergency supplies and equipment, as well as to recruit emergency staff.
30. Disaster-prone countries should develop special emergency procedures to expedite the rapid procurement and deployment of equipment and relief supplies.

V. CONSOLIDATED APPEALS

31. For emergencies requiring a coordinated response, the Secretary-General should ensure that an initial consolidated appeal covering all concerned organizations of the system, prepared in consultation with the affected State, is issued within the shortest possible time and in any event not longer than one week. In the case of prolonged emergencies, this initial appeal should be updated and elaborated within four weeks, as more information becomes available.
32. Potential donors should adopt necessary measures to increase and expedite their contributions, including setting aside, on a stand-by basis, financial and other resources that can be disbursed quickly to the United Nations system in response to the consolidated appeals of the Secretary-General.

VI. COORDINATION, COOPERATION AND LEADERSHIP

[a] Leadership of the Secretary-General

33. The leadership role of the Secretary-General is critical and must be strengthened to ensure better preparation for, as well as rapid and coherent response to, natural disasters and other emergencies. This should be achieved through coordinated support for prevention and preparedness measures and the optimal utilization of, inter alia, an inter-agency standing committee, consolidated appeals, a central emergency revolving fund and a register of stand-by capacities.
34. To this end, and on the understanding that the requisite resources envisaged in paragraph 24 above would be provided, a high-level official [emergency relief coordinator] would be designated by the Secretary-General to work closely with and with direct access to him, in cooperation with the relevant organizations and entities of the system dealing with humanitarian assistance and in full respect of their mandates, without prejudice to any decisions to be taken by the General Assembly on the overall restructuring of the Secretariat of the United Nations. This high-level official should combine the functions at present carried out in the coordination of United Nations response by representatives of the Secretary-General for major and complex emergencies, as well as by the United Nations Disaster Relief Coordinator.
35. Under the aegis of the General Assembly and working under the direction of the Secretary-General, the high-level official would have the following responsibilities:
 - (a) *Processing requests from affected Member States for emergency assistance requiring a coordinated response;*
 - (b) *Maintaining an overview of all emergencies through, inter alia, the systematic pooling and analysis of early-warning information as envisaged in paragraph 19 above, with a view to coordinating and facilitating the humanitarian assistance of the United Nations system to those emergencies that require a coordinated response;*
 - (c) *Organizing, in consultation with the Government of the affected country, a joint inter-agency needs-assessment mission and preparing a consolidated appeal to be issued by the Secretary-General, to be followed by periodic situation reports including information on all sources of external assistance;*
 - (d) *Actively facilitating, including through negotiation if needed, the access by the operational organizations to emergency areas for the rapid provision of emergency assistance by obtaining the consent of all parties*

concerned, through modalities such as the establishment of temporary relief corridors where needed, days and zones of tranquillity and other forms;

- (e) *Managing, in consultation with the operational organizations concerned, the central emergency revolving fund and assisting in the mobilization of resources;*
 - (f) *Serving as a central focal point with Governments and intergovernmental and non-governmental organizations concerning United Nations emergency relief operations and, when appropriate and necessary, mobilizing their emergency relief capacities, including through consultations in his capacity as Chairman of the Inter-Agency Standing Committee;*
 - (g) *Providing consolidated information, including early warning on emergencies, to all interested Governments and concerned authorities, particularly affected and disaster-prone countries, drawing on the capacities of the organizations of the system and other available sources;*
 - (h) *Actively promoting, in close collaboration with concerned organizations, the smooth transition from relief to rehabilitation and reconstruction as relief operations under his aegis are phased out;*
 - (i) *Preparing an annual report for the Secretary-General on the coordination of humanitarian emergency assistance, including information on the central emergency revolving fund, to be submitted to the General Assembly through the Economic and Social Council.*
36. The high-level official should be supported by a secretariat based on a strengthened Office of the United Nations Disaster Relief Coordinator and the consolidation of existing offices that deal with complex emergencies. This secretariat could be supplemented by staff seconded from concerned organizations of the system. The high-level official should work closely with organizations and entities of the United Nations system, as well as the International Committee of the Red Cross, the League of Red Cross and Red Crescent Societies, the International Organization for Migration and relevant non-governmental organizations. At the country level, the high-level official would maintain close contact with and provide leadership to the resident coordinators on matters relating to humanitarian assistance.
37. The Secretary-General should ensure that arrangements between the high-level official and all relevant organizations are set in place, establishing responsibilities for prompt and coordinated action in the event of emergency.

[b] Inter-Agency Standing Committee

38. An Inter-Agency Standing Committee serviced by a strengthened Office of the United Nations Disaster Relief Coordinator should be established under the chairmanship of the high-level official with the participation of all operational organizations and with a standing invitation to the International Committee of the Red Cross, the League of Red Cross and Red Crescent Societies, and the International Organization for Migration. Relevant non-governmental organizations can be invited to participate on an ad hoc basis. The Committee should meet as soon as possible in response to emergencies.

[c] Country-level coordination

39. Within the overall framework described above and in support of the efforts of the affected countries, the resident coordinator should normally coordinate the humanitarian assistance of the United Nations system at the country level. He/She should facilitate the preparedness of the United Nations system and assist in a speedy transition from relief to development. He/She should promote the use of all locally or regionally available relief capacities. The resident coordinator should chair an emergency operations group of field representatives and experts from the system.

VII. CONTINUUM FROM RELIEF TO REHABILITATION AND DEVELOPMENT

40. Emergency assistance must be provided in ways that will be supportive of recovery and long-term development. Development assistance organizations of the United Nations system should be involved at an early stage and should collaborate closely with those responsible for emergency relief and recovery, within their existing mandates.
41. International cooperation and support for rehabilitation and reconstruction should continue with sustained intensity after the initial relief stage. The rehabilitation phase should be used as an opportunity to restructure and improve facilities and services destroyed by emergencies in order to enable them to withstand the impact of future emergencies.
42. International cooperation should be accelerated for the development of developing countries, thereby contributing to reducing the occurrence and impact of future disasters and emergencies.

The Global Humanitarian Platform (GHP)

Principles of Partnership

A statement of commitment

The **Global Humanitarian Platform**, created in July 2006, brings together UN and non-UN humanitarian organizations on an equal footing.

- Striving to enhance the effectiveness of humanitarian action.
- Acknowledging diversity as an asset of the humanitarian community and recognizing the interdependence among humanitarian organizations.
- Committed to building and nurturing an effective partnership.

...The organizations participating in the Global Humanitarian Platform agree to base their partnership on the following principles:

• Equality

Equality requires mutual respect between members of the partnership irrespective of size and power. The participants must respect each other's mandates, obligations, independence, and brand identity and recognize each other's constraints and commitments. Mutual respect must not preclude organizations from engaging in constructive dissent.

• Transparency

Transparency is achieved through dialogue (on equal footing), with an emphasis on early consultations and early sharing of information. Communications and transparency, including financial transparency, increase the level of trust among organizations.

• Result-oriented approach

Effective humanitarian action must be reality-based and action-oriented. This requires result-oriented coordination based on effective capabilities and concrete operational capacities.

• Responsibility

Humanitarian organizations have an obligation to each other to accomplish their task responsibly, with integrity and in a relevant and appropriate way. They must make sure they commit to activities only when they have the means, competencies, skills, and capacity to deliver on their commitments. Decisive and robust prevention of abuses committed by humanitarians must also be a constant effort.

• Complementarity

The diversity of the humanitarian community is an asset if we build on our comparative advantage and complement each other's contributions. Local capacity is one of the main assets to enhance and build on. It must constitute an integral part in emergency response. Language and cultural barriers must be overcome.

FAO's involvement in the UN Humanitarian Reform Process

The Humanitarian Response Review (HRR), a process of review of the humanitarian system, was completed in mid-2005 and was aimed at identifying the reasons why the aid community sometimes falls short of its goals (the review had been sponsored at that time by the Emergency Relief Coordinator and Under-Secretary-General Representative for Humanitarian Affairs, Mr Jan Egeland). The Review stressed three elements considered necessary to ensure effective Humanitarian Reform:

- i. The Cluster Approach**
- ii. The CERF**
- iii. The Humanitarian Coordination System (HCS)**

The Cluster Approach: The Review identified nine gaps or areas in which lack of clear leadership and accountability made responses to emergencies inefficient. A decision was taken by the IASC to fill these gaps through the so-called "Cluster Approach", which would constitute the framework for humanitarian response in major new emergencies. At global level, cluster leads were designated for nine clusters; numerous IASC member agencies, including the Red Cross¹ and NGO representatives, belong to each cluster according to interest and have defined their agenda and work plans. FAO participates actively in two out of the nine clusters: the Nutrition Cluster led by UNICEF and the Early Recovery Cluster led by UNDP, where FAO and the International Labour Organization (ILO) co-lead the Livelihoods Sub-Cluster.

With other areas important to humanitarian action, such as agriculture (FAO), food (WFP), education (UNICEF) and refugees (UNHCR), it was not felt necessary to have clusters as leadership was not an issue. Those sectors are to be considered equal to clusters, as sector leads/members have the same roles and responsibilities of cluster leads/members towards the humanitarian community (which includes the beneficiaries, the host governments, the RC/HC, UN agencies, the Red Cross/Red Crescent Movement, NGOs and donors).

The global capacity-building exercise to strengthen predictability, accountability and response capacity in gap areas had been financially supported through the *Cluster Appeal for Improving Global Humanitarian Response Capacity*, launched in March 2006, which requested more than \$38 million to train deployable emergency staff, to boost common emergency stockpiles and to develop commonly agreed standards, guidelines, frameworks, systems and tools for emergency response. The Appeal was 65 percent funded by ten donors, though most of the funding arrived well into the appeals process, impeding the delivery on global cluster objectives. FAO contributed to the appeal through the Early Recovery cluster and received US\$117 000 for development and testing of rapid livelihoods assessment guidelines, which was undertaken together with ILO. The guidelines have been tested in the aftermath of the earthquake centred on Yogyakarta, the typhoon in the Philippines, and the floods in Bolivia. As a result, FAO is acquiring a reputation for being at the cutting edge of applying the livelihoods approach in emergencies. Note the FAO-developed Integrated Food Security and Humanitarian Phase Classification (IPC), which is being rolled out, with strong support from other UN and NGO partners and donors, in the Horn of Africa and Great Lakes regions, is also based on the livelihoods framework.

On 25 April 2007, the second and final *Appeal for Building Global Humanitarian Response Capacity* was launched, seeking US\$63 million. The Appeal consolidates the budgets for eleven clusters'/sectors' global-level capacity building requirements for the period 1 April 2007 to 31 March 2008. The Appeal details ongoing capacity gaps and elaborates strategic plans and priority requirements to address those gaps which cannot be covered by existing or previously mobilised resources. The capacity gaps outlined in the Appeal are in the following three areas: i) trained, deployable staff/surge capacity; ii) adequate

¹ The International Committee of the Red Cross (ICRC) is dedicated to humanitarian action in conflict-affected contexts. The International Federation of the Red Cross (IFRC) is dedicated to disaster risk management and response.

commonly-accessible stockpiles; and iii) agreed common standards, guidelines, frameworks, systems and tools.

The new Appeal increases the number of global cluster/sector working groups to eleven, with the agriculture and education sectors joining the capacity-building exercise and signing up to the principles of the cluster approach. The **agriculture sector** has been an active participant at the global level in IASC efforts to advance the humanitarian reform agenda. Agriculture is the core survival strategy for the majority of rural households threatened by humanitarian crises. It follows that protection and recovery of agriculture-based livelihoods is an essential aspect of the overall humanitarian assistance and for this reason is one of the 13 sectors/clusters in the humanitarian coordination architecture (e.g. the CAP). While FAO has a clear mandate to lead on issues related to agriculture, the organization conducted an analysis of capacity gaps and has concluded, together with its partners, that capacity to provide predictable and effective leadership and response in the agriculture sector in the context of humanitarian emergencies needs to be improved. This is consistent with the IASC-endorsed *Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response*, which states that the aim of the cluster approach is to strengthen system-wide preparedness and technical capacity to respond to humanitarian emergencies by ensuring that there is predictable leadership and accountability in all the main sectors or areas of humanitarian response. The *Guidance Note* also states that **a cluster is essentially a sectoral group and there should be no differentiation between the two in terms of their objectives and activities**; the aim of filling gaps, and ensuring adequate preparedness and response should be the same². In line with this, FAO has fully signed up to the responsibilities of cluster/sector leads as outlined in the IASC *Guidance Note*. **FAO's** funding requirement in the *Appeal for Building Global Humanitarian Response Capacity* is US\$ **3 335 200**.

However, some caution needs to be cast over the cluster approach process. More than a year after its full implementation, the cluster approach is still under severe scrutiny because of the confusion that it has produced within the humanitarian arena. In particular, there is a lack of clarity among humanitarian partners at field level about the humanitarian reform agenda and the cluster approach. The UN country teams (CTs) are confused on the new approach. Organization and leadership is not yet cast in concrete, being far from comprehensive. At field level, in particular, it is up to the RC/HC and the UNCT to define the clusters/sectors, leaders and architecture of appeals based on the crisis and the specific humanitarian issues to be addressed and the comparative advantage of each agency for a leadership role.

At country level, the default position for FAO in humanitarian action remains leadership of the agriculture sector. Another alternative in certain circumstances is a Food Security Cluster, as in the case of several countries in Africa, often in co-leadership with WFP. A third alternative under some circumstances is co-leadership of a Livelihoods Cluster, as in the case of Pakistan with the Government and the ILO and Somalia with an NGO³. Given the recommendations of the High-Level Panel (HLP) Report that, *inter alia*, calls on the three Rome-based UN agencies to work together on food security, and the recent joint letter from the Director-General (DG) of FAO and the Executive Director of WFP to all country teams on setting up jointly managed food security theme groups, co-leadership with WFP of a Food Security Cluster seems to be the most advantageous partnership option, where the personalities, food security issues to be addressed and scale of operations match well. It is interesting to note, however, that the co-leadership with WFP of Food Security Clusters at field level has not impacted on the common position of FAO and WFP at the global level, where the two agencies have a tacit understanding not to have a global food security cluster⁴. Both FAO and WFP would rather focus on supporting the field than divert resources to supporting meetings at headquarters (HQ) level.

² see the note "**What is the Cluster Approach?**" in this handbook.

³ see the note "**What is the Cluster Approach?**" in this handbook.

⁴ Other examples of FAO and WFP collaboration on food security at field level include joint preparation of food security chapters in the Common Humanitarian Action Plans (CHAPs) for Central African Republic, Cote d'Ivoire, DRC, occupied Palestinian territory (OPT), northern Uganda and the regional Common Appeals Processes for the Great Lakes Region and West Africa. FAO and WFP also jointly prepared a Food and Agriculture Response Plan in the Lebanon and a Consolidated Appeal for transition support in Nepal.

The CERF: In December 2005, the UN's CERF was expanded to include a grant facility to jump-start emergency operations and contribute to ongoing programmes in neglected emergencies and under-funded crises. FAO has since highlighted that the improved CERF should be available to prevent livelihood threatening situations (such as the locust upsurge which could lead to a food emergency, migration and other harmful coping strategies, or, as in the case of outbreaks of livestock diseases, a public health catastrophe) that are potentially life threatening and where funds are not readily provided by donors, and it is pleased to see that its concern that time critical livelihood protection interventions are eligible has been taken into account. FAO in fact ranks fifth in support from the CERF, after WFP, UNICEF, UNHCR and WHO.

During 2006 and 2007 the complementary nature of CERF funding to FAO's own, much smaller emergency fund continued to be an advantage. The FAO fund (the Special Fund for Emergency and Rehabilitation Activities [SFERA]) does not have a grant facility but provides advance working capital against firm but not received donor commitments. The CERF grant window is still an extremely valuable addition to the sources of funds available for emergency response. Since the CERF grant window became operational in April 2006, grants for FAO have been approved for \$31.5 million for work in 24 countries, of which \$16.5 million was for rapid response and \$15.0 million for under-funded crises.

Statistics are still being gathered on the involvement of implementing partners; however, it is possible to say the work carried out by our NGO partners was significant. For instance 72 percent of the CERF funds approved for FAO in the DRC were implemented by NGOs. This has not yet been done with a pass-through mechanism but rather through contractual relationships. This could be an area where improvements are possible. FAO also trusts that UN members and donors will not impose bureaucracy, which would slow decision-making on resource allocations from the CERF.

The Humanitarian Coordinators (HCs): To address the specific recommendations from the HRR regarding HCs, UNDG and OCHA have jointly analyzed how the current resident coordinator system can be strengthened. Bolstering the performance of the HC function will require multiple actions over the coming years. Most central among these is the strengthening of the pool from which HCs are drawn through improving the selection process, training and support for HCs in the administrative, operational and political aspects.

In general, the UN Resident Coordinator (RC) also becomes the HC when a humanitarian situation arises. A continuing concern for FAO, which may be felt less strongly by other UN agencies, is the potential conflict of interest between the UN RC role and that of the UNDP Resident Representative role. FAO perceives that the UN coordination role may help legitimize UNDP's mission and favour resource mobilization for UNDP's activities. UNDP claims that this is being solved by appointing separate UNDP country directors. FAO believes that coordination is a full-time job and to be seen as impartial, the UN RC should not be employed by UNDP. A coalition of like-minded agencies is required to press home this point.

The life saving UN agencies, the Red Cross and NGOs feel strongly that too many RC/HCs do not have the right profile for humanitarian situations and are arguing not only for better selection and training but for rapid "temporary" substitution of UN Coordinators if they are unable to adapt to the transition from development to an emergency.

One additional element to consider in the on-going Humanitarian Reform process is the increasing attention given to **Disaster Risk Reduction**. Disaster Risk Reduction and Humanitarian Action is one of the four thematic priorities included in the 2007 work plan of the IASC Working Group (WG). Despite the interest shown by all agencies and the full recognition of the importance of carrying this work forward, the request to the IASC WG to endorse the establishment of a new Task Force to link Disaster Risk Reduction and Humanitarian Action (the proposal came from the IFRC and OCHA), was rejected by the IASC WG at this point in time. However, the IASC WG agreed to a special consultation session addressing capacity building and disaster risk reduction issues, particularly in relation to the role of other bodies and mechanisms, and with an invitation extended to include the International Strategy for Disaster

Reduction (ISDR) Secretariat. The WG also felt that the wide range of issues that need to be considered when determining how humanitarian action can better support disaster risk reduction, require a process that is broader in its scope than the respective focus of existing bodies.

FAO fully supports the proposal on enhancing the UN's efforts on risk reduction, given that most of the people affected by disasters in developing countries have agriculture-based livelihoods. In this regard, FAO takes any opportunity, in particular during the transition phase, to promote activities aimed at better integrating aspects of proactive disaster risk management (DRM) into ongoing agriculture-based development work and at assisting member countries in their efforts to shift from reactive emergency relief operations towards better planned, long-term disaster risk prevention and preparedness strategies. The key entry points of FAO in this regard build on the following closely interconnected questions: (i) what are the institutional structures, capacities and processes that are driving national DRM programmes in agriculture and allied sectors; (ii) what are the technical capacities, tools, methods and approaches in place to operationalize DRM at national and local levels; and (iii) what are existing good practices which are or have been successfully applied to strengthen community and national resilience against climate and other natural hazards?

FAO vision for rehabilitation programmes in emergency contexts

(Director, Emergency Operations and Rehabilitation Division, September 2005)

The question we have asked ourselves is: what is the scale and the nature of the challenge faced by the humanitarian community and FAO in confronting the effects of disasters and conflict?

Recent decades have witnessed an increase in the number and severity of natural disasters and conflict-induced emergencies affecting millions of people, most of whom depend on agriculture-based livelihoods. In 2004, 146 million people needed humanitarian assistance owing to natural disasters and 45 million people as a result of conflict. With global warming, the upward trend in numbers affected by natural disasters and requiring exceptional external assistance are likely to continue, while requests for assistance in conflict-induced emergencies are likely to remain significant for the foreseeable future. We believe that in order to effectively address these needs and ensure that FAO's emergency and rehabilitation assistance is sustainable, a corporate vision is required, guided by an understanding of the way the emergency context is evolving and what the organization's comparative advantages are.

Let us look at how the context is likely to evolve over the next five years.

- We anticipate that governments overwhelmed by disasters and conflict will increasingly seek assistance to protect and build back better the livelihoods of vulnerable populations. The trend is that a broader range of assistance and higher-quality services will be expected. Many countries have begun developing DRM strategies linking preparedness, emergency response and transition to sustainable development; this will also affect the scale and scope of their requests. To integrate preparedness, protection and building back better livelihoods will require additional and more complex technical inputs to be factored into the humanitarian interventions from the outset. We have seen this more comprehensive approach emerging in the response to the tsunami.
- We also expect that the donors will increasingly demand the emergency response to be linked to longer-term rehabilitation and reconstruction, where feasible; they will expect better information on livelihood protection and rehabilitation needs, with strategies and programmes implemented in response to those needs rather than on agency-driven agendas; they will expect enhanced inter-agency collaboration; increased accountability, better impact assessments and improved donor visibility. It appears that decisions on the allocation of humanitarian and reconstruction support will be more decentralized to the country-level with an increasing willingness to commit resources to common funding pools administered by the UN in order to enhance inter-agency collaboration and synergies, Iraq and the Sudan being recent examples. We may also be witnessing the dawn of a new age of private philanthropy from wealthy corporations and individual citizens, as demonstrated in the response to the tsunami earlier this year.
- Within the UN context, FAO already operates in a highly competitive environment. UN agencies, Funds and Programmes are expanding the scope of their operations, broadening the range of technical assistance offered and increasing their coordination capacities in emergencies, as well as in livelihood-recovery programmes, thereby increasingly overlapping with FAO's mandate.
- With respect to NGOs, new ones are being formed, though often with limited expertise, while a number of existing NGOs are expanding significantly their technical capacities in areas of FAO's competence. At the same time, international civil society networks and social movements are getting increasingly involved in voicing the interests of vulnerable communities and providing them with direct support by mobilizing their constituencies but, as with the new NGOs, these social movements are often short of technical expertise.

How should FAO adjust to these new trends?

The overarching conclusion that we have reached is that FAO's mandate in emergencies and rehabilitation needs to further capitalize on the Organization's main comparative advantage – the matching of know-how with resources – and to focus on protecting and building back better the livelihoods of farmers, herders and fishers by firstly providing information for action by all relevant actors (i.e. the coordination role) and secondly through direct assistance in partnership with other organizations.

To fulfil its mandate FAO's business model for emergency and rehabilitation activities needs to:

- ensure the integration of FAO's role in emergency prevention, preparedness and reconstruction of livelihoods into FAO's technical programmes and improve the quality of the organization's response through the efficient mobilization of FAO's technical expertise;
- better assess the needs of affected populations, the overall international and national response to the emergency, FAO's contribution to the global response and the benefits accrued by the affected populations as a result of the response;
- enable relief operations to be designed in a manner that effectively links immediate emergency assistance with long-term rehabilitation and development;
- contribute to resource mobilization in response to emergencies;
- strengthen FAO's partnerships with other UN agencies and NGOs, encourage the organization to be proactive in coordinating other humanitarian actors (in particular through the UN RC/HC system);
- maintain a highly qualified, motivated and institutionalized core team experienced in emergency operations at both HQ (including technical divisions) and in the field;
- allocate resources to allow adequate cost recovery for all programmes/units involved; and
- promote rules and regulations allowing a quick response.

What are the next steps?

This vision and business model for FAO's role in emergencies has been developed through a participatory process over the last six months. A plan of action has been established to operationalize the vision and the implementation phase has started. Core groups with specific tasks related to the vision and the business process review have been established and have just initiated their work. The lessons learnt from FAO's recent experiences through the desert locust invasions, the tsunami and other emergencies provide the imperative for improving administrative, financial, procurement and human resources management processes in order to better respond to future demands. We will review the results of the working groups at regular intervals to adjust the process and by summer 2006 we expect the implementation phase to be accomplished.



Disaster Risk Reduction, Contingency Planning & Early Warning

Chapter 1

After having read this section you should be able to respond to the following questions:

- *What is Disaster Risk Reduction (DRR) and why is it a strategic concept for FAO?*
- *What is contingency planning, and its importance to FAO?*
- *How can FAO offices engage in contingency planning exercises?*
- *What is an early warning system, and what options are available to FAO offices?*
- *How can disaster risk reduction, contingency planning and early warning systems be incorporated into FAO's existing country-level mechanisms?*

What is FAO's role in Disaster Risk Reduction?

(Prepared by and further contact:

Federica.Battista@fao.org / Stephan.Bass@fao.org / Florence.Rolle@fao.org)

1. Disaster frequency and severity is increasing

The world has witnessed an alarming increase in the frequency and severity of disasters: 240 million people were affected by natural disasters globally each year on average between 2000 and 2005. During this time these disasters claimed an average of 80 000 lives annually and caused damage of an estimated US\$80 billion per year⁵.

Disaster losses are increasing owing to a number of factors, including increased extreme weather events associated with climate change, population growth, unplanned urbanization and environmental degradation.

Communities heavily dependant on agriculture are becoming increasingly vulnerable to hydrometeorological hazards (harvests losses, destroyed plantations, salinization, animals losses and disease, etc.). This situation is further aggravated by increased farming in high-risk areas as a result of population pressures and lack of diverse economic opportunities.

2. Concepts and principles⁶

Disaster *risk* results from the combination of a potential damaging event- the *hazard*; and the degree of susceptibility of the elements exposed to that source – *vulnerability*.

Natural *hazards* can be classified according to their geological (earthquake, tsunamis, volcanic activity), hydrometeorological (floods, tropical storms, drought) or biological (epidemic diseases) origin.

Vulnerability conditions are determined by physical, social, economic and environmental factors or processes, which increase the susceptibility of a community to the impact of hazards. The recognition of vulnerability as a key element in the risk notation has also been accompanied by a growing interest in understanding and enhancing the positive capacities of people to cope with the impact of hazards. These *coping capacities* are closely linked to the concept of *resilience*: the capacity of a system, community or society potentially exposed to hazards to adapt and maintain an acceptable level of functioning.

Disaster risk reduction includes the systematic development and application of policies, strategies and practices to avoid (*prevention*) or limit (*mitigation* and *preparedness*) the adverse effects of hazards.

3. FAO's responsibility in Disaster Risk Reduction (DRR)

In 2005 the international community adopted the *Hyogo Framework for Action* (HFA) which sets the strategic goals and priority areas of action for a ten-year programme *to substantially reduce disaster losses in social, economic and environmental assets of communities and countries*. The strategic goals of the strategy are:

- The integration of DRR into sustainable development policies and planning.
- The development and strengthening of institutions, mechanisms and capacities to building resilience to hazards.
- The systematic incorporation of risk reduction approaches into the design and implementation of emergency preparedness, response and recovery programmes.

⁵ CRED March 2007, source of data: EM-DAT, does not include victims of conflict, epidemics and insect infestations. More on disaster statistics and issues relating to disaster data: <http://www.em-dat.net> and <http://www.unisdr.org/disaster-statistics/introduction.htm>

⁶ Within the disaster community terminology is often applied inconsistently reflecting the involvement of practitioners from a wide range of disciplines. The terms used above are an adaptation from the ISDR terminology, for more detail see *ISDR-Living with Risk, 2004* (http://www.unisdr.org/eng/about_isdr/bd-lwr-2004-eng.htm)

As the UN specialized agency for the food and agriculture sectors, FAO has the responsibility of assisting member countries in integrating DRR measures in agriculture and food sector policies and practices and has a key role to play in protecting and restoring agriculture-based livelihoods in the aftermath of a disaster⁷.

4. What can FAO do for Disaster Risk Reduction

4.1 Disaster risk profiling: hazard, risk and vulnerability assessments. Implementation of DRR measures need to be based on an assessment and prioritization of the hazards and risks that people face, as well as their ability to cope and withstand the effects of those hazards. This assessment should: a) identify the typology, frequency and potential severity of a hazard (hazard assessment); b) identify geographical areas and communities that are most vulnerable to those hazards (hazard mapping); c) identify the key factors of vulnerability and local coping and adaptive strategies and capacities; and d) assess national policies, legislation and institutional capacity for DRM. Specific issues to be looked at in the agriculture, fishery and forestry sectors include:

- what hazards affect the agriculture sector? History of impacts of past disasters, including crop-based estimates of damage and loss;
- identify seasonality and frequency of such hazards;
- identify who are the farmers/fishers most vulnerable to disasters and their livelihood profiles; and
- assess the role of agriculture, livestock, fishery and forestry line departments in disaster risk management and linkages with other relevant institutions⁸.

4.2 Prevention and mitigation: Structural and non-structural measures to provide outright avoidance (prevention) or limit the adverse impact (mitigation) of potential natural hazards.

Action for disaster prevention and mitigation focuses on reducing the underlying factors of risk. This normally requires a medium- to long-term planning framework that can allow for the adjustment of institutional mechanisms and the subsequent integration of appropriate measures in sectoral development policies and planning.

Risk reduction in agriculture requires appropriate sector policy frameworks and institutional mechanisms, sustainable natural resource management practices and the identification, adaptation and dissemination of targeted technical and structural mitigation measures.

Legislation and policies: National legislation on DRM is a basic requirement. It would normally include a national act establishing and mandating a national authority for disaster (risk) management and an inter-ministerial commission/committee for policy making and coordination on disaster (risk) management. It would specify responsibilities and tasks of relevant public and private stakeholders in all phases of DRM as well as the coordination of mechanism and procedures.

Examples of issues for the agriculture sector are:

- Is a legislation in place, which includes sectoral responsibilities and risk reduction standards, including for agricultural infrastructure and construction?
- Are there clear definitions about the declaration of emergency situations and phasing of emergencies?
- Do relevant sector development policies define priorities and strategies for risk reduction?
- Are resources allocated to risk reduction programmes in the agriculture, fishery and forestry sectors?

If no specific sectoral policy/legislation is in place relevant information may be found in government documents on: land use planning and zoning; frameworks to control land degradation and combat desertification; water management; coastal management; forestry conservation; climate change

⁷ UN/ISDR, Hyogo Framework for Action 2005-2015. Available at: <http://www.unisdr.org/eng/hfa/docs/Hyogo-framework-for-action-english.pdf>. For the role and contributions of International Organizations see para 32.

⁸ For this purpose FAO is developing *Guidelines for the assessment of DRM Systems*.

adaptation; transboundary agreements for watershed management and control of animal and plant diseases.

Institutional mechanisms: The national authority for disaster (risk) management and/or an inter-ministerial commission/committee for disaster (risk) management are normally replicated at district and local government level, ideally allowing for a combination of “top-down” and “bottom-up” approaches. Most DRM functions benefit from the devolution of responsibilities (following principles of subsidiarity) provided that this is combined with: clear definition of tasks and effective coordination systems, appropriate budget allocations and capacity building for local staff.

Examples of issues for the agriculture sector are:

- Are the agriculture sector line departments represented in the inter-ministerial commission/committee (including at decentralized levels)?
- Which are the relevant roles and responsibilities of the agriculture departments, extension services and agricultural research institutes?
- Are there functional vertical (among different government levels) and horizontal (with other relevant line departments such as water affairs, meteorological services, environment and natural resources) linkages?
- Is the national competent authority responsible only for emergency response and rehabilitation or also for disaster prevention and mitigation (normally national Relief-Calamity Funds do not allow for spending in risk reduction measures)?

Agricultural measures: examples include

- Appropriate crop selection (testing and introducing new varieties, drought/saline/flood resistant crops, quick growing crops) and animal breeding.
- Improved cropping systems and cultivation methods (crop diversification, intercropping, adjustment of cropping calendars, soil conservation).
- Post-harvest management (storage, food drying, food processing).
- Pest control.
- Sustainable water management: improved design, construction and maintenance of irrigation and water control infrastructure; rainwater harvesting; water conservation techniques.
- Afforestation/reforestation and agroforestry.

Economic measures: examples include

- risk sharing and transfer instruments: crop/livestock/fishery insurance, compensation and calamity funds, micro-credit and cash transfers; and
- livelihood diversification: may include small-scale enterprise development, introducing new farming activities (small-scale livestock, fish ponds, new crops of higher market value) or promoting non-farm activities.

Structural measures: examples include

- raised seeds beds, dams, wind breaks and fire breaks;
- proofing of storage facilities and livestock shelter;
- erosion control structures, routine clearing of drainage system and canals; and
- safe shelter places/platforms and animal fodder reserves.

4.3 Preparedness: Measures taken in advance to prepare for and reduce the effects of disasters. That is to predict them, mitigate their impact on vulnerable populations and effectively respond to their consequences. As such *disaster preparedness is a key disaster reduction measure as well as a key instrument for effective and timely emergency relief and recovery.*

Key components of disaster preparedness are early warning systems, contingency planning, infrastructural measures and training and awareness raising and household level preparedness measures.

Early Warning Systems: Disaster preparedness and response depend on gathering, analyzing and acting on timely and accurate information. The key instruments for providing such information are early warning systems (EWS). The purpose of the EWS is to detect, forecast and, when necessary, issue the alert relating to impending hazards. However, in order to be effective and fulfil a risk reduction function in the agriculture sector alerts need to:

- be associated with information on possible impacts on the agriculture sector and on what farmers can do to reduce disaster risk;
- be communicated in a way that is understandable by vulnerable people;
- the media needs to be accessible to rural farming and fishing communities;
- the messaging needs to take into consideration issues relating to people's perceptions of risk and trust for public institutions⁹; and
- where possible include long-range climate forecasts to allow for contingency cropping plans.

Contingency planning: During the actual emergency, quick and effective action is required. Effective action will often depend on the existence of ready-made and tested contingency plans, which should be available at national, provincial and local level. When provincial and local level plans are not in place, translating recommendations into action becomes increasingly difficult. Contingency plans at different levels should be complementary and ensure that appropriate linkages are established for coordination and to support action along lines of command.

Contingency planning measures are normally associated with life-saving measures (evacuation procedures and identification of safety sites, search and rescue etc.) however these may also be a key instrument for saving equipment, livestock, seeds and other agricultural inputs.

Contingency planning in the agriculture sector may include: contingency crop planning (changing of cropping patterns to match late/early rains, availability of seed of drought, flood, salinity tolerant crop varieties, famine reserve crops etc.), conservation of forage/fodder, moving of animals to safer grounds, plans for vaccination of livestock exposed to flooding, emergency seed procurement networks; safety at sea measures for fishers.

Infrastructural measures: Contingency planning needs to be linked to adequate infrastructure and buffer capacities and stand-by agreements for the use of equipment and machinery. Examples include: use of fishing boats for rescue operations; construction of huts/sheds on farms of higher elevation to protect seedlings and small animals during flooding; and seed and fodder stocking infrastructure.

Training and awareness raising: An essential part of disaster preparedness is the awareness raising and training of those who might be affected by a disaster and those who will be providing support to the affected communities. The aim is to *promote an informed, alert and self reliant community, capable of playing its full part in support of and in coordination with government officials and other key actors responsible for disaster risk management* (IFRC).

Community and household level preparedness: Communities and households are the first line of response in any emergency and many disasters occur on a small/regular basis and go unnoticed by national authorities and international organizations. Community-led initiatives play a major role in immediate response (saving lives and moving people to safer grounds, providing emergency food and shelter) and recovery (credit, mutual support in reconstruction work), but are rarely recognized, sustained and integrated by the formal DRM systems. Examples of community/household preparedness measures are to:

- have safe drinking water, food rations, animal fodder and basic medical/veterinary packages prepared;
- bring animals and seeds to secure places;
- prune trees, emergency harvest if season and time allows (hurricane or flood warning); and
- prepare/clean ditches on fields and around the house.

⁹ Some of the above issues can be tackled with EWS based on multiple sources of information for for vulnerable rural communities. For example: a) national weather forecasts; b) local irrigation authorities monitoring hydrological parameters; c) river level monitoring from local communities. These systems have the advantage of allowing the application both of local knowledge and of science/technology based knowledge.

Examples of key preparedness functions at different levels are given in the table below.

| Institutional level | Example of key institutions | Examples of key functions in preparedness |
|----------------------------------|--|--|
| National | National DRM authority | Preparing disaster relief plans |
| | Line department | Management of food/seed reserves; preparing contingency crop plans |
| | Meteorological services | Issuing EWS and communicating to media and responsible line departments |
| Provincial district municipality | Local DRM committee | Preparing of contingency plans with clear definitions of roles and responsibilities and lines of command. |
| | Local agriculture departments and extension services | Dissemination of early warning and recommendations to farmers on what to do; identification of vulnerable groups. |
| Local community, | Private sector | Stand-by agreements (with community and local authority) for use of key equipment/ facilities during emergencies. |
| | Farmers' groups | Constructions on huts/sheds in areas of higher elevation, seed/fodder stocking infrastructure. |
| | Water user associations | Monitoring of river beds and water reserves, contingency plans for water use in times of drought. |
| | Households | Bring animals and seeds to secure places, tree pruning and emergency harvesting, preparing and cleaning ditches around houses. |

5. How could FAO engage in improving Disaster Risk Reduction

Natural disasters can be considered as a cause and product of failed development. Disasters can wipe out years of development in a matter of hours; at the same time it has been clearly demonstrated how disaster risk accumulates historically through inappropriate development interventions. The integration of DRR into sustainable development policies and planning is recognized as priority number one by the international community.

At the same time, the post-emergency phase often provides opportunities for change and to make societies more resilient to the impact of future natural hazards. Severe disasters often catalyze the resources and momentum necessary to introduce policy reform and to strengthen the capacity of national DRM systems.

Examples of how FAO can support member countries in integrating disaster risk reduction in sustainable development planning and implementation of emergency preparedness, response and recovery include:

- undertaking hazard profiling and vulnerability assessments for the agriculture, forestry and fishery sectors or participating in national/local multi-sectoral disaster risk profiling exercises.
- Assessing and enhancing capacities for DRR within sectoral line departments and extension services;
- integrating DRR in sectoral development plans or country programming exercises (United Nations Development Assistance Framework [UNDAF], National Medium-Term Priority Framework [NMTPF]);¹⁰
- promoting sustainable natural resource management (for example on: land, water, watershed, forestry, or coastal areas);
- identify, document, adapt, replicate and facilitate the exchange of good agriculture, fishery and forestry practices for disaster risk reduction;
- participating in inter-agency processes for enhancing emergency preparedness in the country; and
- integrating the building back better principle in the design and implementation of post-emergency projects¹¹.

¹⁰ Tools for integrating disaster risk reduction in country programming see : ProVentim Consortium, *Tools for Mainstreaming Disaster Risk Reduction*, (http://www.proventionconsortium.org/themes/default/pdfs/tools_for_mainstreaming_GN4.pdf)

¹¹ See *Key Propositions for Building Back Better: Lessons Learned from the Tsunami Recovery* (http://www.tsunamispecialenvoy.org/pdf/SELLR_122506.pdf)

Contingency planning and humanitarian action

(Source: Choularton R. "Contingency Planning and Humanitarian Action: A review of Practice" HPN Network Paper Number 59, March 2007)

Definition

Defining contingency planning is neither simple nor easy: in practice, the term is used to describe a wide variety of activities, in a wide variety of contexts. A working definition of contingency planning for humanitarians is:

A process, in anticipation of potential crises, of developing strategies, arrangements and procedures to address the humanitarian needs of those adversely affected by crises.

Key principles of contingency planning

- Contingency planning should be practical. In other words, it should be based on realistic parameters and should not be a bureaucratic exercise undertaken for its own sake. This starts with a scenario that is detailed enough to allow equally detailed planning and preparedness – but not overly detailed. It also requires enough flexibility to adapt plans in the likely event that real life differs from the assumptions made in the scenario.
- Contingency planning should be simple and easy to carry out. Contingency planning should not be a complex task undertaken only by specialists; rather, all staff – and indeed community members – should be able to participate.
- Contingency plans should be realistic enough that they can be implemented when needed. Plans which are not grounded in reality run the risk of failure and may create a false sense of security.
- Contingency plans should allow for efficient, effective and equitable use of resources to appropriately meet humanitarian needs.
- Contingency planning should be process-driven. Although written plans are important, without a good process contingency planning can be ineffective, resulting in plans being left on the shelf or in the filing cabinet.
- Contingency planning should be participatory, in order to maximize the benefits of the planning process.
- Contingency planning exercises should be followed up. Preparedness actions that are identified as a result of contingency planning should, where possible, be taken up, and further planning should be done if necessary.
- Contingency planning processes should be regularly tested through exercises, such as table-top exercises. This helps improve planning and increases staff members' familiarity with the plan.
- Contingency planning processes should include regular updates.

Types of contingency plan

Humanitarian organizations use three main types or methods of contingency planning:

- i. **Scenario planning** is the most common type of planning. This involves the development of specific scenarios, which are then used as a basis for developing a response plan.
- ii. **Preparedness planning** – sometimes called response planning or response preparedness planning – is becoming more widely used. It involves identifying gaps and challenges to effective emergency response and then planning and implementing a series of actions to increase response capacity and reduce potential gaps. Simple or generic scenarios are used as a basis for developing preparedness plans.
- iii. Finally, **all-hazards emergency planning**, common among government emergency management agencies, establishes clear roles, responsibilities and chains of command and uses standard procedures most often formalized in checklists to guide emergency response.

Contingency planning commonly takes place at organizational, inter-agency and community levels. In recent years, inter-agency planning has become more prevalent, with humanitarian actors working to ensure coordination and to maximize the use of resources among agencies in the field. In addition, communities and partners undertake their own contingency planning.

The following table provides an overview of these common types of contingency planning, and their advantages and disadvantages.

Table 1: Common types of contingency planning

| | Scenario-based contingency planning | Preparedness planning | All-hazards emergency planning |
|---------------------|---|--|---|
| Focus... | Specific scenarios are developed, with a plan focusing on responding to these scenarios. | Specific preparedness actions are identified and planned for. | Defining chains of command and common tasks carried out in emergencies. Developing standard implementing procedures for common emergency response tasks. |
| Best used... | When specific and detailed planning is needed. When a specific threat or emerging crisis exists | When no specific threat is identified. When preparing for difficult to predict, rapid-onset disasters (e.g. earthquakes). | To clarify responsibilities and accountabilities. When standardized response procedures are needed. |
| Pitfalls... | Can be too detailed and prone to the “scenario trap” (see below). Scenarios are often wide of the mark. | Can be too focused on preparedness, without a plan to respond to the emergency. Can be too broad and lacking the detail needed to respond adequately. | Can lack a response plan. Tends to be effective only in established emergency management organizations. |
| Who?... | Most common form of contingency among humanitarian actors. Used by donors, UN agencies, national governments and NGOs. | Also very common among humanitarian actors. Used by donors, UN agencies, national governments and NGOs. | Most common contingency planning technique used in developed countries, especially in western Europe and north America. Most commonly used by national emergency management agencies, civil defence and emergency services. |

The ‘scenario trap’

A common challenge faced in contingency planning is the scenario trap. This occurs when planners cannot define or prioritize their scenarios and fail to move on to developing actual plans. The results of the scenario trap are evident in the many contingency plans which contain summaries of scenarios – and nothing else. Especially when groups plan for complex situations, such as conflicts, or in circumstances where there is little information, it is difficult to agree on variables, such as what might happen and how many people will be affected. Numbers are often particularly contentious. This leads to long-drawn-out discussions in an attempt to reach a consensus. In many cases this consensus is never achieved and time constraints end the process before any real planning has occurred.

One way to avoid the scenario trap is to undertake risk ranking to prioritize scenario development and define the level of detail in contingency plans. Risk ranking involves assigning numerical scores for probability of occurrence (1 to 3) and magnitude of consequences (1 to 3) to each scenario. The results are then multiplied to derive the risk represented by each scenario. The scenarios are ranked and prioritized accordingly.

CARE uses risk ranking to determine the level of planning required for different events. Each contingency or hazard is evaluated based on its likelihood and potential impact or gravity. Based on the results, recommendations are developed for the level of planning to be undertaken. Only situations with a high likelihood and serious impact are considered worthy of detailed planning. Work on situations with minor impact and high probability or low likelihood and serious impact is limited to scenario development. Other categories merit no planning or are deemed to be addressed under existing agency policies.

Table 2: CARE's Risk Ranking Matrix for contingency planning

| | | Gravity of event | | |
|------------|------------|------------------|--------------------|---------------------------|
| | | Trivial | Minor | Serious |
| Likelihood | High | Existing policy | Consider scenarios | Detailed planning process |
| | Low | No planning | Existing policy | Consider scenarios |
| | Almost nil | No planning | No planning | Existing policy |

The gravity of the event is mainly determined by the scale of the impact on households, populations or livelihoods, and by how much the events is overwhelming existing structures and mechanisms to deal with it.

What *isn't* contingency planning?

Knowing what contingency planning is *not* is as important as knowing what it *is*. Contingency planning tends to be used interchangeably with other, similar terms, such as emergency preparedness and disaster management. The most important distinction is between contingency planning and emergency preparedness. Emergency preparedness consists of all activities taken in anticipation of a crisis to expedite effective emergency response. This includes contingency planning, but is not limited to it: it also covers stockpiling, the creation and management of stand-by capacities and training staff and partners in emergency response.

Contingency planning experts agree that contingency planning is most effective when done in the context of a well articulated emergency preparedness framework. Given the complexity of today's humanitarian operations and the multitude of preparedness mechanisms within the humanitarian system, contingency planning is often used to define what preparedness mechanisms will be used, when and where. Before a response is required, contingency planning affords humanitarian agencies the opportunity to define when, where and why their emergency response teams will be deployed, when emergency funds will be used and what kind of responses, materials and types of personnel they will need. In addition, global-level, strategic contingency planning can aid in decisions about the levels of emergency preparedness required – for example, how many people should be on emergency rosters. In other words, contingency planning is one tool of emergency preparedness, but it is not emergency preparedness itself.

What is a contingency plan?

The output of the contingency planning process is the contingency plan. A contingency plan is the synthesis of the discussions, analysis and, most importantly, decisions made during the planning process. It is also a means of communicating these ideas to people who may not have been involved in the planning process. Written contingency plans also document, and in some cases formalize, commitments made during the planning process.

At their simplest level, contingency plans answer some basic questions about a potential situation. These include:

- **What could happen?**
- **What would be needed to alleviate the situation?**
- **How would action be taken?**
- **What materials, supplies and staff would be needed?**
- **What preparation is necessary?**
- **How much will it cost?**

While most humanitarian organizations have their own contingency plan formats and outlines, common elements address these basic questions. Table 3 provides a generic outline of the typical components of a contingency plan, connecting each element to one of these key questions.

Table 3: Key elements of a contingency plan

| <i>Question</i> | <i>Contingency plan element</i> |
|---------------------------------------|---------------------------------|
| What could happen? | Scenario |
| What would we need to do? | Response strategy |
| How would we do it? | Implementation plan |
| What would we need to do this? | Operational support plan |
| What can we do to prepare? | Preparedness plan |
| How much would it cost? | Budget |

Definitions of each of the contingency plan elements in Table 3 are as follows:

Scenario(s)

The IASC Contingency Planning Guidelines for Humanitarian Assistance defines a scenario as

“An account or synopsis of a possible course of events that could occur, which forms the basis for planning assumptions.”

Thus, scenarios are relevant summaries of a range of considerations, such as what planners think could happen, what conditions people will face, what impact a hazard will have and what capacity people will have to cope with a crisis. Scenarios contain the main planning assumptions used to develop the contingency plan. As such, they are the foundation of contingency plans.

Response strategy

Based on the scenarios a response strategy is developed, including specific intervention objectives and targets, with beneficiary numbers. The response strategy links the scenarios and the subsequent plans.

Implementation plan

While the response strategy defines what is to be achieved, the implementation plan defines how it is going to be achieved. Thus, the response strategy defines appropriate interventions or programmes; the implementation plan defines how these programmes will be implemented (e.g. using community-based targeting and partnership with local governments) and the steps required (e.g. emergency needs assessment and logistics).

Operational support plan

The operational support plan sets out the administrative, logistical and other support requirements of a response.

Preparedness plan

Almost inevitably during the planning process, actions to improve preparedness for both specific and general crises are identified. In some exercises, these actions become the focus of planning efforts because they can have the biggest potential impact on actual responses. The results of this process, often called preparedness planning, are then consolidated into a preparedness plan.

Budget

Finally, a budget is developed, both for preparedness and for the actual responses that have been planned. The level of detail that should be included in contingency plans is a topic of considerable debate. Some contingency plans are extremely detailed, while others are short and synthetic, sometimes taking the form of a checklist, or in the case of all-hazards planning a series of implementation procedures. Some contingency plans contain only scenarios, while others include procurement requirements, sometimes down to tables and chairs. In general, contingency planners must always question the utility of their work. The details in some plans are useful, while in others they are not. This last point is key.

Effective contingency planning requires planners to consider what will be of most benefit in each context, and to make reasoned decisions about where to prioritise the often limited time and resources available. This principle applies to just about all aspects of the process from the number and type of scenarios to the format used and the level of participation.

IASC Contingency Planning Guidelines for Humanitarian Assistance

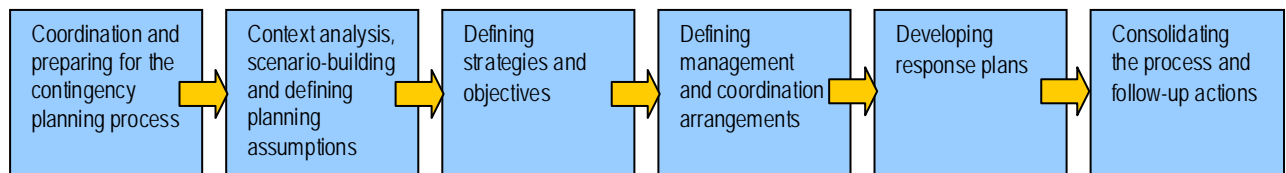
(See <http://www.humanitarianinfo.org/iasc/content/products/docs/IAContingencyPlanGuide.pdf>)
Excerpts from "outline of an interagency contingency plan"

Why plan for contingencies?

- To enhance the effectiveness and timeliness of emergency response.
- To ensure that emergency response is coordinated, through the clarification of goals, strategies, roles and responsibilities.
- To anticipate and overcome difficulties.
- To create and/or strengthen relationships with agencies, organizations, NGOs, government and local actors.

The planning process

- 1) Coordination and preparing for the contingency planning process.
- 2) Context analysis, scenario-building and defining planning assumptions.
- 3) Defining strategies and objectives.
- 4) Defining management and coordination arrangements.
- 5) Developing response plans.
- 6) Consolidating the process and follow-up actions.



Step One: Coordination and preparation

- Take stock of existing plans to avoid duplication/build on previous efforts.
- Define the scope of participation.
- Define how the contingency planning process will be structured, managed and undertaken.

Step Two: Context analysis, scenario-building and defining planning assumptions

- Analyze the risks of potential emergencies. This analysis will also provide a basis for the selection of early warning indicators that can be monitored to alert planners to the realisation of a given scenario.
- Predict the likely consequences of a given hazard within a contextual analysis.
- Define planning assumptions such as the identification of potential constraints and gaps.

Step Three: Defining strategies and objectives

- Define the overarching principles and strategies that will guide the inter-agency response under each scenario.
- Define the operational objectives which will result in the realization of the principles and strategies that have been defined.
- Consider exit strategies.

Step Four: Defining management and coordination arrangements

- Define operational roles, functions, responsibilities and accountability, as this facilitates effective management and coordination.
- Define external coordination arrangements and mechanisms.

Step Five: Developing operational response plans

- Define sectoral objectives and activities based on projected needs.
- Develop sectoral management and coordination mechanisms.
- Develop joint operational and support service plans in the areas of common communications, logistics and transport, information management and Geographic Information Systems (GIS) and security.

Step Six: Consolidating the process, follow-up actions and activation

- Convene all parties involved in the process periodically, to ensure full understanding and agreement with all aspects of the Contingency Plan.
- Assess and review progress made in implementing preparedness actions.
- Update and review plans within an agreed timeframe and/or when necessary in the context of any change/s to the situation.
- If the contingency being planned for does occur then **activate** the plan after checking planning assumptions and making any necessary adjustments. Turn the Plan into an operational plan.

A good Contingency Plan should:

- be comprehensive, but not too detailed;
- find a balance between flexibility and concrete plans;
- provide guidance and direction on the intention/s of agencies and how to proceed;
- be well-structured, easy to read and easy to update; and
- serve as a layout of what will be done, by whom and by when.

Outline of Contingency Plan

1. Executive Summary
2. Context Analysis and Risk Assessment
3. Scenario/s
4. Overall Management and Coordination
5. Strategies and Objectives
6. Sector and Agency Response Plans
7. Preparedness and Maintenance Actions
8. Annexes

Excerpts from: "Brainstorming guide for preparing an inter-agency contingency plan"

Planning a response to an emergency is best done working in groups. There are many things to consider during the planning process. This annex provides a number of questions aimed at facilitating the planning process. The questions are intended to spark or catalyze ideas during brainstorming or working group meetings. Six to ten questions are provided for each topic. The topics include sections of the suggested Inter-agency Contingency Plan outline and selected joint activities. While by no means comprehensive, it is hoped that this annex will help planners focus planning sessions.

Context analysis and risk assessment

- What are the socio-economic and political trends?
- Consider recent assessment/reviews/baseline studies/analytical exercises as sources of information.
- What is the country's recent record with regards to particular hazards such as drought, floods, earthquakes, epidemic violence or security threats, population movements, resources constraints, human rights abuses, demographic/land issues (etc.)?

Scenarios

- What is the area affected and the geographical extent of the damage/crisis?
- Numbers and percentage of population affected; population profile and demographics?
- Gender considerations; specific vulnerable groups; and target beneficiaries?
- What will be the impact on livelihoods? What will the specific sectoral impacts be?
- How long are emergency conditions likely to last under this scenario?
- Do the Government/local authorities have prior experience in responding to the situation?
- How other organizations are likely to respond to the emergency and in what way?
- What are likely to be the major constraints to an emergency response?
- What are the various factors (negative or mitigating) influencing the situation?
- What events could trigger this scenario?

Overall management and coordination

External relations

- ✓ How does the Government coordination body work?
- ✓ What are the coordination arrangements between the Government, the UN, other international bodies and NGOs, donors, civil society, private sector and beneficiaries?

Coordination

- ✓ What is the inter-agency humanitarian coordination structure?
- ✓ How will strategic versus operational coordination (sectoral) arrangements be managed?
- ✓ What are (will be) the agencies' roles and functions?
- ✓ Who leads what in which sector and/or geographical zone?
- ✓ What will be the reporting procedures?
- ✓ Should standard formats be established for: reporting, assessing, project proposals...?
- ✓ What joint activities will be undertaken: assessment, monitoring, programming?
- ✓ Is there a need for Memorandums of Understanding (MoUs) or LoUs?

Information Management

- ✓ How will information/data be collected?
- ✓ Who will be responsible to write daily/weekly/monthly reports? How will these be revised and disseminated?
- ✓ How will information flow between agencies and the various levels (local, national, regional and HQ) and vice-versa?
- ✓ How will basic statistics on caseloads, beneficiaries and assistance be agreed upon?
- ✓ What report formats will be used?
- ✓ What GIS and mapping capacity will be needed?

Safety and security

- ✓ Who is responsible for staff security and safety?
- ✓ What are the security coordination arrangements at the local, national, regional levels (i.e. Security Management Team [SMT], information-sharing meetings)? Is there a need for additional arrangements/ resources?
- ✓ Are there specific security training needs?
- ✓ What are the security contingency and evacuation plans? Who is responsible for them?
- ✓ Who maintains a central list of names and locations of all international and local staff?

Resources mobilization

- ✓ What are the potential sources/donors? Will up front resources (e.g. CERF) be needed?
- ✓ Is there a need for a specific appeal for this operation? Should there be a CAP?
- ✓ Should a donor consultation be organized? Are other sources available locally?

Common services

- ✓ What services should be common: transport and logistics, media and information, Telecommunications/Information Technology (TC/IT), resources mobilization, security, premises, storage, mapping, banking, procurement...?
- ✓ Can staff and material be shared?
- ✓ How will shared resources be paid for? Who will own them? To whom will personnel report?

Media strategy

- ✓ What will be the public information strategy?
- ✓ Can the current staff handle the influx of journalists and information requests or should public information personnel be recruited?
- ✓ How should media relations be coordinated or routed to individual agencies?
- ✓ What will be the information strategy for the target population?

Strategies and objectives

- What is the overall strategy that various agencies will employ to address the events?
- How is the implementation strategy linked to the realization of the objectives?
- How individual agencies' projects will contribute to the overall objectives?
- How long will the assistance be required for?
- Who are the target beneficiaries?
- Are the levels and the types of assistance to be provided to the different beneficiaries agreed on?

Sectoral and agency response plans

- What are the provisions in place for immediate response?
- What assessment arrangements are needed?
- What actions will be taken as an immediate response to the situation? Who does what and when?
- What is required to support the immediate response (logistic/transport, TC/IT, commodities, staff...)?
- Who will participate in the Emergency Needs Assessment (ENA)?
- Which sectors are most likely to be critical/should be prioritized?
- Are all the sector needs identified covered in sectoral or agency plans?

Preparedness and maintenance actions

- Who is responsible for the update and maintenance of the contingency planning document?
- When and how will the plan be updated?
- How prepared are different agencies?
- What follow-up actions are required?

What is an early warning system?

(See <http://www.unisdr.org/ppew>)

1. The key elements

A complete and effective early warning system comprises five elements:

- systematic collection of hazard knowledge;
- systematic collection of likely Renewable Natural Resource (RNR) impact knowledge;
- systematic collection of vulnerability knowledge;
- analytical early warning capacity; and
- dissemination and communication.

Monitoring of hazards, predicted impact and vulnerability information is necessary to generate accurate warnings in a timely fashion. Warning services for the different aspects should be coordinated where possible to gain the benefit of shared institutional, procedural and communication networks.

Best practice early warning systems have strong inter-linkages between the four elements, underpinned by communication and effective governance and institutional arrangements. The major players concerned with the different elements should meet regularly to ensure they understand all of the other components and what other parties need from them.

The early warning system should be strongly linked to emergency preparedness and contingency plans. This requires systematic education and preparedness programmes led by disaster management authorities. It is essential that disaster management plans are in place and are well practiced and tested.

Hazard knowledge

Hazard knowledge means understanding the likelihood, nature and severity of different types of hazards: what they are, when they may strike and where. This kind of information is generally collected and presented in spatial form, i.e. maps of different kinds. Examples would include climatological maps and forecasts of rainfall, hurricane forecasts and path simulations.

RNR impact knowledge

A given hazard will have different impacts depending on where it strikes. Impact information allows one to judge this. An example would be crop yield or livestock mortality estimates. The fact that a drought is likely or is occurring would signal an early warning that crop yields this year will be down. The existence of the drought assumes importance in so far as it has an impact on economic and social life. Gauging the impact of the drought on crop production is an approximation to this.

Vulnerability knowledge

Knowledge of the existence of a hazard does not necessarily mean that an early warning of disaster should be issued. The likelihood of a hazard resulting in a disaster is determined by the vulnerability of people to the hazard. This is partly explained by impact knowledge (e.g. likelihood of crop failure) but not fully. Consider the case where a valley is flooded after persistent rainfall in the mountains over a period of one month. The destruction of crops in the valley might equal disaster for the farmers in the valley, but it might not, as they may have other income and food sources not affected by the flood. Thus even though they were affected by the flood, their vulnerability to it is mitigated by the fact that they have other strategies for meeting their basic needs. This is in fact precisely what happened in the Limpopo valley in Mozambique in 2002: although farmers lost production from the lowlands, they could still utilise production from the highlands. The need for food aid was shown to be much lower than originally thought and further, their income was not as badly affected as first feared as the reduction in overall production increased prices for the crops that were harvested.

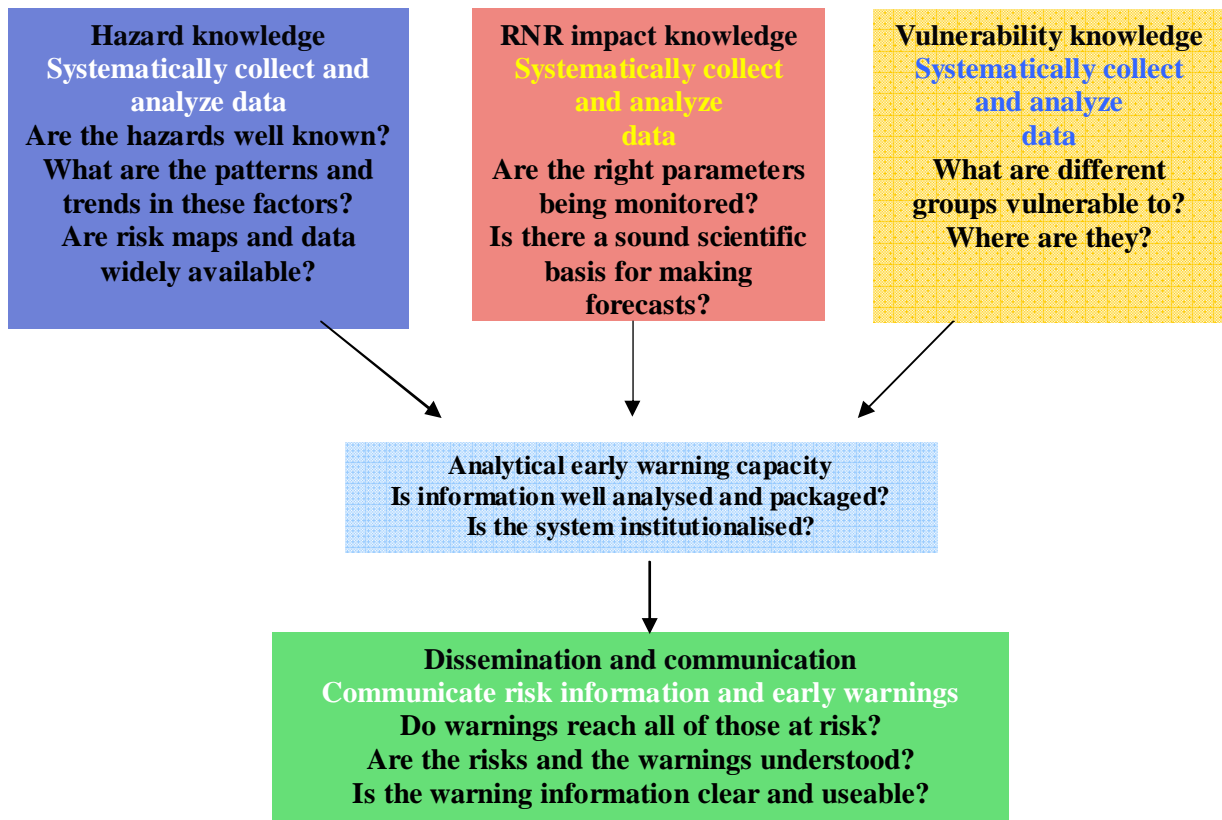
Analytical early warning capacity

Information collected must be well analysed and packaged, and decision-makers must value the information generated. Well packaged and timely information may be delivered by external agencies (e.g. the Famine Early Warning Network [FEWS NET] funded by the United States Agency for International Development [USAID]); in order to be sustainable however, early warning capacity needs to be institutionalized within Government structures at central and decentralized levels.

Dissemination and communication

The warnings must get to those who have a stake in the situation in a timely manner. This includes national and local government ministries, donors, NGOs, civil defence authorities and the people who are likely to be affected by the hazard(s)¹². Depending on the type and severity of the hazard, dissemination may take place at several levels (global, regional, national, district, community through pre-identified communication channels). The warnings must contain clear, useful information that enables proper responses. The use of multiple communication channels is necessary to ensure everyone is reached and avoid failure of any one channel, as well as to reinforce the warning message.

Early Warning for RNR-based livelihoods: key elements



¹² People-centred early warning systems rely on the direct participation of those most likely to be exposed to hazards. Without the involvement of communities and individuals at risk, government and institutional interventions often prove to be inadequate when events occur.

2. Key actors

Developing and implementing an effective early warning system requires the contribution and coordination of a wide range of individuals and groups. Each has a set of functions for which it should be responsible and accountable for.

National governments are responsible for policies and frameworks that facilitate early warning, in addition to the technical systems for the preparation and issuance of hazard warnings for their country in a timely and effective manner. They should ensure that warnings and related responses are directed towards the most vulnerable populations. The provision of support to local communities and local governments to develop operational capabilities is an essential function to translate early warning knowledge into risk reduction practices.

Local governments should have considerable knowledge of the hazards to which their communities are exposed. They must be actively involved in the design and maintenance of early warning systems, and understand advisory information received to be able to advise, instruct or engage the local population in a manner that increases their safety and reduces the possible loss of resources on which the community depends.

Communities. Ideally, at risk communities themselves should have input to system design. Some examples exist of local and “traditional” early warning indicators being incorporated into early warning systems, particularly those supported by NGOs.

Specialized technical agencies inside and outside the UN should provide support for national early warning activities and foster the exchange of data and knowledge between individual countries. Support may include the provision of advisory information, technical and scientific assistance and policy and organizational support necessary to ensure the development and operational capabilities of national authorities or agencies responsible for early warning practice. An example of an agency operating in this field is FEWS NET, which operates in several countries and provides early warning and analysis of food security problems at national and sub national levels. Within FAO, the Global Early Warning System (GIEWS) regularly monitors the world’s food and agriculture situation.

Regional institutions and organizations should provide specialized knowledge and advice in support of national efforts to develop or sustain operational capabilities experienced by countries that share a common geographical environment. Regional organizations are crucial to linking international capabilities to the particular needs of individual countries and in facilitating effective early warning practices among adjacent countries. A good example of the role which can be played by a regional organization is the Regional Early Warning System of the Southern African Development Community (SADC). This is a regional agriculture and early warning system, set up through a partnership between FAO and SADC in the wake of the serious droughts and resultant crop failures experienced in the region in 1991-92.

NGOs play a critical role in raising awareness among individuals and organizations involved in early warning and in the implementation of early warning systems, particularly at the community level. In addition, they play an important advocacy role to help ensure that early warning stays on the agenda of government policy makers.

The media plays an important role in improving the disaster consciousness of the general population and disseminating early warnings.

National technical and scientific institutions can play an important role in providing specialized scientific and technical inputs to assist governments and communities in developing early warning systems. Often working in partnership with international partners, their expertise is needed to: analyze natural hazard risks facing communities; support the design of scientific and systematic monitoring and warning services; support data exchange; translating scientific or technical information to comprehensible messages; and disseminating understandable warnings to those at risk.

Examples of early warning systems

The Global Information and Early Warning System on Food and Agriculture (GIEWS)

(See <http://www.fao.org/giews/english/index.htm>)

GIEWS is located in the Trade and Markets Division of FAO. The System maintains regular contact with FAO's regional, subregional and country offices and most of FAO's technical units for information sharing and for the development of methodologies. Since 1975, institutional links and information-sharing agreements have been established with several UN organizations, 115 governments, four regional organizations and 61 NGOs. Numerous international research institutes, news services, private sector organizations and specialized government agencies also collaborate.

The main work areas of GIEWS, and the key areas in which support can be given by the system to the work of FAO in emergency contexts can be summarised under the following headings:

- Crop monitoring;
- Food supply and demand monitoring;
- Rapid crop and food supply assessment missions;
- Contribution to vulnerability mapping;
- The GIEWS workstation; and
- Reporting.

Crop monitoring

The GIEWS monitors the condition of food crops in all regions and countries of the world. The earliest estimates of production for standing crops are collected and revised when official data are released. Information is gathered on all factors that might influence planted area and yields.

Global food supply and demand monitoring

The GIEWS' food security monitoring activities are divided into four main levels: global, regional, national and subnational.

- **Global and regional**

The GIEWS estimates global food supply and demand by aggregating country-level information and collecting national regional and global price information, and issues a **warning** if there is a risk of a major rise in food prices. The "globalization" of trade, a growing tendency towards open trade policies rather than the protectionist policies of the past, has made countries much more susceptible to developments on the world food markets. The **Asian financial crisis of the late 90s** that affected a number of countries is an example of this. The crises began with a sharp, significant devaluation in Thailand's currency, followed by similar devaluation in the Republic of Korea, Indonesia and Malaysia. It was also a result of inherent weaknesses in financial and banking structures. In Indonesia between 1997/1998 the negative effects of the financial crises was exacerbated by the serious, el niño-related drought that further compounded food supply problems in the country. During the crises, GIEWS undertook a number of missions to Indonesia, with WFP, to assess the overall food supply situation.

- **National**

The System monitors national food production, stocks, trade and demand in all countries of the world, on a continuous basis. The GIEWS alerts the international community to countries which face a sharp rise or fall in food supply or demand, which need unusually large-scale food assistance or which have an exceptional surplus of food available for donor assistance. Monitoring is concentrated on a group of some 80 Low-Income Food-Deficit Countries (LIFDCs), which are often particularly vulnerable to supply fluctuations caused, for instance, by crop failure or high international cereal prices. Donors are informed when food assistance needs can be met by purchases on local markets or from neighbouring countries. The main focus of the analysis is on cereals as information on other types of food is often extremely weak. However, the system is expanding its coverage of non-cereal staple foods particularly in countries where they constitute a large part of the national diet.

- **Sub-national**

Food market and price liberalization in much of the developing world has had far reaching implications for small-holder farmers and for consumers, necessitating new approaches to food security analysis. The GIEWS collects information on possible “indicators” of food crises such as local market food supplies, retail price rises and evidence of individual and community responses to food insecurity. Such responses are sometimes referred to as “coping strategies” and include unusual sales of livestock or other assets, migration in search of food, consumption of wild foods which are not part of the normal diet and a reduction in the number and size of meals. When it is available, data on malnutrition indicators and food related morbidity and mortality is also monitored.

- **Vulnerability mapping**

Since 1998, the GIEWS has been implementing the Government of Japan Trust Fund Project entitled **“Development of a Vulnerability Information Base, Mapping and Dissemination System for Asia in Support of FIVIMS”** or **“FIVIMS for Asia”** as a primary input to the overall FIVIMS initiative. This initiative has now been transferred over to FIVIMS. The project seeks to assemble, analyze and disseminate information about food insecure and vulnerable populations in Asia, providing information on their geographic location and the causes behind their food insecurity and vulnerability. The project is developing mapping and data dissemination technologies in order to provide rapid access to information via the Internet. The information base and the new technologies developed by the project have contributed directly to Global FIVIMS and the FIVIMS Common International Database that is being established within the framework of the Interagency Working Group on FIVIMS (IAWG-FIVIMS). At the national level, the GIEWS has assisted in the design and establishment of a national level FIVIMS in **Papua New Guinea**. The GIEWS has provided its full worldwide GIEWS workstation database to FIVIMS.

- **Rapid assessment missions**

The GIEWS missions usually visit countries facing exceptional food emergencies or where donor-assisted local purchases are envisaged. In recent years, an average of 30 missions per year have been fielded. The missions make an independent assessment of locally generated information, checking the reliability of official data by assessing crops and interviewing farmers. Reports are quickly reviewed and edited at HQ, with a target of dispatching succinct reports to the international community within ten working days of the missions’ return to Rome. Staff visits and FAO Crop Assessment Missions are usually dispatched during or shortly before crop harvesting. Working with local agricultural authorities, these missions collect and compile information on the current crop situation. Joint FAO/WFP CFSAMs also examine other aspects of supply and demand and food assistance requirements. WFP calculates how much relief food assistance is needed by the most vulnerable people. The GIEWS also participates in inter-Agency missions, under the auspices of OCHA. FAO’s Special Relief Operations Service and Policy Coordination Service are informed if there is a need for rapid intervention for agricultural inputs and rehabilitation and follow-up missions arranged. In some cases joint FAO/WFP CFSAMs are undertaken with the Special Relief Operations Service in the immediate aftermath of a disaster.

- **Workstation**

The GIEWS Workstation consists of customized tools that include country cereal balance sheets, software for the display and analysis of maps and satellite images, and an electronic news service. The Workstation is linked to a unique reference database with pertinent information on food security at global, regional, national and subnational levels. This allows GIEWS analysts to consult various crop calendars, crop statistics, administrative maps, and demographic information. Using the Workstation’s satellite image analysis and map overlay functions, GIEWS analysts can assess rainfall and vegetation conditions in areas important for staple food crops and pastoral lands. GIEWS has encouraged the use of the Workstation and has made the system freely available to national early warning institutions.

- **Reports**

The GIEWS’ core publications are “Food Outlook”, “Food crops and Shortages” and “Food Supply Situation and Crop Prospects in Sub-Saharan Africa”. Numerous special alerts and special reports are also produced. The GIEWS’ publications are freely available to all institutions and individuals and are posted on the internet at www.fao.org.

FAO early warning systems for transboundary animal and plant pests and diseases

(See <http://www.fao.org/empres>)

1. Introduction

Agricultural pests and diseases often migrate or spread across borders and cause major losses and emergencies. In the past, such damage has on occasions been catastrophic, leading to famines and sometimes triggering trade restrictions. Developing countries are frequently unable to react sufficiently quickly to such events and extensive emergency operations as well as international assistance becomes necessary.

2. FAO early warning systems

The current set up of early warning systems for transboundary pests and diseases is quite complex and reflects evolution in the context of emerging threats and institutional configurations both inside and outside FAO. Currently, there are two linked elements of early warning in FAO: the Emergency Prevention System for Transboundary Animal and Plant Pests and Diseases (EMPRES) and the Global Early Warning System for Transboundary Animal Diseases (GLEWS).

3. EMPRES

In 1994 FAO established EMPRES for transboundary animal and plant pests and diseases in order to minimize the risk of such emergencies developing. Initial priority was given to two transboundary pest and diseases problems: animal diseases and locusts.

3.1 Desert locust component

Since recorded history, the desert locust has been a serious threat to the food security of parts of Africa, the Near East and Southwest Asia. The locust is a very dynamic and fast moving pest which often requires large-scale control operations. In order to meet this challenge, FAO joined forces with affected countries, regional organizations and donors in a collaborative effort to develop improved surveillance and control strategies.

There have been two major geographical areas of operation of the EMPRES Desert Locust Component: the Central and the Western Regions.

In the Central Region, the EMPRES programme became operational in early 1997. This is the region where most Desert Locust plagues have originated from in the past. Nine frontline countries along both sides of the Red Sea and in the Arabian Peninsula are included in the programme. The third phase of EMPRES as a donor-funded programme finished at the end of 2006. In order to ensure sustainability, since this time, EMPRES has been handled by the *FAO COMMISSION FOR CONTROLLING THE DESERT LOCUST IN THE CENTRAL REGION (CRC)*. There are 16 member countries in the CRC with a Secretariat based in Cairo.

The Western Region of the Desert Locust distribution area comprises a further nine frontline countries. The EMPRES programme became operational in this region in 2006. The programme's activities and management are closely linked to the *FAO COMMISSION FOR CONTROLLING THE DESERT LOCUST IN THE WESTERN REGION (CLCPRO)* based in Algiers and there is an EMPRES office in Dakar, Senegal.

3.2 Animal disease component

Major transboundary livestock diseases may place a serious burden on the economies of the countries in which they occur. Key diseases tracked by EMPRES include Highly Pathogenic Avian Influenza, African Swine Fever, Contagious Bovine Pleuropneumonia, Foot and Mouth Disease, Haemorrhagic Septicaemia, Rift Valley Fever, Rinderpest, Classical Swine Fever and Peste des Petits Ruminants.

These diseases are among the most contagious and economically and socially damaging. Since July last year, the early warning generated by this part of EMPRES has fed directly into GLEWS – see next section for more details.

4. Global Early Warning System for Transboundary Animal Diseases (GLEWS)

Launched at the end of July 2006, the GLEWS is the first joint early warning and response system conceived with the aim of predicting and responding to animal diseases (including zoonoses – i.e. animal diseases that can be transmitted to humans) worldwide. This system builds on the added value of combining and coordinating the tracking, verification and alert mechanisms of OIE, FAO and WHO. Amongst other things, GLEWS is the main mechanism through which early warning for Avian Flu is articulated.

The overall aim of GLEWS is to “*improve the early warning and response capacity to animal disease threats of the three sister organizations for the benefit of the international community*”.

Within this, FAO is continuing to promote national and regional disease surveillance and monitoring systems, the development of contingency plans, good emergency management practices and technology transfer. FAO is also continuing to develop strategies and guidelines for the prevention and control of diseases and improved husbandry practices – working with WHO and OIE as relevant. FAO/EMPRES continues to communicate additional data and information which has a bearing on the occurrence and impact of animal diseases or infections (climatic factors, price differential across borders, displacement of people and their livestock) to GLEWS to improve control and prevention.

Contacts

Desert Locust Component of EMPRES:

- Christian Pantenius: christian.pantenius@fao.org

Animal Health Early Warning in FAO:

- Juan Lubroth (Head EMPRES- Livestock): Juan.Lubroth@fao.org
- Stéphane de la Roque (GLEWS Manager): Stephane.DeLaRocque@fao.org
- Julio Pinto (GLEWS): Julio.Pinto@fao.org
- Sophie von Dobschuetz (GLEWS): Sophie.vonDobschuetz@fao.org

Shipment of samples to FAO Reference Centres- Veterinarian Diagnostic Laboratories:

- EMPRES-Shipping-Service@fao.org

The Famine Early Warning Systems Network (FEWS NET)

(See <http://www.fews.net>)

The FEWS NET started in Africa in the 1980s. Its main initial focus was warnings of the impact of natural hazards – in particular drought – on rural areas and peoples. This is still a core area of business, although over the years the FEWS NET has diversified the range of countries and types of hazards covered. Since 2001, vulnerability to food insecurity and livelihood analysis has become much more important in its work.

The FEWS NET offers a range of information products, tools and services to provide decision-makers with the up-to-date information necessary to avert or mitigate the impact of a food security shock. Products include regular and ad hoc food security updates and briefings; analysis of remotely-sensed and ground-based early warning data; baseline vulnerability assessments and technical assistance to Sub-Saharan Africa's national and regional early warning systems to promote sustainability by capacity-building. Areas of assistance include early warning techniques and tools, food security and vulnerability assessment methods and contingency and response planning. FEWS NET is funded by USAID.

Countries covered:

- **Asia:** Afghanistan
- **Africa:** Angola, Burkina Faso, Chad, Djibouti, Eritrea, Ethiopia, Kenya, Malawi, Mali, Mauritania, Mozambique, Niger, Nigeria, Rwanda, Senegal, Somalia, South Sudan, Tanzania, Uganda, Zambia, Zimbabwe
- **The Americas:** Haiti, Guatemala, Honduras, Nicaragua.

What is food security and vulnerability monitoring and analysis?

In addition to activities that are concentrated in one part of the emergency cycle, certain types of information gathering and analyses are used in various or all parts of the cycle. These types collect information on the food security/livelihood and vulnerability status of populations before, during and after crisis.

From the perspectives of FAO country representations, there are three key sources of such information as follows:

- FIVIMS;
- Vulnerability Assessment and Mapping (VAM); and
- IPC

The FIVIMS is not specifically related to emergencies, but information systems covered under this general heading can and do generate data relevant for emergencies. VAM and IPC are more specifically focussed on emergency situations.

1. FOOD INSECURITY AND VULNERABILITY INFORMATION AND MAPPING SYSTEMS (FIVIMS)

(See www.fivims.net / E-mail: FIVIMS-Secretariat@fao.org)

The FIVIMS are any systems that assemble, analyse and disseminate information on who the food insecure are, where they are located and why they are food insecure, nutritionally vulnerable or at risk. The WFS Plan of Action (WFS, Rome, November 1996) recommended that such systems be established at the global, national and subnational levels in efforts to achieve Summit goals of reducing undernutrition and achieving food security for all.

The idea behind FIVIMS is that improved information can be actively used to produce better results in efforts to reduce the number of undernourished and achieve food security for all. The acronym FIVIMS refers to the overall framework and the concepts and ideas associated with it and not to any one particular system or network of systems.

The FIVIMS is a framework within which a wide range of activities may be carried out at both national and international levels in support of improved information to achieve WFS goals.

National level

At the national level, FIVIMS is implemented through a network of information systems that gather and analyze data relevant for measuring and monitoring food insecurity and vulnerability. This network is collectively referred to as a national FIVIMS.

International level

At the international level, FIVIMS is implemented through a diverse programme of activities that aim to support national FIVIMS and establish a common database and information exchange network, referred to as global FIVIMS

Coordination of the FIVIMS programme

The IAWG-FIVIMS was set up as the mechanism to oversee the development of FIVIMS. Participation in the IAWG has now increased to 28 organizational members, of which 14 belong to the UN System. IAWG-FIVIMS has its permanent Secretariat at FAO.

At national level the development of FIVIMS is promoted by members of the IAWG through the UN Resident Coordinator System as well as the thematic groups of the United Nations System Network on rural development and food security. Thematic groups in 16 countries have identified the development of national FIVIMS as a priority in their work plan for this year.

National FIVIMS focal points

Member countries of the Committee on World Food Security (CFS) have been requested to designate national focal points for FIVIMS. The main functions of these focal points are to establish a collaborative mechanism involving all operating systems that produce or use information and statistics relevant to FIVIMS.

The FIVIMS will make a major contribution to the common UN country planning process through the Common Country Assessment (CCA) and the United UNDAF exercises.

Core functions of FIVIMS

- Development of a consensus among donors and technical agencies on best practices in food security information system efforts at country level and across a variety of socio-economic circumstances.
- Insistence on greater coordination among donor and technical agency efforts in food security information system work, especially in the poorest countries, since duplication of effort can not be justified.
- Linking information systems to remedial action programmes and evaluating the impact of these combined programmes on real reductions over time in the number of undernourished (in the shorter run) and the number of the poor and vulnerable (in the longer run).

Key information systems linked to or part of FIVIMS

The following important information systems are linked to or are under the umbrella of FIVIMS. They can provide a very useful picture of the pre-crisis situation in countries hit by crises and some may be used for assessing recovery from crises.

GeoNetwork is an integral part of the spatial information infrastructure being developed by FAO, which aims to improve access to and integrated use of spatial information to aid decision-making for sustainable development among FAO member countries and stakeholders using the internet as an interoperable information exchange mechanism between UN agencies, intergovernmental organizations and NGOs.

FAO Country Profiles and Mapping Information System

The FAO Country Profiles and Mapping Information System is a pioneering information retrieval tool which groups the organization's vast archive of information on its global activities in agriculture and development in a single area and catalogues it exclusively by country.

The Global Information and Early Warning System

GIEWS operating within FAO is concerned with many issues relevant to national FIVIMS. National information can be quickly located through GeoWeb, a web-based application that allows access to various information. It also contains databases with information that are directly applicable to FIVIMS and that focus specifically on countries in Africa.

WHO Global Database on Child Growth and Malnutrition

The WHO Global Database on Child Growth and Malnutrition is a standardised compilation of child growth and malnutrition data from nutritional surveys conducted around the world since 1960.

FAOSTAT

FAOSTAT is a collection of on-line and multilingual databases currently containing over one million time-series records covering international statistics in the areas of production, trade, food balance sheets, fertilizer and pesticides, land use and irrigation, forest and fishery products, population, agricultural machinery and food aid shipments.

FAO's Nutrition Country Profiles

The Nutrition Country Profiles (NCPs) provide concise analytical summaries describing the food and nutrition situation in individual countries, with background statistics on food-related factors, such as agricultural production, and selected economic and demographic indicators. The profiles present consistent and comparable statistical data in a standard format. This format combines graphics, tables and maps.

Global GIS Database on Poverty and Food Insecurity

A Joint initiative by FAO, UNEP and the Consultative Group on International Agricultural Research (CGIAR) to promote the use of poverty maps in policy making and targeting assistance, particularly in the areas of food security and environmental management. This site offers you access to:

- a global spatial database of poverty and environment indicators;
- a comprehensive library of publications, newsletters, and articles related to poverty and the environment;
- links to finding additional information; and
- specific information on food security, poverty, and the environment, including case studies from nine developing countries.

Demographic and Health Surveys (DHS)

The DHS database provides data on many key indicators of population and health. It includes information on the status and content of ongoing and past surveys.

Living Standards Measurement Study (LSMS)

The WB's LSMS database provides access to datasets, documents and questionnaires for measuring and understanding poverty.

African Household Survey Databank

A WB Databank for identifying, locating and accessing survey and census data for African countries.

Poverty Monitoring Database

A WB database providing quick access to comprehensive poverty information with six components:

- household Surveys: Information on income/consumption surveys conducted recently;
- social Indicators: country tables with data on 32 basic indicators;
- poverty assessment summaries: summaries of poverty assessments conducted by the World Bank since 1993;
- participatory poverty assessments: information on participatory poverty assessments;
- new surveys: news on upcoming surveys, studies and poverty assessments; and
- links to other sites: links to several online databases.

FIVIMS Tools and Tips

FIVIMS Tools and Tips is a set of maps and methodological tools developed by FAO's Food Security and Agricultural Projects Analysis Service (ESAF) as a contribution to the FIVIMS initiative, to help in the promotion and development of national FIVIMS.

Key Indicator Mapping System (KIMS)

The KIMS is a tool developed for national and international FIVIMS partners to help in presenting and mapping key indicators of food insecurity and vulnerability. It is a software system for data-sharing, the mapping of key indicators, information retrieval and dissemination.

Key Indicator Data System (KIDS)

FIVIMS is in the process of developing the KIDS in collaboration with FAO. KIDS is an internationally comparable database of key indicators that can improve the ability of governments, civil society, international donors, and others to understand the causes of food insecurity and vulnerability and prepare strategies and programmes to deal with these problems.

2. VULNERABILITY ANALYSIS AND MAPPING (VAM)

(See www.wfp.org / E-mail: Joyce.Luma@wfp.org)

VAM is a systematic set of methods and tools to assess and map food security and vulnerability. The primary goal of VAM is to provide timely, accurate and relevant information to WFP operations about the nature of food insecurity and vulnerability among the hungry poor. In addition, however, the information generated by VAM is useful for other agencies concerned with food security. VAM operates in 43 countries.

What Does VAM do?

VAM uses a variety of information sources and analytical methods which feed into WFP programming. A number of different sources of information are involved including:

- satellite images showing agro-climatic conditions;
- secondary data on education, health and nutrition status;
- market prices;
- face-to-face discussions with members of food insecure communities; and
- household coping behaviours, such as selling off livestock or jewellery to buy food.

This information gathering and analysis is geared to helping the WFP decision-making process, and reducing the incidence and severity of food insecurity and vulnerability to hunger. While specifically designed to help WFP make key programming decisions, VAM products also support the complementary information needs of the international community.

VAM activities aim to assess the food security and vulnerability situation in a country before, during and after a crisis; they also provide a framework for continually assessing the food security and vulnerability status of WFP beneficiaries.

Before the crisis: Baseline vulnerability and food security assessments support WFP's disaster mitigation and contingency planning. They detail the risks faced by different population groups, the likely impact of a natural or man-made disaster and individual families' capacity to cope. Through monitoring, VAM activities can also help WFP to identify emerging trends and eventual threats to households who risk becoming food insecure.

During the crisis: In the initial stages of an emergency, there is an urgent need for information about the quantity of emergency aid needed. Standard WFP emergency needs assessments help answer this question. After initial emergency assessments are completed, there is an opportunity to develop more systematic profiles using an Emergency Vulnerability Analysis. This helps to better target beneficiaries, identifying when food aid is needed, for how long, and the most appropriate means for distributing it.

After the crisis: Vulnerability monitoring helps WFP shift the focus of its operations from relief to recovery by detecting changes in the food security conditions of beneficiaries receiving emergency food aid.

3. INTEGRATED FOOD SECURITY AND HUMANITARIAN PHASE CLASSIFICATION SCHEME (Policy Brief, June 2006, ISSUE 3)

Since February 2004, FAO, through the Food Security Analysis Unit (FSAU) Somalia, has been developing the Integrated Food Security and Humanitarian Phase Classification (IPC) - a tool for improving analysis and decision making in emergency situations.

The IPC tool is a standardised scale that integrates food security, nutrition and livelihood information into a clear statement about the severity of a crisis and implications for humanitarian response. The IPC reference table (see table 1 on the next page) provides details of the main phase categories: (1) generally food insecure; (2) chronically food insecure; (3) acute food and livelihood crisis; (4) humanitarian emergency; and (5) famine/humanitarian catastrophe.

The rationale for the IPC is to provide:

Technical consensus and a common language: The framework helps build consensus by providing a common language for classifying the severity of diverse crisis scenarios and their impact on human lives and livelihoods. It builds on and complements ongoing global efforts to standardize core elements of humanitarian analysis and response including the Standardized Monitoring and Assessment of Relief and Transitions (SMART), Benchmarking, NAF, Humanitarian Tracking System and Sphere Project.

Clearer early warning: The framework promotes timely and meaningful analysis to ensure that early warning information influences decision-making and does not go unheeded. Hazard and vulnerability are accounted for and incorporated into risk statements. Three levels of risk are operationalized, including alert, moderate and high.

Strategic response: The IPC supports more effective response strategies by linking information with a strategic response framework. The IPC not only references criteria for defining the severity of a given crisis, but also explicitly links a statement to appropriate responses for addressing both immediate priorities and medium to longer term requirements. This allows for a consideration of what responses are most appropriate and feasible in different scenarios in the light of, for example, local capacity and ongoing interventions.

Application of the IPC: Somalia

The IPC consists of a core Reference Table and supporting components including:

- **Analysis templates:** To organize key pieces of information in a transparent manner and facilitate analysis for substantiating a phase classification and guiding response analysis.
- **Cartographic protocols:** A set of standardized mapping and visual communication tools which effectively convey key information concerning situation analysis in a single map.
- **Population tables:** To consistently and effectively communicate population estimates by administrative boundaries, livelihood systems and livelihood zones.

The two main elements of the IPC consist of a situation analysis and a response analysis.

Situation analysis is a critical yet often overlooked stage of the food security-analysis response continuum. Situational analysis is the basis for identifying fundamental aspects of a situation (severity, causes, magnitude, etc.). Ideally, the analysis is backed by a broad-based consensus among key stakeholders including governments, UN and NGO agencies, donors, the media and target communities.

Response analysis explicitly links situation analysis to the design of appropriate strategic food security interventions. It aims at bridging the gap between needs assessment and decision making by promoting a broad range of responses including:

- mitigating immediate outcomes;
- supporting livelihoods; and
- addressing underlying and structural causes of food insecurity.

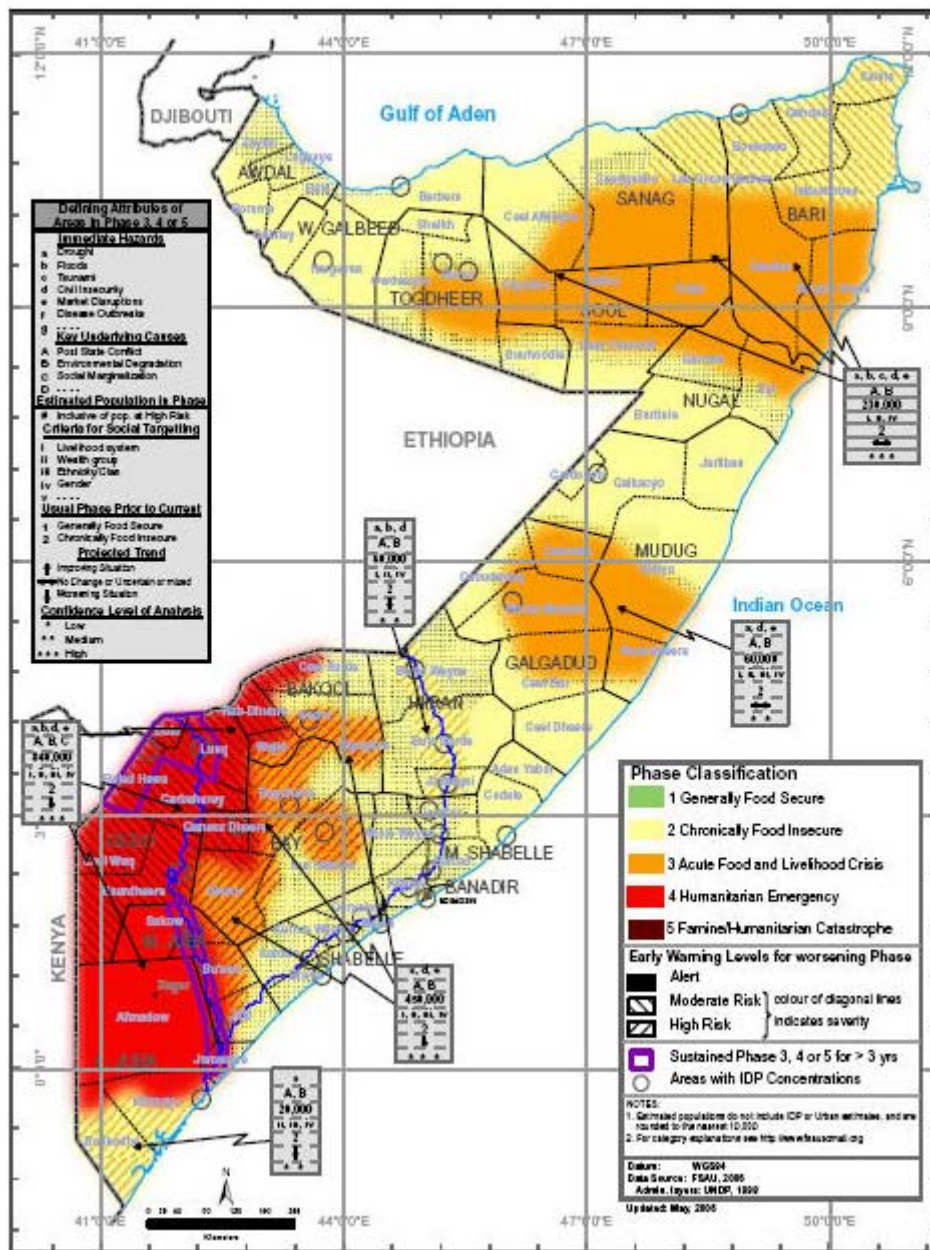
Table 1: Integrated Food Security and Humanitarian Phase Classification Reference Table

| Phase Classification | Key Reference Outcomes (current or imminent outcomes on lives and livelihoods; based on convergence of evidence) | Strategic Response Framework (mitigate immediate outcomes, support livelihoods, and address underlying/structural causes) |
|--|---|---|
| 1 Generally Food Secure | <p>Crude Mortality Rate < 0.5 / 10,000 / day</p> <p>Acute Malnutrition <3 % (w/ <-2 z-scores)</p> <p>Stunting <20% (w/age <-2 z-scores)</p> <p>Food Access/ Availability usually adequate (> 2,100 kcal ppp day), stable</p> <p>Dietary Diversity consistent quality and quantity of diversity</p> <p>Water Access/Avail. usually adequate (> 15 litres ppp day), stable</p> <p>Hazards moderate to low probability and vulnerability</p> <p>Civil Security prevailing and structural peace</p> <p>Livelihood Assets generally sustainable utilization (of 5 capitals)</p> | <p>Strategic assistance to pockets of food insecure groups</p> <p>Investment in food and economic production systems</p> <p>Enable development of livelihood systems based on principles of sustainability, justice, and equity</p> <p>Prevent emergence of structural hindrances to food security</p> <p>Advocacy</p> |
| 2 Chronically Food Insecure | <p>Crude Mortality Rate <0.5/10,000/day; USMR<1/10,000/day</p> <p>Acute Malnutrition >3% but <10 % (w/ <-2 z-score), usual range, stable</p> <p>Stunting >20% (w/age <-2 z-scores)</p> <p>Food Access/ Availability borderline adequate (2,100 kcal ppp day); unstable</p> <p>Dietary Diversity chronic dietary diversity deficit</p> <p>Water Access/Avail. borderline adequate (15 litres ppp day); unstable</p> <p>Hazards recurrent, with high livelihood vulnerability</p> <p>Civil Security Unstable; disruptive tension</p> <p>Coping 'insurance strategies'</p> <p>Livelihood Assets stressed and unsustainable utilization (of 5 capitals)</p> <p>Structural Pronounced underlying hindrances to food security</p> | <p>Design & implement strategies to increase stability, resilience and resilience of livelihood systems, thus reducing risk</p> <p>Provision of 'safety nets' to high risk groups</p> <p>Interventions for optimal and sustainable use of livelihood assets</p> <p>Create contingency plan</p> <p>Redress structural hindrances to food security</p> <p>Close monitoring of relevant outcome and process indicators</p> <p>Advocacy</p> |
| 3 Acute Food and Livelihood Crisis | <p>Crude Mortality Rate 0.5-1 /10,000/day; USMR 1-2/10,000/day</p> <p>Acute Malnutrition 10-15 % (w/ <-2 z-score), > than usual, increasing</p> <p>Disease epidemic; increasing</p> <p>Food Access/ Availability lack of entitlement; 2,100 kcal ppp day via asset stripping</p> <p>Dietary Diversity acute dietary diversity deficit</p> <p>Water Access/Avail. 7.5-15 litres ppp day, accessed via asset stripping</p> <p>Destitution/Displacement emerging; diffuse</p> <p>Civil Security limited spread, low intensity conflict</p> <p>Coping 'crisis strategies'; CSI > than reference; increasing</p> <p>Livelihood Assets accelerated and critical depletion or loss of access</p> | <p>Support livelihoods and protect vulnerable groups</p> <p>Strategic and complimentary interventions to immediately ↑ food access/availability AND support livelihoods</p> <p>Selected provision of complimentary sectoral support (e.g., water, shelter, sanitation, health, etc.)</p> <p>Strategic interventions at community to national levels to create, stabilize, rehabilitate, or protect priority livelihood assets</p> <p>Create or implement contingency plan</p> <p>Close monitoring of relevant outcome and process indicators</p> <p>Use 'crisis as opportunity' to redress underlying structural causes</p> <p>Advocacy</p> |
| 4 Humanitarian Emergency | <p>Crude Mortality Rate 1-2 / 10,000 / day, >2x reference rate, increasing; USMR > 2/10,000/day</p> <p>Acute Malnutrition >15 % (w/ <-2 z-score), > than usual, increasing</p> <p>Disease pandemic</p> <p>Food Access/ Availability severe entitlement gap; unable to meet 2,100 kcal ppp day</p> <p>Dietary Diversity Regularly 2-3 or fewer main food groups consumed</p> <p>Water Access/Avail. < 7.5 litres ppp day (human usage only)</p> <p>Destitution/Displacement concentrated; increasing</p> <p>Civil Security widespread, high intensity conflict</p> <p>Coping 'distress strategies'; CSI significantly > than reference</p> <p>Livelihood Assets near complete & irreversible depletion or loss of access</p> | <p>Urgent protection of vulnerable groups</p> <p>Urgently ↑ food access through complimentary interventions</p> <p>Selected provision of complimentary sectoral support (e.g., water, shelter, sanitation, health, etc.)</p> <p>Protection against complete livelihood asset loss and/or advocacy for access</p> <p>Close monitoring of relevant outcome and process indicators</p> <p>Use 'crisis as opportunity' to redress underlying structural causes</p> <p>Advocacy</p> |
| 5 Famine / Humanitarian Catastrophe | <p>Crude Mortality Rate > 2/10,000 /day (example: 6,000 /1,000,000 /30 days)</p> <p>Acute Malnutrition > 30 % (w/ <-2 z-score)</p> <p>Disease pandemic</p> <p>Food Access/ Availability extreme entitlement gap; much below 2,100 kcal ppp day</p> <p>Water Access/Avail. < 4 litres ppp day (human usage only)</p> <p>Destitution/Displacement large scale, concentrated</p> <p>Civil Security widespread, high intensity conflict</p> <p>Livelihood Assets effectively complete loss; collapse</p> | <p>Critically urgent protection of human lives and vulnerable groups</p> <p>Comprehensive assistance with basic needs (e.g. food, water, shelter, sanitation, health, etc.)</p> <p>Immediate policy/legal revisions where necessary</p> <p>Negotiations with varied political-economic interests</p> <p>Use 'crisis as opportunity' to redress underlying structural causes</p> <p>Advocacy</p> |

Early Warning

| Early Warning Levels | Probability / Likelihood (of worsening Phase) | Severity (of worsening phase) | Reference Hazards and Vulnerabilities | Implications for Action |
|----------------------|---|---|--|---|
| Alert | As yet unclear | Not applicable | <p>Hazard: occurrence of, or predicted event stressing livelihoods; with low or uncertain vulnerability</p> <p>Process Indicators: small negative change from normal</p> | Close monitoring and analysis |
| Moderate Risk | Elevated probability / likelihood | Specified by predicted Phase Class, and as indicated by color of diagonal lines on map. | <p>Hazard: occurrence of, or predicted event stressing livelihoods; with moderate vulnerability</p> <p>Process Indicators: large negative change from normal</p> | <p>Close monitoring and analysis</p> <p>Contingency planning</p> <p>Step-up current Phase interventions</p> |
| High Risk | High probability; more likely than not | Specified by predicted Phase Class, and as indicated by color of diagonal lines on map. | <p>Hazard: occurrence of, or strongly predicted major event stressing livelihoods; with high vulnerability</p> <p>Process Indicators: large and compounding negative changes</p> | <p>Preventative interventions—with increased urgency for High Risk populations</p> <p>Advocacy</p> |

Map 1: Somalia Situation Analysis, Post Deyr 2005/06 Projection, January 2006 through June 2006



Application of the IPC in Somalia: Situation analysis

The IPC builds upon internationally accepted standards and classifications to support a holistic evidence-based approach to analysis. The IPC highlights the need for systematic baseline and pre-crisis food security information as a basis for assessment in countries that are likely to face recurrent disasters and protracted crises.

Map 1 is a visual representation (cartographic protocol) of the IPC classification system based on the FSAU's recent food security projection for the 2005/06 *Deyr* season. The map brings the following unique aspects of the IPC for food security situation analysis into focus:

Key aspects incorporated into this map include:

Severity (phase classification): The IPC includes the complete spectrum of food security situations – from general food security to famine. It emphasizes the need for food security interventions during all phases, not just when an emergency breaks out. The inclusion of the Acute Food and Livelihood Crisis (Phase 3) underlines the importance of understanding livelihood dynamics and their links to food security.

Geographic coverage: The Livelihood Zone is the IPC's core unit for spatial analysis. An analysis of livelihood zones allows for a better understanding of how people within a given livelihood system typically source their food and income and what their expenditure patterns and coping strategies are. The Household Economy Approach (HEA) developed by Save the Children – United Kingdom and the Food Economy Group is especially pertinent for this analysis. Livelihood assets, such as the key reference characteristic, are accounted for and highlight how livelihood endowments interact with institutions to enable (or undermine) livelihoods.

Immediate and proximate causes: The attributes of a given crisis are defined and based on an understanding of hazards, vulnerabilities and underlying causes. In particular, the framework incorporates risk, which indicates the probability of a hazard event, exposure, and specific vulnerabilities of livelihood systems.

Projected trend/scenarios: While the phase classification describes the current or imminent situation for a given area, early warning levels are used as a predictive tool for communicating the risk of a worsening phase.

Application of the IPC in Somalia: Response options

The operational value of the IPC lies not only in referencing criteria for a consistent situation analysis, but also in explicitly linking that statement to appropriate responses that build on the FAO twin-track approach. The twin-track approach combines broad-based, sustainable agricultural growth and rural development with targeted programmes for enhancing direct access to food for the most needy.

The response framework addresses both immediate needs and medium and longer term responses by meeting three broad objectives: mitigate immediate outcomes; support livelihoods and address underlying and structural causes

The inclusion of the 'response options' component ensures that responses are better tailored to specific situations. The response options component thus marks a departure from deficit driven modes of assessment, where 'humanitarian needs' are seen as deficits requiring immediate goods and services. Often, this may increase risk and vulnerability or undermine the resilience of the food economy.

Additionally, the introduction of response analysis requires emergency assessments to prioritize different response options based on a closer examination of situation-specific opportunities and constraints.

Future applications of the IPC

At the regional and international levels, the IPC tool informs deliberations beyond the Somalia context. For example, it has recently been applied as an analytical tool in the Horn of Africa drought crisis. The tool has been of particular interest to the IASC and to OCHA. In addition, the IPC may help inform joint FAO and WFP efforts in contributing to the Needs Analysis Framework of the UN Consolidated Appeals process for 2006. Moving forward, the IPC contributes to the development of appropriate response protocols and information systems within FAO through the FAO Netherlands Partnership Programme and the EC-FAO Food Security Information for Action Programme.

Further Reading

FAO/FSAU 2006. Integrated Food Security and Humanitarian Phase Classification: Technical Manual Version 1. Nairobi, FAO/FSAU Technical Series IV.11

What is a National Medium-Term Priority Framework (NMTPF)?

1. What is an NMTPF?

An NMTPF is a planning and management tool for FAO's interventions at country level. It outlines how FAO can best assist the country in meeting its agricultural, food security and rural development priorities, including MDG targets. An NMTPF is a short document that describes jointly-agreed, medium-term priorities for government – FAO collaboration.

The NMTPFs build upon key national development frameworks, including PRSs and MDGs. The NMTPF does not substitute or duplicate such documents but provides a clear definition of what part of these frameworks FAO is best-placed to contribute to, taking into account what the government and development partners are already doing or are committed to do. As such, the NMTPF is an operationalization of (a part of) the broader PRS framework.

NMTPF is FAO's input into the UN Common Country Programming Process. Therefore, as soon as a UN Common Country Programming cycle starts, the FAOR is encouraged to initiate preparing simultaneously an NMTPF.

As a result, the NMTPF provides a clear perspective of FAO's role and priority actions in the development process of a country. The government, being the 'owner' and 'leader' of external assistance for its development efforts, can therefore expect to get the best out of FAO assistance.

2. Are NMTPFs useless in emergency-dominated countries?

In countries where the emergency is the result of civil strife and political instability, it is often assumed that it is not possible to plan in the medium-term. However, given the strong nexus between politics, security and development (failure in any one sphere risks failure in all others), external support must be calibrated, even more than in 'stable' countries, to particular country circumstances. In particular, offering a sense of direction in re-establishing food security and addressing agriculture and rural development needs, while satisfying basic needs in the short-term, offers a perspective that can contribute to badly needed stabilisation. Through NMTPF, FAO can make a significant contribution to linking relief operations with rehabilitation and development and help re-build what fragile states need most: stable institutions and strengthened national capacities.

It is therefore important to engage in joint prioritization and consensus building with the government, UN system, donors and other partners, to facilitate the evolution from relief and rehabilitation to development. In particular, the NMTPF process is also an opportunity to support the government in strengthening/building national Disaster Risk Management systems, including integrating disaster risk reduction into sustainable recovery planning and strengthening national and local preparedness for emergency response (*see Note "FAO's role in Disaster Risk Reduction" section 5. How could FAO engage in improving Disaster Risk Reduction*).

3. How to prepare an NMTPF?

Guiding principles for preparing an NMTPF. They are:

- driven by country needs and government's priorities relevant to the agriculture, fisheries and forestry sectors and food security issues. Where adopted, the PRSs will mark the starting point in the NMTPF process;
- based on the nationally-owned development agenda and are in alignment with the national programming process to the maximum extent possible;
- agreed upon together with governments to ensure full government ownership of development processes and assistance in agriculture, food security and rural development in general and FAO's assistance in particular;
- complementary to assistance provided by other development partners in general and, that provided by other UN partners (as outlined in the UNDAF) in particular; and

- focused on a limited set of priorities where FAO's assistance would have the greatest impact and for which there would likely be some funding;

Process for preparing an NMTPF

The preparation of an NMTPF is an iterative process, for which the FAOR is the driver. A four-step approach is encouraged:

- *First step: situation analysis.* This step mainly includes analytical work aiming at identifying how to better position the FAOR role and areas of intervention in-line with country profile, partners role, specific gaps to be filled, FAO's comparative advantages, its past activities and current operational capacity. It includes: (i) review the PRS and other key reference frameworks, as well as the identification of core elements for rural development, agriculture and food security; and (ii) review what FAO has done as well as what the other development partners have planned to deliver.
- *Second step: prioritization of FAO's assistance and constituency building.* This step consists of an iterative consultative process with the government's counterparts, the UNCT and other development partners, as well as FAO technical experts in order to: (i) identify with the government a first set of priority areas for FAO medium-term assistance; (ii) match these areas with FAO's comparative advantages, technical units' programme of work and other partners' programmes; (iii) reach a consensus on a set of priority areas for FAO assistance in the medium-term through a prioritization process; and (iv) identify partnerships to be built in order to maximize this assistance.
- *Third step: drafting of the document.* This step consists of drafting and agreeing on a document.
- *Fourth step: FAO and in-country validation.* This fourth step is the final one which consists of validating the NMTPF document, firstly at the FAO corporate level and secondly in the country.

This in-country consultative process aims at providing support to government counterparts, enabling them to take full ownership of development processes and assistance in the agriculture, fisheries and forestry sectors in general and FAO's assistance in particular. It also aims to build a national constituency through consultations and coordination with donors, concerned UN agencies and other development partners, in particular through the UNDAF process. This constituency will be a key aspect for the implementation of the framework. The FAO country representative, with his/her team, "drives" this process.

The FAO-level consultative process rallies all FAO units to a common set of country priorities, ensures coherence, timeliness and quality of FAO's assistance. This process also guides technical units in planning their normative and technical assistance activities and in allocating corresponding resources.

Who does what?

FAO Representative: The FAOR is responsible for leading the whole NMTPF process. He/she is the driver of the process. She/he is supported in this task by:

- Multidisciplinary teams (MDTs) and in particular the Policy Assistance Officer and the Investment Officer within the team, who have the responsibility for carrying out the first step of the NMTPF preparation phase, the analytical work and coordinating inputs from different technical disciplines, if required by the representative. Technical officers from the regional offices and HQ will support the process if required expertise is not available from the MDT.
- Funding liaison units (TCAP, TCE, TCOT and TCOS) are responsible for providing assistance to the FAOR through: identifying and liaising with donors whose priorities of support coincide with the ones identified in the NMTPF, informing the FAOR of relevant initiatives taken at headquarters whose resources could be tapped or successful activities that could be replicated.

4. Lessons learned

Main lessons regarding the preparation process:

- *Ensure complete alignment with national (PRSPs) and UN (UNDAF) planning processes:* it is preferable to start the NMTPFs in countries where national planning cycles (in particular PRSP) are being initiated, as well as in countries where the UNDAF cycle is starting, as the NMTPF is a tool which enables the FAOR to effectively participate in both. The UNDAF process is generally timed to synchronize with the national development or PRSP cycle but should it be out of line, the NMTPF may be better served by following the national planning calendar.
- *Allow for adequate in-country consultations.* they are key to: (i) build in-country consensus around a set of priorities for FAO assistance in the medium term; (ii) get government ownership in order that it becomes the main advocate of FAO's priority areas of intervention; and (iii) identify future partners both donors and development actors. The constituency-building function of consultations is therefore expected to assist in attracting funding for NMTPF implementation.
- *Involve FAO technical staff from the beginning of the process:* it is important to involve FAO technical staff in the specific country at the beginning of the process to build on the organization's knowledge and ensure that they will support the whole process; there remain some challenges still in ensuring they have an incentive to be closely involved.
- *Internal validation to ensure corporate commitment engaging all segments of the organization:* it is necessary to establish an internal validation mechanism so that NMTPFs are considered a corporate tool for FAO total support to countries.
- *Flexibility:* it is important to establish a procedure for preparing and using NMTPFs that is flexible enough to take into account the evolving political and security situations, economic and social country specificities and past work of the FAOR.
- *Use of TCP facility to immediately start NMTPF implementation:* the TCP facility could be used to rapidly start working on some of the priority areas of the NMTPF, hence demonstrating the capacity of the organization to react quickly.

Main lessons learned regarding the content of the NMTPFs

- *Strategizing/prioritizing:* the application of these concepts meets resistance from governments, FAORs and technical departments. FAO has been operating in a rather opportunistic manner both in terms of accepting requests over the full spectrum of its mandate and in response to what donors are willing to offer money for. The NMTPF focuses FAO's activities on the ones for which it has a comparative advantage. FAO assists the government with building partnerships to cover its food and agriculture assistance needs in other areas. Each ministry tends to identify priorities for its own sector in the framework of the national development plans (e.g. PRSP) and prioritization between ministries is a sensitive exercise. The challenge is to reverse supply-driven approaches and find the right balance between the need to focus on strategic priorities (specific areas of intervention) and the need to keep NMTPFs flexible.
- *FAORs should take leadership with prioritization, with technical staff commenting:* too dominating a role of technical staff in the prioritization process could lead to bias in favour of particular areas of available expertise.
- *Transition period:* ongoing projects should be allowed to run their course even if they are not aligned with NMTPF priority areas for FAO assistance. The convergence into a focused programme may take some time and should avoid disruptions.

5. Remaining challenges

- To use the tool as a planning and management tool and not just as an additional administrative and operational tool. It implies a radical change in the way of working and therefore requires strong training and support to the staff involved, in particular at the country and sub-regional levels.
- To use the tool as a reference for programming both normative and operational in-country activities and not only the latter.
- To devise mechanisms to link prioritization at country level through NMTPF/UNDAF with corporate prioritization through the Programme of Work and Budget (PWB) and Medium-Term Planning (MTP) processes.



Coordination and Funding Mechanisms

Chapter 2

After having read this section you should be able to respond to the following questions:

- *How does a coordinated response to a crisis differ from a not coordinated one?*
- *What is the cluster approach?*
- *What joint programme and funding mechanisms are available to FAO?*
- *What is FAO's role and position within the "coordination system"?*

What is the Inter-Agency Standing Committee (IASC)?

(See <http://www.humanitarianinfo.org/iasc/content/about/default.asp>)

The IASC is a unique inter-agency forum for coordination, policy development and decision-making, involving the key UN and non-UN humanitarian partners. The IASC was established in June 1992 in response to UN General Assembly Resolution **46/182** on the strengthening of humanitarian assistance. General Assembly Resolution **48/57** affirmed its role as the primary mechanism for inter-agency coordination of humanitarian assistance.

Under the leadership of the **Emergency Relief Coordinator (ERC)**, the IASC develops humanitarian policies, agrees on a clear division of responsibility for the various aspects of humanitarian assistance, identifies and addresses gaps in response and advocates for effective application of humanitarian principles.

Together with **Executive Committee for Humanitarian Affairs (ECHA)**, the IASC forms the key strategic coordination mechanism among major humanitarian actors.

Primary objectives

1. To develop and agree on system-wide humanitarian policies.
2. To allocate responsibilities among agencies in humanitarian programmes.
3. To develop and agree on a common ethical framework for all humanitarian activities.
4. To advocate for common humanitarian principles to parties outside the IASC.
5. To identify areas where gaps in mandates or lack of operational capacity exist.
6. To resolve disputes or disagreement about and between humanitarian agencies on system-wide humanitarian issues.

Key principles

- **Overall objective:** The ultimate objective of any decision should be that of improved delivery of humanitarian assistance to affected populations.
- **Respect for mandates:** The decisions of the IASC will not compromise members with respect to their own mandates.
- **Ownership:** All members have an equal ownership of the Committee and its subsidiary bodies.
- **Subsidiarity:** Decisions will be taken at the lowest appropriate level.
- **Impartiality of the Secretariat:** The IASC is serviced by a Secretariat, which does not represent the interests of any member.

Membership

According to General Assembly Resolution 46/182, the IASC should be composed of “*all operational organizations and with a standing invitation to the International Committee of the Red Cross, the International Federation of Red Cross and Red Crescent Societies and the International Organization for Migration. Relevant non-governmental organizations can be invited to participate on an ad hoc basis.*”

In practice, no distinction is made between "Members" and "Standing Invitees" and the number of participating agencies has expanded since inception of the IASC in 1992. In fact, the strength and added value of the IASC lies in its broad membership, bringing together all key humanitarian actors.

With regard to IASC membership, “*operational*” is defined as having the following characteristics:

- provision of humanitarian assistance: political protection or material aid; and
- deployment of staff to assist affected populations with immediate needs.

The IASC's overall objective is inclusive coordination, while maintaining a relatively limited number of “members” to ensure functionality and focus. Membership is subject to a continuous review, and new members are accepted on a case-by-case basis. Organizations aspiring to become members are encouraged to contribute to the work of subsidiary bodies in their area of specialization. Thereby, they can demonstrate their real commitment and potential contribution to the IASC.

FAO's role and involvement in the IASC

★ At global level

The Deputy Director-General participates in the IASC Principals meetings twice a year. The IASC Principals focus on:

- making strategic policy decisions and major operational decisions;
- arbitrating where no consensus can be reached at the Working Group level;
- advocating common humanitarian principles, collectively or individually, on behalf of the IASC;
- approving the general work programme of the IASC and the WG; and
- bringing issues to the attention of the Secretary-General and the Security Council through the ERC.

The Director of TCE participates in the regular meetings of the IASC WG, three to four times a year. The IASC WG has the responsibility for:

- making non-strategic policy and operational decisions;
- preparing options and recommendations for the IASC Principals Meeting on strategic policy issues and major operational issues;
- formulating the agenda of the IASC Principals;
- establishing IASC subsidiary bodies, upon request of the IASC Principals Meeting or as required;
- monitoring and following-up on progress and implementation of IASC guidelines, decisions or action points of the various IASC fora, unless they are dealt with at the IASC Principals level; and
- submitting the annual report on the IASC and its activities for review to the IASC Principals and preparing the annual Work Plan for endorsement by the IASC Principals.

On a regular basis, staff from TCE or from technical divisions participate, through video or teleconferences, in *ad hoc* meetings held in Geneva or New York, whenever FAO is involved or interested in the topic. In all these meetings, FAO is advocating agricultural rehabilitation to restore agriculture-based livelihoods (saving livelihoods is saving life) and to have early recovery considered as an integral part of the humanitarian response from the earliest stage of the response cycle.

★ At field level

The concept of the IASC in the field has been raised for several years. The original intent of promoting IASC Country Teams in the field was to mirror the cooperation between UN and non-UN entities that takes place at headquarters level. The HRR recommended that IASC Field Teams be established. The ERC wrote to HCs asking them to establish IASC Country Teams (IASC CTs).

However, in every field situation, there are multiple coordination mechanisms involving both UN and non-UN humanitarian actors – some deal with sectoral issues; others cover broader coordination issues. At the same time, there is a UN CT that is limited to UN agencies and which does not bring in non-UN agencies.

While IASC CTs are often mentioned, so far there is little clarity on what exactly an IASC CT should do in terms of its role, responsibilities and functions. A discussion is currently ongoing, intending to respond to the following questions:

- What role is an IASC CT, as a whole, expected to play? What roles are individual agency representatives expected to play?
- What level of decisions should an IASC CT take and are the decisions binding?
- What functions should an IASC CT be expected to carry out?
- Is the IASC CT meant to replace the UN CT on humanitarian issues?

What is the cluster approach?

Based on "Guidance Note on using the cluster approach to strengthen humanitarian response" – 24 November 2006

<http://www.humanitarianinfo.org/iasc/content/products/docs/Cluster%20implementation%2C%20Guidance%20Note%2C%20WG66%2C%2020061115-.pdf>

1. Introduction

In international responses to humanitarian crises, some sectors have in the past benefited from having clearly mandated lead agencies, while others have not. This has repeatedly led to *ad hoc*, unpredictable humanitarian responses, with inevitable capacity and response gaps in some areas. Recognizing this, in September 2005 the IASC agreed to designate global "cluster leads" – specifically for humanitarian emergencies – in nine sectors or areas of activity. The IASC Principals also agreed that the cluster approach should be applied, with some flexibility, at the country level.

2. Aim and scope of the cluster approach

At the global level, the aim of the cluster approach is to strengthen system-wide preparedness and technical capacities to respond to humanitarian emergencies by ensuring that there is predictable leadership and accountability in all the main sectors or areas of humanitarian response.

Similarly, at the country level the aim is to strengthen humanitarian response by demanding high standards of predictability, accountability and partnership in all sectors or areas of activity. It is about achieving more strategic responses and better prioritization of available resources by clarifying the division of labour among organizations, better defining the roles and responsibilities of humanitarian organizations within the sectors, and providing the HC with both a first point of call and a provider of last resort in all the key sectors or areas of activity. The success of the cluster approach will be judged in terms of the impact it has on improving the humanitarian response to those affected by crises.

The cluster approach should eventually be applied in all countries with HCs. By definition, these are countries with humanitarian crises which are beyond the scope of any one agency's mandate and where the needs are of sufficient scale and complexity to justify a multi-sectoral response with the engagement of a wide range of humanitarian actors. The cluster approach can be used in both conflict-related humanitarian emergencies and in disaster situations. It should significantly improve the quality of international responses to major new emergencies. Also, although not limited to situations of internal displacement, it should make a significant improvement in the quality, level and predictability of the response to crises of internal displacement and represents a substantial strengthening of the 'collaborative response'.

3. Cluster leadership at the global level

Sectors and categories of population where leadership and accountability amongst international humanitarian actors are already clear are not included among the nine clusters at global level. These include, for example, agriculture, led by FAO; food, led by WFP; refugees, led by UNHCR; and education, led by UNICEF. (In the case of education, there may be some further modification to this, as consultations are underway to clarify the lead at the global level.) In addition to these, as indicated in the table below, cluster leads at the global level have now been designated by the IASC for nine sectors or areas of activity which in the past either lacked predictable leadership in situations of humanitarian emergency, or where there was considered to be a need to strengthen leadership and partnership with other humanitarian actors.

| Global "cluster leads" (As agreed by the IASC Principals in December 2005) | | <i>Global Cluster Lead</i> |
|---|---|----------------------------|
| <i>Sector or Area of activity</i> | | |
| <i>Technical areas:</i> | | |
| 1. Nutrition | | UNICEF |
| 2. Health | | WHO |
| 3. Water/sanitation | | UNICEF |
| 4. Emergency shelter: | <i>Internally displaced persons (IDPs) (from conflict)</i> | UNHCR |
| | <i>Disaster situations</i> | IFRC (Convener)* |
| <i>Cross-cutting areas:</i> | | |
| 5. Camp coord/management: | <i>IDPs (from conflict)</i> | UNHCR |
| | <i>Disaster situations</i> | IOM |
| 6. Protection: | <i>IDPs (from conflict)</i> | UNHCR |
| | <i>Disasters/civilians affected by conflict (other than IDPs)</i> | ** |
| UNHCR/OHCHR/UNICEF | | |
| 7. Early Recovery | | UNDP |
| <i>Common service areas:</i> | | |
| 8. Logistics | | WFP |
| 9. Emerg. telecommunications | | OCHA/UNICEF/WFP |
| <p>* IFRC has made a commitment to provide leadership to the broader humanitarian community in Emergency Shelter in disaster situations, to consolidate best practice, map capacity and gaps and lead coordinated response. IFRC has committed to being a 'convener' rather than a 'cluster lead'. In a Memorandum of Understanding (MoU) between IFRC and OCHA it was agreed that IFRC would not accept accountability obligations beyond those defined in its Constitutions and own policies and that its responsibilities would leave no room for open-ended or unlimited obligations. It has therefore not committed to being 'provider of last resort' nor is it accountable to any part of the UN system.</p> <p>** UNHCR is the lead of the global Protection Cluster. However, at the country level in disaster situations or in complex emergencies without significant displacement, the three core protection-mandated agencies (UNHCR, UNICEF and the Office of the United Nations High Commissioner for Human Rights [OHCHR]) will consult closely and, under the overall leadership of the HC/RC, agree which of the three will assume the role of Lead for protection.</p> | | |

4. Responsibilities of global cluster leads

Complementing arrangements already in place for some sectors or areas of activity, global cluster leads have agreed to be accountable to the ERC for ensuring system-wide preparedness and technical capacity to respond to humanitarian emergencies and for ensuring greater predictability and more effective inter-agency responses in their particular sectors or areas of activity. More specifically, they are responsible for establishing broad partnership bases (i.e. "clusters") that engage in activities in three main areas, as follows:

Standards and policy-setting

- ★ Consolidation and dissemination of standards; where necessary, development of standards and policies; identification of 'best practice'.

Building response capacity

- ★ Training and system development at the local, national, regional and international.
- ★ Levels.
- ★ Establishing and maintaining surge capacity and standby rosters.
- ★ Establishing and maintaining material stockpiles.

Operational support

- ★ Assessment of needs for human, financial and institutional capacity.
- ★ Emergency preparedness and long-term planning.
- ★ Securing access to appropriate technical expertise.
- ★ Advocacy and resource mobilization.
- ★ Pooling resources and ensuring complementarity of efforts through enhanced partnerships.

5. Sector/cluster leadership at the country level

At the country level, sectors and sectoral groups have always existed and they will continue to exist. In the past, however, it was usually the case that only a limited number of sectors had clearly designated lead agencies accountable to the HC. The cluster approach aims to rectify this by ensuring that within the international humanitarian response, there is a clear system of leadership and accountability for *all* the key sectors or areas of humanitarian activity. The cluster approach is intended, therefore, to strengthen rather than to replace sectoral coordination under the overall leadership of the HC, with a view to improving humanitarian response in emergency situations.

Concerning terminology, some humanitarian country teams prefer to speak of “clusters” and “cluster leads”, while others prefer to stick to the more traditional terminology of “sectors”, “sectoral groups” and “sector leads” (or in some cases, “working groups”, “thematic groups” or “task forces”). It should be left to humanitarian country teams to decide on a case-by-case basis on appropriate terminology for the country in question, depending on the working language and agency preferences. To ensure coherence, standard terminology should be used within each country and similar standards should be applied to all the key sectors or areas of humanitarian activity. A “cluster” is essentially a “sectoral group” and there should be no differentiation between the two in terms of their objectives and activities; the aim of filling gaps and ensuring adequate preparedness and response should be the same.

The cluster approach represents a raising of standards in humanitarian response. At the country level, it involves having clearly identified leads (within the international humanitarian community) for all the key sectors or areas of activity, with clearly defined responsibilities for these agencies in their capacities as sector leads.

The HC, in close consultation with the Humanitarian Country Team, is responsible for securing agreement on the establishment of appropriate sectors and sectoral groups, and for the designation of sector leads. This should be based on a clear assessment of needs and gaps, as well as on a mapping of response capacities, including those of the host government, local authorities, local civil society, international humanitarian organizations and other actors, as appropriate.

To enhance predictability, where possible, sector lead arrangements at the country level should be in line with the lead agency arrangements at the global level. This principle should, however, be applied flexibly, taking into consideration the capacities and strengths of humanitarian organizations already operating in the country or region concerned. This may mean that in some cases sector lead arrangements at the country level do not replicate those at the global level. Also, in some cases, it may be appropriate for NGOs or other humanitarian partners to act as sector focal points in parts of the country where they have a comparative advantage or where the cluster lead has no presence.

There may be cases where particular sectoral groups are not needed, or where particular sectors are merged (i.e. health and nutrition, or food and agriculture). In the case of early recovery, the global level cluster is not encouraging humanitarian country teams to establish early recovery sectoral groups at the country level, but rather an early recovery network to ensure that early recovery planning is integrated into the work of all sectoral groups. Where there are early recovery gaps not covered by other sectoral groups, *ad hoc* groups could be set up to address these where necessary.

6. Implication of the cluster approach on FAO coordination role at the country level

The cluster approach at the country level within FAO context comes under the usual coordination role that FAO plays in countries. FAO, through its Emergency Coordination Units (ECUs) and Emergency and Rehabilitation Coordination Units (ERCUs), coordinates emergency agricultural activities of various actors involved in agriculture- and agri-based livelihoods in support to the relevant line ministries, usually the Ministry of Agriculture. This coordination role is made possible through the formation of a group led by FAO gathering the main actors in agriculture including governments, local authorities, UN agencies, NGOs, donors and International Financial Institutions (IFIs). This responsibility is carried out in support

to governments and national authorities and indeed, in many cases these groups are co-led by FAO and the Ministry of Agriculture. The creation of parallel mechanisms should be absolutely avoided.

The leadership of an agriculture sector group is given automatically to FAO owing to its undisputed technical expertise and mandate in the agriculture sector, given FAO's presence and capacity on the ground. With the cluster approach, the usual coordination role of FAO in agriculture remains, with two additional elements explained below (i.e. *accountability* and *provider of last resort*). FAO will remain the sector lead or cluster lead of agriculture. Although agriculture is considered a sector and not a cluster in the cluster approach; however, a sector lead has the same responsibilities as a cluster lead and in many countries sectors and clusters are confounded.

It is worth noting that once a cluster approach is rolled out in a specific country, it is essential that FAO leads or continues leading the agriculture sector or other relevant sectors in that country. FAO should ensure its presence at the beginning of discussions within the country team on the creation and leadership of clusters or sectors. In the event that FAO country office has no capacity to lead a cluster, assistance should be sought from TCE.

In addition to the usual responsibilities of FAO as a coordinator of the agricultural sector (or sector lead of agriculture), two new additional elements have been added to the responsibilities of the cluster/sector leads under the cluster approach which did not exist before the creation of this approach. These two responsibilities are *accountability* and *provider of last resort*. *Accountability* ensures that gaps in response are addressed. At the country level, sector leads are accountable to the HC, for ensuring, to the extent possible, the establishment of adequate coordination mechanisms for the sector or area of activity concerned, adequate preparedness, as well as adequate strategic planning for an effective operational response. However, the cluster leads are not held accountable for the performance of all humanitarian partners operational in that sector. *Provider of last resort* represents a commitment of sector leads to do their utmost to ensure an adequate and appropriate response. This means that where there are critical gaps in humanitarian response, it is the responsibility of sector leads to call on all relevant humanitarian partners to address these. If this fails, then depending on the urgency, the sector lead as provider of last resort may need to commit itself to filling the gap. If however, funds are not forthcoming for these activities, the cluster lead cannot be expected to implement these activities, but should continue to work with the HC and donors to mobilize the necessary resources.

7. What sectors/ clusters can FAO lead at the country level?

Depending on the needs in a specific country, the capacity of FAO and the partnerships FAO has developed in that country, FAO can lead the following sectors:

- **Agriculture sector:** The most common sector for FAO to lead is the agriculture sector. This is a sector where there is no question on FAO's leadership owing to its undisputed technical expertise and mandate in that area.
- **Food security sector:** This sector can be co-led by FAO and WFP or, in agreement between the two organizations, by FAO or by WFP. This happens in countries where FAO and WFP have been working together and where food is not an issue on its own necessitating an independent food sector and where food security is treated as a whole integrating both food and agriculture. This is usually the case in countries where there is chronic food insecurity or in a protracted emergency situation where the two agencies have an established presence and programmes.
- **Agriculture and livelihoods cluster:** In some countries, mainly those affected by a sudden-onset disaster, a livelihoods cluster is created within the cluster approach architecture. If this livelihoods cluster fails to exist independently for a certain reason, FAO can lead a combined agriculture and livelihoods cluster, if the affected livelihoods of the country are mainly agri-based.

What is the UN Disaster Assessment and Coordination Team (UNDAC)?

(See <http://ochaonline.un.org/webpage.asp?Page=552>)

The UNDAC system, managed by the Field Coordination Support Section (FCSS), of OCHA's Emergency Services Branch (ESB), is designed to assist the UN in meeting international needs for early and qualified information during the first phase of a sudden-onset disaster and in the coordination of incoming international relief at national level and/or at the site of the emergency. It also aims at strengthening national and regional disaster response capacity.

The UNDAC system consists of four components:

1. **Staff:** experienced emergency managers made available for UNDAC missions by their respective governments or organizations, together with OCHA staff. UNDAC team members are specially trained and equipped for their task.
2. **Methodology:** predefined methods for the collection and management of information, assessment and structures for coordination support during the first phase of a sudden-onset disaster or emergency.
3. **Procedures:** proven systems to mobilize and deploy a UNDAC team, so that it can arrive within 24 hours at any disaster or emergency site anywhere in the world.
4. **Equipment:** adequate personal and mission equipment for UNDAC teams to be self-sufficient in the field when deployed for disasters/emergencies.

UNDAC GENERIC TERMS OF REFERENCE (as approved by ERC, November 2002)

The UNDAC system is a part of OCHA and is deployed pursuant to a request from an affected government, the ERC, or the RC/HC. It supports the RC/HC and the UNCT by providing technical services, principally in the field of on-site coordination and information dissemination. It aims to facilitate close links between country-level, regional and international response efforts. It assists in meeting international needs for early and qualified information on the situation and, when necessary, in the coordination of international relief at the site of the emergency. UNDAC teams work in close consultation and coordination with the UNCT/Disaster Management Team (DMT) and the IASC.

The following are generic terms of reference (ToRs) for the mission of an UNDAC team, which establish the overall framework for UNDAC deployments. The ERC may, within this framework, modify the ToRs of an UNDAC mission, consulting with the RC/HC and UNCT in the field, depending on the requirements of a given emergency situation.

When on mission, the UNDAC team:

1. assists and works under the authority of the RC/HC, who in turn reports to the ERC when responding to disasters and emergencies. Supports and facilitates the work of the affected government and the UNCT/DMT in country, in the initial response phase of an emergency;
2. reports to the RC/HC and informs him/her and the UNCT/DMT of developments in the emergency situation; and
3. the UNDAC team may provide and disseminate initial information on the material and human dimensions of an emergency with the aim of giving host governments and the international community a broad understanding of the nature and magnitude of an emergency. The UNDAC team will not issue appeals. Any UN appeal will be managed by the RC/HC and the UNCT.

4. While substantive multi-sectoral assessments will normally be made by the host government, UN agencies or qualified members of the IASC, within the framework of RC-UNCT coordination, UNDAC aims to support the host government and UNCT/DMT in facilitating the coordination of initial assessments of both the emergency situation and the international relief requirements stemming from it, with a particular view to ensuring:
 - o the consistency of any preliminary information regarding the nature and scale of the emergency, the preliminary needs assessed and the relief interventions required; and
 - o the coordination of the infrastructure and logistics, including in relation to a possible deployment of United Nations Joint Logistics Centres (UNJLCs).
5. During earthquakes and other emergencies involving collapsed structures where international urban search and rescue teams are deployed, UNDAC may, when requested by the affected government, ERC, RC/HC or the International Search and Rescue Advisory Group (INSARAG), establish a specialized On-Site Operations Coordination Centre (OSOCC) with the local emergency management authorities to enable them to meet the technical needs of coordination of the international urban search and rescue teams.
6. When requested by the affected government, ERC or RC/HC, UNDAC may establish an OSOCC for the effective integration and use of international relief assets in support of the appropriate national emergency management authority.
7. When requested by the affected government, ERC, RC/HC and UNCT to operate in complex emergencies, UNDAC normally deploys and functions with the context of OCHA's surge capacity and operates in close consultation and coordination with the UN operational agencies.
8. The UNDAC team maintains links with and regularly reports on the progress of its mission to the ERC, UNCT/DMT and IASC partners throughout the duration of its mission.
9. As part of a joint effort to enhance system-wide coordination, OCHA will provide regular reports on UNDAC missions and field deployments to the UNDAC Advisory Board and the IASC-WG as required.

What is a Consolidated Appeal Process (CAP)?

(See <http://ochaonline.un.org/webpage.asp?Site=cap>)

The CAP is a programme cycle for aid organizations to plan, coordinate, fund, implement and monitor their response to disasters and emergencies, in consultation with governments.

The CAP contributes significantly to developing a strategic approach to humanitarian action and fosters close cooperation between host governments, donors, aid agencies and, in particular, between NGOs, the Red Cross Movement, IOM and UN agencies. Working together in the world's crisis-affected regions, they produce a CHAP and an appeal for funds.

The Common Humanitarian Action Plan (CHAP)

The CHAP outlines humanitarian action in a given country or region. It provides: (i) analysis of the context in which humanitarian action takes place; (ii) best, worst and most likely scenarios; (iii) analysis of need and a statement of priorities; (iv) roles and responsibilities, i.e. who does what and where; (v) a clear link to longer-term objectives and goals; and (vi) a framework for monitoring the strategy and revising it if necessary.

The CHAP is the foundation for developing a Consolidated Appeal.

The Consolidated Appeals

Consolidated Appeals present a snapshot of situations, response plans, resource requirements and monitoring arrangements. If the situation or people's needs change, any part of an appeal can be revised at any time.

Whenever crises break or natural disasters occur, humanitarian partners develop a Flash Appeal to address people's most urgent needs. This can later become a Consolidated Appeal.

HCs are responsible for preparing the Consolidated Appeals, launched globally by the UN Secretary-General before the beginning of each calendar year. Mid-Year Reviews are presented to donors in July of each year.

Who benefits from the CAP?

People struck by disasters and emergencies count on timely coordinated and effective assistance and protection.

Humanitarian agencies reinforce their ability to plan and respond jointly, efficiently and holistically, thereby enhancing the credibility of humanitarian response.

Governments rely on appeals for a "one-stop" overview of humanitarian action and help ensure that funds are spent strategically and efficiently.

Money matters

Donors provide resources directly to appealing agencies in response to projects in appeals. Listing NGO and UN projects in an appeal enables the aid community to present a more complete picture of need and the financial requirements to address them.

The Financial Tracking Service (FTS), managed by OCHA, shows humanitarian funding needs and contributions in a continually updated on-line database (see <http://www.reliefweb.int/fts>)

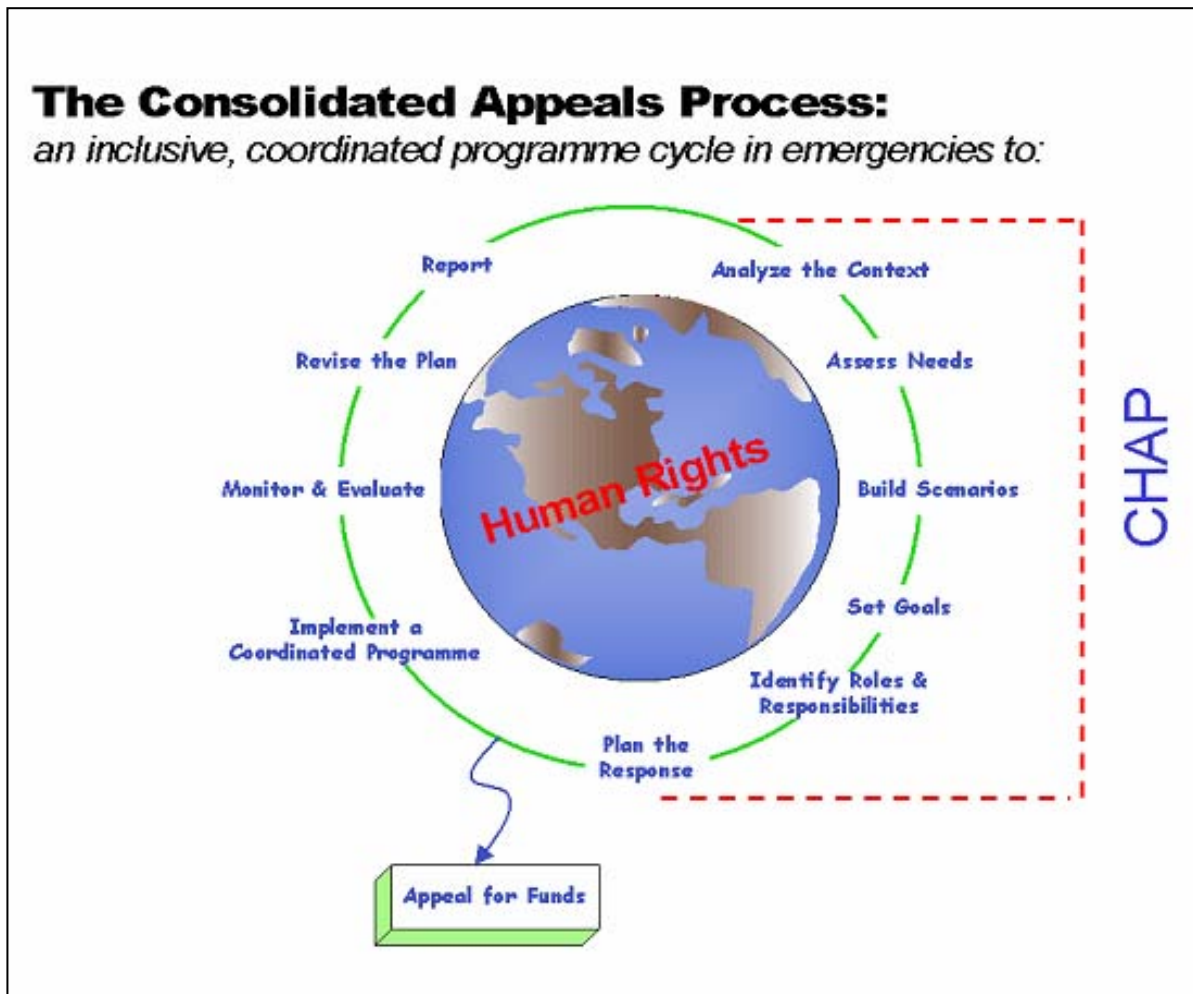
Since 1992, about 100 donor countries have provided US\$29 billion for 240 appeals to address the needs of people in more than fifty countries and regions, such as Angola, Bolivia, Bangladesh, Ethiopia, Former Yugoslavia, Haiti, Indonesia, Iraq, the Sudan and West Africa.

Who manages the CAP?

The **Emergency Relief Coordinator** is responsible for the CAP at headquarters and HCs lead the process at the country level.

To support them, the **Inter-Agency Standing Committee** established a **Sub-working Group on the CAP**, which each month brings together aid agencies to further issues such as needs analysis and prioritization, training and workshops in the field and resource mobilization.

The **Office for the Coordination of Humanitarian Affairs (OCHA)** has a specific team, which works on the CAP with NGOs, the Red Cross Movement, IOM, UN agencies and governments.



How does FAO contribute to the CAPs?

Agriculture is the core survival strategy for the majority of rural households threatened by humanitarian crises. It follows that protection and recovery of agriculture-based livelihoods is an essential aspect of overall humanitarian assistance and for this reason is one of the recognised 13 sectors/clusters in the humanitarian coordination architecture.

FAO, as an important humanitarian and early recovery partner, works closely with other agencies in the appeals process and in responding to disasters and conflict. As the lead agency in agriculture and food security, FAO's role is critical to bolster self-reliance and reduce the need for relief and harmful coping strategies, such as selling assets, forced migration and sex-working, which in turn can exacerbate the humanitarian situation and increase the risk of permanent destitution.

Emergencies can arise from a variety of causes - crop and livestock pests and diseases, hurricanes, floods, earthquakes, civil conflicts and war. Rural populations in the developing world are often the most vulnerable. With most communities dependent on agriculture and related enterprises for their food security and livelihoods, FAO's expertise in food security, farming, livestock, fisheries and forestry is crucial in emergency response and rehabilitation efforts.

FAO's role in emergencies continues to grow, with over US\$400 million raised in 2005/2006 through consolidated and other appeals. As of November 2006, FAO was operating over US\$500 million in emergency and rehabilitation operations concentrated in 35 crisis-affected countries. In 2007 Inter-agency Consolidated Appeals, all 11 appeals contained agriculture and food security requirements, together with FAO's response and funding needs. Africa continues to be the focus, where violence, displacement and endemic poverty threaten the food security and livelihoods of millions. The situation is aggravated by recurrent disasters, as well as HIV/AIDS. In the West Bank and Gaza Strip, restricted movement and unemployment have left half of the population food insecure.

FAO's interventions

FAO's work in post-disaster and complex emergency situations emphasizes the protection and rehabilitation of agricultural livelihoods. FAO's assistance works to restore local food production and provide an exit from food aid, which is an essential part of the recovery process. Providing drought-resistant seeds to vulnerable farmers, training and equipping community animal health workers to save livestock, educating HIV/AIDS orphans in farming techniques and life skills and other such initiatives foster increased resilience and improved food security. These programmes focus not only on providing material assets but on building the knowledge and skills of vulnerable people.

Information for Action

As a leader in agriculture, FAO provides technical advice and coordination to emergency agricultural interventions undertaken by all partners. This keeps everyone informed on who is doing what and where. As a result, there are fewer gaps in the delivery of assistance, less duplication of efforts and fewer wasted resources.

FAO is also recognized as a key source of information on food security and nutrition issues. FAO aims to provide all stakeholders, including humanitarian partners and governments, with timely information and analyses to optimize their policy, planning and programming decisions. In Somalia, for example, FAO has developed the IPC system, a tool for improving analysis and decision-making in emergency situations. The IPC is a standardized scale that integrates food security, nutrition and livelihood information into a clear statement about the severity of the crisis and implications for humanitarian response. The IPC advocates a balanced and appropriate response to emergencies by humanitarian partners and donors, thus optimizing the allocation of resources. Ultimately, the aim is for more coherent recovery assistance focused on exit strategies from food aid and other relief assistance, improved response mechanisms and DRM and a better understanding of the root causes of vulnerability. With increasing support from donors, this approach is being rolled out in the Horn of Africa and Great Lakes Region.

What does a FAOR or an Emergency Coordinator need to do during the CAP process?

- Have a thorough understanding of the needs and priorities of the agriculture sector.
- The general needs and priorities should have been earlier discussed with national authorities.
- As lead of the agriculture sector/cluster, FAO should coordinate with other partners in that sector on what to include in the agriculture sector response and if other partners would like to appeal through the CAP.
- Determine the adequate financial resources to appropriately respond to the identified needs. Make sure not to overestimate or underestimate the budget, where the former is easy to fall into. Inflating budgets decreases the credibility vis-à-vis donors.
- Based on the above, develop the agriculture sector response of appeal (including project profiles).
- Contribute to the CHAP by highlighting the agricultural livelihoods of affected people and the need for their recovery. Ensure the position of NGOs members of the agriculture/food security cluster/sector is integrated in the CHAP through prior consultations during cluster/sector meetings.
- Liaise with HQ and relevant technical units for technical inputs and clearances.
- Ensure that FAO is a part of any inter-agency consultation, particularly from the inception of process (CAP workshop), when priorities are set by the RC/HC.

What is a Flash Appeal?

(See

http://www.humanitarianinfo.org/iasc/content/subsidi/swg_cap/default.asp?bodyID=12&&publish=0&publish=0)

Flash Appeals present an early strategic response plan and specific projects within five to seven days of the emergency's onset. If major uncertainty exists about the evolution of the crisis, the appeal presents the most likely scenarios and the response strategy for each. Flash Appeals are usually revised about a month later, when more information is available. They serve as the basis for funding applications to the CERF: the HC indicates which appeal projects the CERF should fund. The HC, supported by OCHA, is responsible for producing the appeal. Organizations and individuals who have been asked to lead and coordinate the response within a given sector or area of activity (i.e. cluster or sector leads) have a key role: working with all relevant partners to develop the response plans and vet project proposals for inclusion in the appeal. Flash Appeals should include priority projects from all key implementing agencies on the ground, including NGOs.

What is a Flash Appeal?

The Flash Appeal is a tool for structuring a coordinated humanitarian response for the first three to six months of an emergency. The UN HC and/or RC triggers it in consultation with all stakeholders. It contains an analysis of the context and of humanitarian needs (citing whatever specific needs assessments are available), response plans (at the general strategic level as well as sector plans including specific proposed projects) and statements on roles and responsibilities.

Because the Appeal's first edition has to be issued fast, it inevitably is based on early estimates and best guesses, focusing on urgent humanitarian needs plus whatever early recovery projects that can be assessed and implemented during this early phase of a crisis. Given that Flash Appeals necessarily are based on early estimates, they and their projects can be revised at any point after the launch as more information emerges (i.e. agencies can continually adjust their projects on FTS). Usually, there is a scheduled general revision about a month after launch to incorporate fuller information and more recovery projects (especially connecting to government plans as they crystallize). The Flash Appeal may be developed into or succeeded by a Consolidated Appeal if an inter-agency response is needed beyond six months.

Who does what?

- The RC/HC, with support from OCHA, is responsible for the production, content and quality of the document.
- The Flash Appeal is prepared in consultation with key humanitarian actors, which *may* include government officials, donors, UN agencies, ICRC, members of the IFRC, NGOs and other relevant actors.
- Cluster and sector leads have a key role, in convening all key organizations working in the sector into the working group, leading and coordinating the development of response plans and drafting them for the appeal document and leading the vetting of projects within their sector or area of activity.
- The Flash Appeal may include projects from UN agencies, international organizations and NGOs. (Note: it may include project partnerships with the Red Cross or Red Crescent National Society of the country of operation. Government ministries cannot appeal for funds directly in a Flash Appeal, but can be partners in UN or NGO projects.)

How does a Flash Appeal relate to the CERF?

The CERF is intended to complement – not substitute for – Flash Appeals. The CERF provides seed funds to jump-start critical operations and fund life-saving and time critical programmes not yet covered by other donors. In this sense, the CERF is a donor and the Flash Appeal is the strategic plan and list of projects that CERF (and other donors) should fund.

What is the sequencing of CERF requests and Flash Appeals?

- RC/HC triggers a coordinated response, starting with rapid needs assessments and assignment of roles and responsibilities.
- RC/HC determines as soon as possible whether the event is likely to be of a scale that requires inter-agency response (exceeding capacity of any single agency plus affected country government).
- If yes, RC/HC triggers a Flash Appeal and (unless donor response is certain to be adequate) requests a provisional CERF allocation from the ERC according to best estimates of scale and immediate funding needs.
- RC/HC leads IASC CT to promptly produce a clear articulation of humanitarian needs, priority sectors for response, response plans including specific projects and roles and responsibilities. (These are the components of a Flash Appeal.)
- Simultaneously, as soon as the earliest critical needs and the implementing agencies able to respond to them are identified, agencies put these planned activities or projects into specific formal CERF proposals, approved by the RC/HC in consultation with the IASC CT up to the limit of the allocation announced by the ERC. The RC/HC assembles the proposals into a package to be sent to the ERC.
- The RC/HC immediately sends to OCHA whichever is ready first – CERF request or Flash Appeal – and completes the other as soon as possible. (Normally, the CERF request package should take less time to complete than the flash appeal, but this flexible method allows for exceptions).

What is the flash appeal procedure and suggested timeline?

DAY 1 OF APPEAL PREPARATION: Flash Appeal triggered by the UN RC/HC, in consultation with the IASC CT. The RC/HC in consultation with the IASC CT assigns one organization to lead and coordinate the response in each priority sector or area of activity (i.e. cluster/sector leads). The RC/HC also assigns an appeal focal point in the field. The government of the affected country is consulted (though its *permission* is *not* needed for a Flash Appeal).

BY DAY 2: Needs assessments begin. All needs assessments are to be reported to relevant sector leads. Each cluster or sector group meets at national level to map capacity and assign roles and responsibilities within the sector or area of activity. The IASC CAP SWG telecons to coordinate any HQ-level issues.

BY DAY 3: RC/HC's team (OCHA if present) drafts general sections of appeal document. RC/HC decides on appeal duration and communicates this clearly to country team. Relevant organizations in each cluster/sector meet to analyze needs assessment information, agree general response strategy and review and select their members' proposed projects. Cluster/sector leads coordinate and facilitate consensus-building on project inclusion, draft response plan section, incorporate the selected projects into the response plan section, and forward to OCHA. OCHA compiles these with general sections to produce Appeal draft.

BY DAY 4: RC/HC and country team approve final field draft of the Appeal and sends to OCHA CAP Section, including cover photo (with credit).

DAY 5: The CAP Section shares the draft with IASC agency headquarters for 24-hour review. The OCHA desk officer incorporates (the same day if possible) any comments received by deadline.

DAY 6: The CAP Section style-checks and formats the document, registers appeal projects on the FTS, publishes the document on line (ReliefWeb) and prints copies by 13.00 hours. After 13.00 hours, the Appeal is officially launched through a donor meeting in the field and/or at headquarters or through a press release.

AFTER LAUNCH: Appealing agencies seek funding contracts directly from donors and update OCHA CAP Section/FTS (fts@reliefweb.int) on funding received and if any projects change. IASC CT continues in-depth needs assessments, monitors response implementation and plans appeal revision (if needed).

(The full version of the guidelines is available under <http://ochaonline.un.org/cap/GetBin.asp?DocID=1397>.)

What is the Central Emergency Response Fund (CERF)?

(See <http://cerf.un.org>)

The CERF is a stand-by fund established by the UN to enable more timely and reliable humanitarian assistance to victims of natural disasters and armed conflicts.

The CERF was approved by consensus by the UN General Assembly on 15 December 2005 to achieve the following objectives:

- promote early action and response to reduce loss of life;
- enhance response to time-critical requirements; and
- strengthen core elements of humanitarian response in under-funded crises.

The CERF will have up to US\$500 million, including a grant facility of up to US\$450 million and a loan facility of US\$50 million. The CERF is funded by voluntary contributions from around the globe from Member States of the UN, private businesses, foundations and individuals.

The Fund is managed by the ERC, Sir. John Holmes, on behalf of the UN Secretary-General. The Fund allows the UN to react immediately when a disaster strikes by making funding available for life-saving activities to eligible agencies such as UN and its funds, programmes and specialized agencies and the IOM.

The CERF is intended to complement – not to substitute – existing humanitarian funding mechanisms, such as the UN Consolidated Appeals. The CERF provides seed funds to jump-start critical operations and fund life-saving programmes not yet covered by other donors.

The Grant and Loan facilities

The UN and its funds, programmes and specialized agencies, as well as the IOM are eligible for both grants and loans. The two components have a number of distinct features:

| | |
|---|---|
| <p>Grant Facility</p> <ul style="list-style-type: none"> ▪ Up to US\$450 million, depending on voluntary contributions received. ▪ Established in December 2005 by the UN General Assembly. ▪ Allows the ERC to ensure coverage of life-saving programmes when funds are not available from other sources. ▪ Used to allocate funds to UN operational agencies to address critical humanitarian needs based on priorities established under the leadership of the HC/RC in the field. ▪ Each applicant must justify the need for funds, taking into consideration other available resources. If a donor pledge is forthcoming, the loan facility should be used | <p>Loan Facility</p> <ul style="list-style-type: none"> ▪ US\$50 million available. ▪ Established in 1991 as the Central Emergency <u>Revolving</u> Fund. The Revolving Fund is now managed separately as part of the upgraded Central Emergency <u>Response</u> Fund. ▪ Used to make loans to UN agencies for emergency programmes based on indication that donor funding is forthcoming. ▪ Loans must be reimbursed within 6 months ▪ US\$337 million were disbursed in loans over the last 14 years. ▪ Primarily used as a cash-flow mechanism allowing UN agencies to access funds rapidly while they are waiting for donor pledges to be transferred. |
|---|---|

Application process to the CERF grant facility

The application process is field-driven. As such, all project applications to the CERF must be based on needs assessment(s) and must be approved by the HC/RC in close consultation with the UN Country Team. In particular, the HC/RC, assisted by the OCHA Office in the country if present, plays a crucial leadership role in the prioritization of programmes. Eligible humanitarian organizations submit grant applications (both for Rapid Response and Under-Funded Emergency) to the HC/RC who endorses them and refers to the ERC. In all cases, the HC/RC and eligible humanitarian organizations must verify that the CERF is an emergency funding source and that all other donor leads, country-level or relevant agency stand-by funds appropriate for immediate disbursement (whether revolving or not) have been exhausted. Eligible humanitarian organizations should apply using the standardized project template and model Letter of Understanding.

How to best prepare and report on a request for CERF grants?

The following points were prepared by FAO participants to the Rome-based CERF-CAP training which took place on 2-4 July 2007. It summarises the main elements worth the attention of FAO staff when preparing and reporting for a CERF allocation.

When preparing for a CERF request:

1. Application of CERF criteria and consequent concession of CERF grants can be rather flexible within the core principles governing the CERF mechanism.
2. The projects for the CERF grant component, must be for life-saving/core emergency humanitarian programmes as well as "time-critical" interventions; for example in the agriculture sector these are defined as "activities that have a direct and immediate impact on the livelihoods of families affected by an emergency (i.e. provision of seeds, tools and fertilizers to restore food production capacity, survival of productive animals initial inputs for plague control)". In addition, common humanitarian services necessary to enable life-saving activities are also considered (i.e. air transport).
3. The Emergency Coordinator in the field needs to be involved in the UNCT discussions around CERF (and/or Flash/CAP Appeal) from day one, particularly because agriculture is not understood to be a priority for emergency response (in fact, agricultural activities appear to be more eligible for CERF funds from the 'under-funded' window than from the 'rapid response' window). In the absence of in-country involvement FAO risks being marginalised if there is nobody at the table lobbying and advocating for it. Nevertheless, when it is possible to prove that agriculture interventions enhance response to time-critical requirements (i.e. in the case of 1. response to slow-onset natural disasters and complex emergencies, and 2. time critical funds to prevent escalation, reduce costs & impact) agriculture stands a better chance to be funded through the "Rapid Response" window than it was the case in the past.
4. Thus, overall it is very important to get HC/RC buy-in. It seems in fact that "hardly any proposals that come up through the Country Team are rejected".
5. Proposals in Flash Appeal countries, submitted for CERF grants, are always considered within the "Rapid Response" window. Where no Flash Appeal is issued, the HC/RC can signal the need for rapid response funds from the CERF at the onset of the crises or in case of rapid deterioration of an existing emergency. The ERC may also proactively suggest potential uses of the "rapid response" funds by alerting HCs/RCs when appropriate.
6. To be eligible for the "under-funded" window, countries have to be selected by the ERC and can be either a CAP or a non-CAP country with humanitarian needs. If a sudden crisis occurs in a CAP country, funding can also be requested within the "Rapid Response" window upon request by the HC/RC.

7. The formats of the application are different. Where there is an Appeal (FA or CAP), the application can directly attach the FA or CAP project sheet, adding just the CERF budget and project allocation table. Where there is no appeal, the full CERF application template has to be completed.
8. The use of appropriate and well thought out terminology is key: for instance, the title of a project proposal is very important, especially if it is considered that the first screening for CERF funds is based on the same (or similar) template used for project profiles in the CAP, which is mainly composed by the title and a short summary of the project. (This refers to the lack of technical expertise in the CERF Secretariat – not a criticism but a fact – if the proposal clearly and concisely fits the criteria, it has a better chance of approval.)
9. Terminology used in the title should be consistent in the narrative of the project description (e.g. title “Emergency vaccination campaign against RVF” but the narrative and budget concentrate only economic recovery activities).
10. Whenever possible the funding proposal should be based on needs assessments. When requesting CERF funds for **proposals for food security**, statistics (figures and facts) indicating an increase in the level of acute malnutrition need to be clearly presented in the rationale of the proposals.
11. When requesting CERF funds for **proposals for livelihoods**, in the rationale it is important to give evidence that agriculture is the primary livelihoods of the affected population.
12. **Proposals for training** have a chance to be financially supported by CERF grants, but only when it can be demonstrated that training is a key component of the rapid response and that it has a quick impact, e.g. as in the case of training of specialists before (to avert) or during (to contain) a locust outbreak.
13. The CERF will not support the storing of inputs for future use. All project elements must be for immediate emergency use. Also, if OCHA allocated funds to a country and the funds are not used, they can not be transferred to the following year.
14. Always consider opportunities for cooperation with other agencies. For example it is more acceptable to lease vehicles from WFP than to buy them outright.
15. The involvement of NGOs is a hot topic, try to name the NGO partners and, if possible the amount you expect to allocate to them, in your proposal. You could even list the NGOs you will approach knowing only one or two will be signed up – the idea is to show attempts to work with partners.
16. **“Under funded grants”** are disbursed in two instalments – most of it in January/February and the balance in July/August. Beneficiary countries and allotments are decided by CERF after an analysis of donor responses to CAP appeals and recommendations from agencies, including FAO. Allocations are announced centrally. The Emergency Coordinator should contact the HC/RC to ensure FAO’s involvement in the process and participation to the UNCT prioritization of the projects which will be included in the country request. At this stage, EC involvement is crucial, he/she has to convince the RC that agriculture and food security sector projects are a priority
17. **Budget considerations:** It seems rhetorical to say, but it is key to ensure that the budget coincides with the narrative of a proposal (and check carefully that there are not errors of calculation). Including staff costs in budgets is generally frowned upon unless they are for very specific implementation work.
18. **Budget revision** can be made by e-mail communication to the CERF Secretariat at the desk officer level when minor modifications are required, such as decrease in operation costs for more acquisitions within the original planned nature of activities/inputs. Where a major shift in activity (i.e. introduction of a new component) is required, a formal letter has to come from the HC/RC providing the justifications for budget revision.

Some words “sound” better than others when preparing a CERF request. **Words** conveying long-term kind of interventions should be **avoided** such as:

- Emergency preparedness
- Mitigation
- Prevention
- Rehabilitation
- Disaster reduction
- Economic recovery

Preference should be given to **words** translating the **quick response nature** of the proposal, such as:

- Quick impact
- To provide immediate access
- Timely response (e.g. to meet requirement for upcoming planting season)
- Rapid emergency response
- Renovation/emergency repairs (but not rehabilitation)

During the implementation:

Narrative reporting deadlines - For grants disbursed during a year, a short summary of lessons learned and success stories/ problems through 31 December is prepared at HQ and due in New York by late March of the following year. A set of longer narrative reports, one for each grant and again through 31 December of the previous year, is put together in HQ and due in New York 5 April. The HC/RC prepares a country summary of work financed by grants in the country which is also due by 5 April. To avoid extra work or duplication each of these reports is based on only one document – the narrative using the country level template published by CERF and filled out only once. (FAO format is acceptable for narrative reports but, to keep it simple, may be preferable to use the template.) To meet all the deadlines, work on this paper should start as soon as possible after the end of a year.

The HC/RC prepares a mid-term review report of work done with grants disbursed in the first six months of the year. For our input, suggest using the same format as before but the HC/RC may decide otherwise. This is due in New York, from the HC/RC, by 5 August. You should send copies of country level input to this document to the CERF focal points at HQ.

Financial reporting deadlines - Interim certified financial statements are prepared at HQ (no field input required), from ORACLE data but in a special format, and due in New York on 15 February – again for work financed by grants in the previous year. Final certified financial reports are due by 30 June for all projects active in the previous year – also prepared entirely at HQ.

Rapid response grants - For "rapid response" funds everything must be committed within three months of the disbursement of funds/or the date of the onset of the emergency (whichever is earlier – this suggests there is little reason to pre-date commitment as it cuts the total implementation time available). CERF allows an additional three months for implementation. Therefore the total duration is six months (the three-month commitment cut off is fixed, no changes allowed; the six month payment time is a target but could be extended in exceptional circumstances – because of a dispute with a supplier for example,)

Under funded grants - The commitment deadline is 31 December for first instalment and probably the following 30 June for second instalment (“probably” as this latter deadline is not yet official (as of July 2007). The payment deadline is three months later as for rapid response money.

What is the Special Fund for Emergency and Rehabilitation Activities (SFERA)?

(See <ftp://ftp.fao.org/docrep/fao/meeting/011/j8139e.pdf>)

The SFERA provides FAO with a means of taking rapid action in emergency situations. It enables FAO to participate in inter-UN agency needs assessments missions following a crisis, to rapidly establish an emergency coordination unit for agricultural assistance and to prepare a programme framework. The SFERA allows for immediate deployment of essential transport and equipment and, as soon as a donor has confirmed a contribution, the advance funding for the procurement of inputs required to protect or restart agricultural activity. The SFERA allows a programmatic approach to an emergency/crisis as donors have agreed to pool funding under the Fund.

Structure

The SFERA has three components: i) a revolving fund to support FAO efforts in needs assessments, programme development and early establishment of an emergency coordination unit; ii) a working capital component to advance funds to rapidly initiate project activities before donor funds on agreed projects are received, with the funds then being transferred back to the SFERA on receipt; and iii) a programme component to support specific emergency crises. The programme component was used in January 2005 in response to the Indian Ocean tsunami disaster and further developed as a result of the spread of avian influenza from November 2005.

Of the total US\$47 million contributed, US\$1 million have been set aside under the revolving fund component for needs assessment after the onset of a crisis and for rapid establishment of coordination in affected countries. Under the working capital component, US\$17.3 million were advanced to various projects after donor agreements were signed but before receiving their cash contributions. Under the programme component, US\$34.2 million were used to start up the response to the tsunami disaster and the avian influenza pandemic.

A more programmatic and flexible funding mechanism

The most innovative feature of the application of the SFERA has been to invite donors to allocate their contribution to the Fund, earmarked for the emergency response to which they are contributing. In the case of avian influenza, this use of the SFERA allowed FAO to respond in a more programmatic and flexible way in accordance with its global plan for combating the pandemic. FAO's traditional way of operating is by producing a specific project document tailored to any given contribution. Once the project document has been approved by the donor and the concerned government, changes with budgetary implications can only be made after consent is received from the donor which often entails cumbersome procedures and delays in project implementation. Whereas, when donors agree to put their contribution into the SFERA, they accept that their funds can be used as pooled funding towards the overall objectives of the programme as presented to the donor. This provides the necessary flexibility to continuously adjust activities to the realities on the ground while remaining within the overall framework of the programme.

SFERA and CERF are complementary

The SFERA allows FAO to carry out preparatory work such as needs assessments and setting up emergency coordination units for which the CERF cannot provide funding. The CERF can allocate grants to FAO for early emergency procurement, which is not possible from the SFERA.

Application process

Revolving Fund - The revolving fund is intended to be a funding mechanism for activities that can be subsequently replenished by hitherto unknown and unquantified donor contributions. Thus, resources initially disbursed from the SFERA under this category may be, but are not guaranteed to be, subsequently replenished or reimbursed by contributions received for such operations. It concerns support to the early set-up of ERCUs, needs assessment, programme development and coordination activities. Each new request is screened through TCE Operations/Programme Officers and is approved by the Director, TCE.

Working capital fund - The working capital category ensures advance funding for emergency projects where the donor has confirmed the funding. A request for an advance from the working capital fund has to be processed at the same time than the opening of the project. The Finance Division will be provided with the usual request for opening a project and the approval from the Director to advance funds from the SFERA to this specific project.

Programme component – This applies only to specific emergency crises. The overall programme is jointly designed by TCE, the concerned technical divisions and the offices in the affected countries. It is submitted to donor for approval through a specific agreement available from TCE.

How are FAO and WFP collaborating?

BACKGROUND

Considering the mandates and intertwined histories of the two organizations, WFP is possibly the UN organization which is most closely operationally related to FAO. If one considers the mandate of FAO, there are two primary interfaces with WFP. These include:

- ensuring the access of all people at all times to sufficient nutritionally adequate and safe food; and
- the conservation, improvement and sustainable utilization of natural resources.

Reflecting these important linkages, there are a number of documents which seek to regulate the interaction between the two organizations. These include:

- “Deepening Cooperation between FAO and WFP”—November 2003;
- “Technical Agreement for Logistics Cooperation between WFP and FAO”—January 2003; and
- “Joint letter from FAO Director-General and WFP Executive Director to FAO Representatives and WFP Country Directors regarding the establishment of food security theme groups at country level”—January 2007.

At this time, as part of the overall UN reform, there is considerable pressure for the two organizations to work even more closely together. Indeed, the HLP Report recommends, “to build long-term food security and break the cycle of recurring famines, especially in Sub-Saharan Africa, the WFP, FAO and International Fund for Agricultural Development (IFAD) should review their respective approaches and enhance inter-agency coordination.”

HOW FAO AND WFP CURRENTLY COOPERATE

Global level cooperation:

- **assessments**, Crop and Food Supply Assessment Missions (CFSAM) and the CAP Needs Analysis Framework (NAF);
- joint development of **spatial information** (Food Insecurity and Vulnerability Information and Mapping Systems [FIVIMS]);
- **FAO technical expertise** in various WFP activities (from design to evaluation) – through the Investment Centre Division (TCI);
- Food Security Sector in **CAP** (with agriculture and food aid included) or as separate but inter-related sectors (to be decided at Country Office level);
- **livelihoods**, ongoing discussions at the technical level; WFP supported FAO rapid livelihoods assessment guidelines development; and
- **gender**, ongoing discussions at the technical level, including joint development of IASC guidance.

Field level cooperation:

- **WFP Food-for-Work (FFW)** – links to FAO agriculture infrastructure improvement activities;
- **seed protection rations** – WFP provides these in support of FAO seed input activities;
- **school gardens** – FAO has been working to link these activities to WFP’s school feeding initiatives;
- **Food-for-Training (FFT)** – link the provision of WFP food to FAO-sponsored training in new farming techniques, including farmer field schools;
- **HIV/AIDS** – link FAO provision of high nutritional seeds and nutrition and post-harvest training to WFP food provision to HIV/AIDS-affected households and beneficiaries;
- **food security sector** – in some countries, food and agriculture are combined into a food security sector with common agendas where FAO and WFP agree on who leads the sector or co-lead;
- assessments – FAO joins WFP Emergency Food Security Assessment (EFSA);
- **logistics support** – in some operations, WFP provides in-country logistics support to FAO. In addition, WFP manages the UN Humanitarian Air Service (UNHAS) and the UNJLC, from which FAO benefits; and

- **support for office set-up and security support in sudden-onset emergencies**—WFP has provided FAO with office space in sudden-onset emergencies, such as the Pakistan earthquake and the conflict in Lebanon.

PERSPECTIVES FOR THE FUTURE

Logistics support— The inter-relationship in the logistics field is an area for expansion. In this regard, WFP has loaned to FAO a Senior Logistics Officer to explore the potential of a more systematic and predictable logistics relationship between the two organizations. The study will be completed in June and so this is a “work in progress”, but thus far initial outputs foreseen would be:

- a FAO logistics manual, making our FAO work in this area clearer and more systematic for both FAO and WFP;
- an updated technical agreement on logistics, including a template agreement for field-level logistics interaction;
- inclusion of FAO in the UN Global Humanitarian Response Depot system, which encompasses warehouses and related transport support in Brindisi (Italy), Dubai, Panama, Ghana and Malaysia; and
- development of profiles and standard ToRs for potential inclusion in the existing WFP standby partner agreements, thus providing FAO rapid access to expertise upon demand.

Seeds agreement—In some operational situations, WFP has been getting involved in the provision of seeds, as well as other agricultural support with funds available under “other direct operational costs”. This situation represents for FAO both a threat and an opportunity and certainly it is an area of friction between the two organizations. The Rehabilitation and Humanitarian Policies Unit (TCER) has begun the process of negotiating a standard agreement on such interventions between the two organizations, with the view to regulating such interaction and ensuring that FAO technical assistance underpins any such interventions. It is hoped that a draft of this agreement will be available by June 2007, for comment by FAO staff worldwide.

Joint activities—In Pakistan, the heads of FAO, IFAD and WFP reviewed their existing and future programmes, to rationalize and maximize the inputs of the three agencies. This process has led to the realignment of the existing activities of the three agencies. In addition, a joint concept note, including joint offices and joint programme management units, was developed and is in the process of being shared with government authorities, before approaching donors. This process could also be undertaken in other countries, if in-country representatives of FAO and WFP feel that such a process could be valuable.

How can NGOs benefit from being in consolidated appeals or in flash appeals?

For OCHA staff faced with NGOs who question why they should participate in the CAP (including its consolidated appeals and flash appeals), the CAP section has written this sheet to explain how the CAP can benefit NGOs.

- 1 Broaden your donor base: Since 1992 over 400 donors have given \$30 billion directly to organizations appealing for funds in Consolidated Appeals or Flash Appeals.
- 2 Increase your visibility: Consolidated appeals and flash appeals are sent to every donor government, foundations, rich individuals, media outlets, NGOs, international organizations and so forth. (You can still push your proposal with your usual donors while listing it in a consolidated appeal – it's not one or the other.)
- 3 Shape the agenda and priorities: Do you have a mandate to defend? A particular population of concern? An issue at heart? NGOs in consolidated appeals or flash appeals have a voice during discussions on strategy, coordination and priorities.
- 4 Partake in advocacy: consolidated appeals and flash appeals reach a global audience and gain considerable media coverage.
- 5 Expand your credibility: Many donors see participation in consolidated appeals or flash appeals as a “stamp of approval.”
- 6 Save time: Some donors accept the one-page project sheet in consolidated appeals, or the project box in flash appeals, in place of a full proposal.
- 7 Coordinate with others: Donors want to see aid agencies working together, efficiently. Consolidated appeals and flash appeals are the mechanism for bringing together aid agencies. By being part of these appeals you can show that your NGO is serious about collaboration and, at the same time, maintain your identity and independence.
- 8 Hold donors accountable for funding humanitarian action: Fragmented, competing proposals and appeals in any given crisis make it unclear how much aid is needed to help people in a given crisis, and whether donors have met their responsibility to fund according to need. Uniting proposals in one appeal makes donors' performance clearer and gives humanitarian organizations more leverage.
- 9 Get timely support: OCHA supports HCs in the field and the ERC globally. OCHA has a dedicated team of professionals in Geneva working on consolidated appeals and flash appeals, available to advise and support you, answer your questions and receive your feedback.
- 10 Receive free training: OCHA offers training about the CAP, i.e. the process of: i) context analysis and scenario building; ii) needs assessment and priority setting; iii) response planning; iv) resource mobilisation; and v) monitoring and reporting.



Needs Assessment

Chapter 3

After having read this section you should be able to respond to the following questions:

- *What is the basic information required from an assessment in order to make effective programme design considerations?*
- *How to organize the analysis of assessment information so it will promote a response based on people's livelihood strategies?*
- *Why is it important to establish a baseline information system?*
- *How can a livelihood assessment process be activated and implemented in your country?*

Needs assessment - what is it?

A needs assessment is a critical appraisal of a situation and the needs of people before it is decided whether and how to carry out an intervention. Needs assessment is a structured process of data collection and analysis.

In conducting a needs assessment - and acting on it - it is very important to separate the understanding of the situation that people find themselves in and the possibilities of different organizations to respond to the situation. There are many examples of “supply-driven” needs assessments, where needs are defined according to the institutional and operational biases of the organization conducting the assessment and its ability to deliver certain responses.

Concept of need:

Problems, situations or “needs” can be framed and defined in various ways. The initial definition of “need” is important as it will have a bearing on the scope of response, as illustrated in table 1 below:

Table 1: Definition of need and links to response (adapted and expanded from Haan and Majid 2005)

| Implicit or explicit definition of “need” | Assessment type | Scope of response. |
|---|-----------------------|---|
| What are the food aid needs of the population? | 1. EFNA | Food aid distribution |
| What are the food needs of the country? | 2. ENFSA | Commercial food imports food aid imports |
| What are the agricultural rehabilitation needs of the population? | 3. EARNA | Seeds and tools, fishing gear, veterinary drugs, livestock |
| What are the immediate and short-term food security needs of the population? (<i>Vulnerability concept: vulnerability to food insecurity = fn. of shocks + assets</i>) | 4. EFSA | Immediate food security interventions which increase access to food and livelihood rehabilitation these may be food, income, and /or productive assets. |
| What are the food security needs of the population in both the short and longer term? (<i>Vulnerability concept: Vulnerability to food insecurity = fn. of shocks and longer term trends + assets</i>) | 5. EFSA – livelihoods | Integrated short and long term responses to increase food access and food availability. This involves resource transfer, directly related sectoral interventions and enabling policy adjustments. |
| What is the range and depth of the humanitarian needs of the population? | 6. EHNA | Multi-sectoral inputs including health, education, water/sanitation, protection, food security, environment and others. |
| What is the broad range of needs, capacities and strengths of the population necessary to sustain a livelihood in both the short- and longer-term? | 7. LA | Multi-sectoral and multi-levelled inputs, transfers and policy measures. |

EFNA = Emergency Food Needs Assessment;

ENFSA = Emergency National Food Security Assessment;

EARNA = Emergency Agricultural Rehabilitation Needs Assessment;

EHFSA = Emergency Household Food Security Assessment;

EFSA – Livelihoods = Emergency Food Security Assessment using Livelihoods Approaches;

EHNA = Emergency Humanitarian Needs Assessment;

LA = Livelihoods Assessment.

All of the different types of assessments in the table could legitimately be described as “Needs Assessments”. Clearly, however, they are each describing “needs” in a different way. It is true to say that the initial definition of need, and subsequent assessment type has a conditioning effect on the scope of response. Ideally, the more “narrow” need assessments should be done in the context of broader understandings. For example, it would make sense to conduct an agricultural inputs needs assessment in the context of (i.e. after) a broader livelihood type of assessment that had defined household assets, coping strategies and livelihood strategies, as well as policy and vulnerability contexts. In this way, design of agricultural rehabilitation programmes can take place within a more general understanding of livelihoods. Failure to do this can result in unhelpful and even damaging interventions. An example of this might be an automatic assumption that agricultural inputs are the most appropriate rehabilitation response to rural communities recovering from crises. This may or may not be true, whether or not it is will depend upon other factors such as (*inter alia*) the ways in which the communities can and wish to make a living, i.e. their livelihoods, and the broader policy constraints. In Somalia, for example, experience seems to indicate that support to income-generating activities may be more effective in contributing to the resumption of agricultural production in an area than giving out seeds and tools^{13,14}.

Following this, it can be stated that all needs/situation/problem assessments need to take into account underlying livelihoods and forms of access to food. In most emergency food security needs assessments, the degree and type of need is generally estimated by looking at the impact of a shock or shocks on livelihoods, after taking into account “acceptable” coping strategies (i.e. those that are judged not to involve irreversible damage to households’ ability to make a living in future).

¹³ Source: FSAU Somalia.

¹⁴ The fact that food security needs and responses in protracted crises are often conceived in a narrow, short term fashion can be conceived as a function of what Flores et al has termed a “policy gap”. This relates to the way in which international organisations formulate short and longer-term food security interventions and the link between the different planning horizons (Flores et al 2005).

Sustainable livelihood approaches in an emergency context

The purpose of this document is to:

- give a brief overview of Sustainable Livelihoods (SL) concepts and core principles; and
- clarify the relevance of SL approaches for FAO's response to crisis situations.

Sustainable livelihoods approaches: Purpose and key concepts

SL approaches provide a framework for addressing poverty and vulnerability in both development and humanitarian contexts. They have emerged from the growing realization of the need to put the poor and all aspects of their lives and means of living at the centre of development and humanitarian work, while maintaining the sustainability of natural resources for present and future generations.

Definitions

*A **livelihood** comprises the capabilities, assets (including both material and social resources) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base. Source: Chambers and Conway, 1992*

***Livelihood strategies** are the range and combination of activities and choices that people make in order to achieve their livelihoods goals. On the basis of their personal goals, their resource base and their understanding of the options available, different categories of households – poor and less poor – develop and pursue different livelihood strategies. These strategies include short-term considerations, such as ways of earning a living, coping with shocks and managing risk, as well as longer-term aspirations for children's future and old age. Livelihood strategies can be positive, helping households become more resilient and less vulnerable, or negative when they result in the further erosion and decrease of the asset base.*

Livelihood analysis and crisis

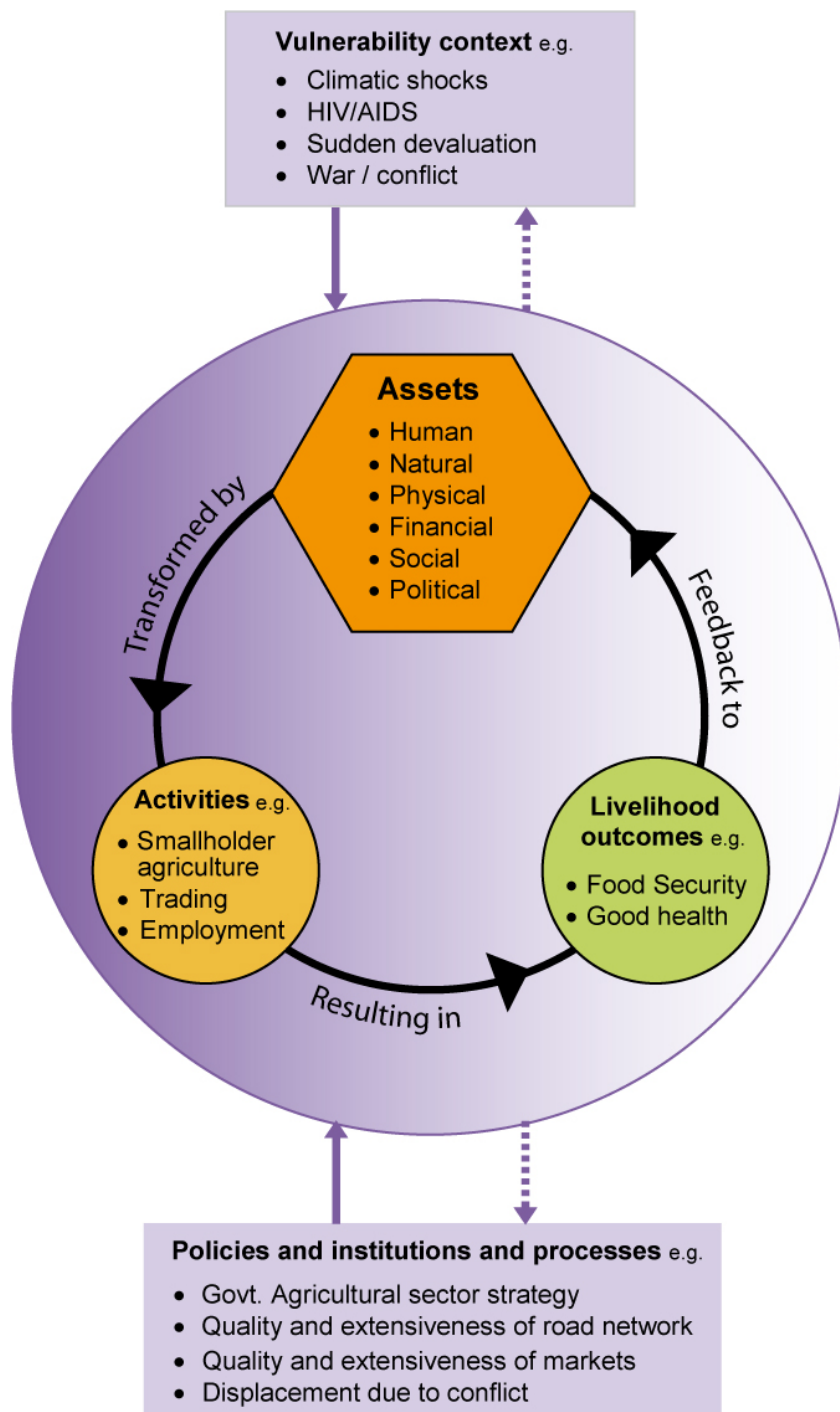
The impact of a crisis on any given population group results from the shock itself and the vulnerability of the affected people. In many situations, needs assessment is "supply-driven", i.e. needs are defined in relation to particular agency mandates. Thus, the same crisis can be variously described as a "food crisis" an "agricultural crisis" or a 'health crisis' depending on the perspective of the agency conducting or sponsoring the assessment, with needs and responses defined accordingly. Properly undertaken, a livelihoods analysis can circumvent such difficulties by helping to better understand the actual assets of affected people, which eventually shape people's livelihood strategies (thus explaining their behaviour). People's ability to withstand shocks, will ultimately depend on their asset base.

Assets are classified into:

- **human capital**, e.g. education, formal and informal skills, health;
- **natural capital**, e.g. natural resources such as farming and grazing land, forests and non timber products, wildlife, and water;
- **physical capital**, e.g. shelter, infrastructure such as roads and transport, buildings, irrigation systems, and productive assets such as seed, tools, livestock, fishing gear and other farm and processing equipment;
- **financial capital**, e.g. cash income and remittances, credit, savings in kind and cash;
- **social capital**, e.g. formal and informal institutions (including markets), associations (e.g. water users and savings and credit associations), extended families, and local mutual support mechanisms.

The relationships between these assets, what people actually do, how this results in outcomes such as food security and how all of this is subject to external influences such as outbreak of a civil war or drought is illustrated below.

A simplified livelihoods framework



The diagram shows that the livelihood of a person, household or community is comprised of assets, transformed by activities or strategies into outcomes. This “internal” relationship between assets, activities and outcomes is seen to be circular. All of this is taking place in the context of and influenced by the external environment (vulnerability context and policies, institutions and processes). The diagram also shows that the actions of people, households and communities themselves have an influence on these external forces.

How can SLAs be used in emergencies?

Using SL in crisis situations

It is useful to distinguish here between SL analysis and SL intervention approaches based on this analysis. Sustainable Livelihoods *assessment and analysis* is especially useful in identifying the poor and vulnerable groups, understanding the constraints and opportunities they are facing, and mapping both the positive and negative impacts of the “coping strategies” that households engage in. They can inform stakeholder consultations for national and international response, and raise awareness and a better understanding of the impact of policy decisions on the livelihoods of these marginalized groups.

SL *approaches* are particularly suited to dealing with crisis situations where people have to adapt to rapidly changing situations. They can help build resilience of vulnerable households and capacity of local institutions in at-risk areas (preparedness) and protect and promote food security and nutrition in relief and recovery. By focussing on affected people throughout the crisis, they can bridge the gap between different phases. They also provide a common inter-sectoral framework which can facilitate inter-institutional collaboration at all levels.

The SL should be considered as an overall approach to emergency work and not as a specific sector to be covered along with others. SL approaches can be useful in all the steps of the emergency response cycle:

- **Preparedness/early warning:** Providing information on how people (and different groups of people) live and cope with crises in at-risk areas through livelihoods assessments and profiles; identify relevant indicators and establish scenarios
- **Emergency:**
 - ★ rapid LA with a view to provide an inter-sectoral framework for humanitarian response;
 - ★ incorporate SL into sectoral assessments and response with a view to improve targeting and design, and ensure the appropriate flexibility in project/programme implementation;
 - ★ contribute to coordination mechanisms (OCHA, clusters, link with UNDAF) and joint programming (government, other agencies and NGOs);
 - ★ use SL people-centred focus to improve communication on emergency interventions and strengthen appeals; promote livelihood rehabilitation programmes and umbrella projects in coordination with other agencies to ensure better donor support;
 - ★ strengthen and make real the ‘build back better’ and “Do no harm” approaches through the adoption of a livelihoods approach; and
 - ★ use SL framework and indicators for **monitoring** progress, adjusting interventions and evaluating impact.
- **Recovery and rehabilitation and exit strategies:** By focusing on people rather than interventions, SL approaches will lead to a better articulation and integration of development and humanitarian projects and programmes and will contribute to capacity building of local institutions. Exit strategies should focus on strengthening the resilience of local livelihoods to expected shocks.

USE OF SL BY FAO IN EMERGENCY CONTEXTS

SL concepts and approaches have been used recently by FAO in Pakistan and in Somalia.

Pakistan. On 8 October 2005, an earthquake measuring 7.6 on the Richter Scale, with its epicentre located 19 km northeast of Muzaffarabad struck the northern areas of Pakistan and India. Azad Jammu Kashmir (AJK) and North West Frontier Province were severely affected, including three to four million people and an estimated death toll of 80 000. A rapid participatory assessment was conducted by an FAO Livelihoods Adviser in collaboration with ILO and the Department of Agricultural Extension, Government of AJK, during the period 27 to 31 October 2005. Its objective was to provide some qualitative information on how the earthquake has affected people's lives and how they make a living. The survey looked at what resources people had lost, the coping strategies which they adopted to deal

with the situation and the outcomes that they sought to achieve when the immediate effects of the emergency subsided. The rapid assessment also set out relevant responses based on the livelihood analysis and gave a one-year timeline for phasing in these responses. The use of a livelihood framework, as in this example, was instrumental in allowing the analysis to be organized in a way that clearly showed the impact of the crisis on people's lives *and* relevant intervention priorities. This would not have been possible with a more sectoral analysis based on pre-conceived ideas of need.

Somalia. FSAU has been developing a tool with which to classify the severity of impact of different situations on people's lives and livelihoods. The IPC makes use of a number of different information sources to derive a "phase classification" of a particular geographic area. The phases range from phase 1 – generally food secure to phase 5 – famine/humanitarian catastrophe. In arriving at the classification, fairly detailed analysis is done of the state of and prospects for the five capital assets noted above. (see Note - **Integrated Food Security and Humanitarian Phase Classification**).

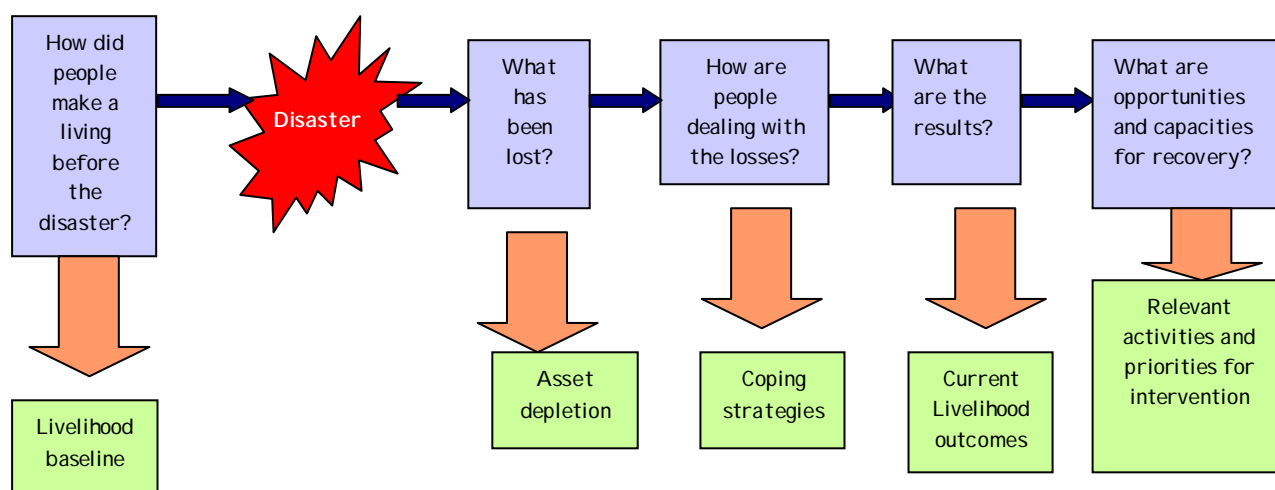
Challenges for use of livelihoods approaches in emergencies

The main challenge of using a livelihood analysis to inform programming in emergency situations is that it is extremely challenging to quantify impact on different capital assets. This difficulty is acknowledged by the FSAU. This means that the approach is best used in conjunction with other tools to derive detailed programming responses. One of the strengths of the SLA in emergencies is that it provides a holistic and robust framework within which the use of various analytical tools and responses can be organized.

The fundamental structure of a post-disaster livelihood assessment

Irrespective of whether an Initial Livelihood Impact Appraisal (ILIA) or more in-depth LA is being conducted, the fundamental driving questions and structure is the same. The key questions are as follows:

- How were people making a living before the disaster?
- What effect has the disaster had on their livelihoods?
- What coping mechanisms and livelihood strategies have different people/households developed and how effective/damaging are these?
- What are the opportunities and capacities for livelihood recovery within the local economy?¹⁵
- What types of activities are needed for livelihood recovery of the different people/households?¹⁶



In certain cases – i.e. where time is extremely short or it is impossible to get to the field, these questions will need to be answered on the basis of secondary data, i.e. livelihood baseline information and reported information on exposure and damage. From these two pillars, the livelihood assessment will generate a livelihood impact extrapolation without going to the field (desk study). Where there is more time/less danger or physical obstacles to movement, a certain level of fieldwork will be possible. Where fieldwork is possible, it will collect primary data to complement the secondary baseline and damage and loss data.

Fieldwork should take place at a number of levels, i.e. district/ area, local market, community (village/neighbourhood) and wealth group/household. At each level, different but complementary questions are asked. This is because certain individuals and groups will be best placed to give information on certain aspects of the disaster sequence and/or livelihood framework and it is important to tailor questioning with this in mind.

- At **district level** the focus will be on understanding (i) how different institutions and organizations serving the needs of local communities have been affected by the disaster and what are the prospects for recovery; and (ii) getting an overview of the impact on livelihoods in the area.
- The **market trader** interview is more specifically focused on how markets are working in a particular area and how these have been affected by the disaster.

¹⁵ Examples: What agricultural assets (land, irrigation facilities, livestock) remain undamaged or can be easily put back into production; what shops and small industries have not entirely collapsed and may be put back in operation; what key infrastructure should be repaired to facilitate economic recovery?

¹⁶ Examples: Wage jobs openings; Supply of seeds and other inputs for agriculture; Replacement of lost livestock; New fishing boats, nets, etc; Rehabilitation of shops and small industries; Credit to replenish merchandise in shops; Credit for reconstruction or to replace lost equipment.

- At the **local community level**, group interviews will be used to establish how the community is subdivided into groups (wealth groups, ethnic groups, livelihood types), who are the poorest and most vulnerable groups and who has been the most affected.
- At **household and/or individual level**, questions will be much more specific and will focus on assets and the particular survival strategies being used as a result of the disaster.

Intelligence gathered from the different levels of assessment.

The following table indicates the types of information gathered from the different levels.

| Level | Information |
|--|---|
| Secondary data and national level key informants | <ul style="list-style-type: none"> ▪ nature, extent and magnitude of the shock/crisis; ▪ extent of affected geographical areas; ▪ extent of groups of people affected (livelihood types) and numbers; and ▪ current information and knowledge on level of disruption to livelihood activities (including market disruptions). <p><i>(Good for Introduction to final report)</i></p> |
| District/area level | <ul style="list-style-type: none"> ▪ impact of the disaster on key organizations and enterprises (public, private, international organizations in the disaster affected areas); and ▪ general impact of the disaster on the livelihoods of people in the area. |
| Market trader/shop keeper | <ul style="list-style-type: none"> ▪ the supply chain for essential commodities; ▪ competitiveness of market; and ▪ effects of the disaster on business. |
| Community level key informants | <ul style="list-style-type: none"> ▪ the most important <i>livelihood activities</i> in the community and when these take place in the year; ▪ the overall impact of the disaster on <i>livelihood activities</i> in the community and current responses; ▪ the potential role of <i>community groups</i> in livelihood recovery; ▪ high priority needs; and ▪ identification of different <i>wealth / vulnerability groups</i>. |
| Wealth groups / individuals | <ul style="list-style-type: none"> ▪ the most important <i>sources of livelihood</i> and expenditure for the wealth group/household before the disaster; ▪ the <i>impact of the disaster</i> on the assets and livelihood activities of the wealth group/ household; ▪ livelihood coping strategies; and ▪ the <i>main short and longer-term priorities and needs</i>. |

Contacts

For more information on these approaches contact: Neil.Marsland@fao.org / Richard.China@fao.org

How to conduct a livelihoods assessment - the Livelihood Assessment Tool-Kit

Introduction

FAO has been working with the ILO to develop the Livelihood Assessment Toolkit (LAT), which is designed to be used in the context of sudden-onset natural disasters. The objectives of the LAT are:

- ⇒ to build up a clear picture of how the ability of people to make a living has been affected by disaster; and
- ⇒ to identify strengths and opportunities for livelihood recovery as a precursor to project and programme development.

The LAT consists of three linked tools as follows:

- **The Livelihood Baseline (LB)**
- **ILIA**
- **LA**

These should ideally be used in sequence but in many cases this will not be possible. Accordingly, the ILIA and the LA tools can also be used as stand alone instruments. The following table gives an overview of the what, who and when and why of the different tools.

| Element | Function | Programming/funding target | When and by whom? |
|--|---|--|---|
| LB Livelihood Baseline Information | This set of statistical data and relevant socio-economic studies gives quantitative and qualitative data on key aspects of livelihood systems (populations, wealth and poverty indicators, occupations etc). It provides the pre-disaster context for the ILIA and LA, so enhancing the power of these tools to make informed generalisations on livelihood impact and opportunities presented by the disaster. | It is useful to elaborate quick briefs for flash appeals, early recovery donor conferences and information to the public. Could be used to extrapolate from if ILIA is not possible before flash appeals. | When? <u>Time take to compile baseline: 2 – 6 weeks.</u> Compilation done before the disaster. By whom? Mainly data analysts in National governments /Universities/ UN / NGOs |
| ILIA Initial Livelihood Impact Appraisal | <u>Initial</u> assessment of impact of disaster on livelihoods at “local level” This info is combined with the baseline, giving a solid basis to the proposals for immediate action on livelihood recovery. The ILIA is to be coordinated with other sectoral assessments and fed into Flash Appeal analysis, strategy and project proposals | The ILIA is aimed at the first flash appeals, and the initial Post-Disaster Needs Assessment (PDNA). It is also useful for advocacy purposes to local and international media and funding organizations. | When? <u>Duration of assessment: 1 – 7 days</u> <u>Usual window for assessment: Within first 10 days</u> after disaster. By whom? Ideally national Government and UN staff /consultants integrated into the UNDAC |
| LA Livelihood Assessment | Assessment of impact of disaster on livelihoods and opportunities, capacities and needs for recovery at household, community, and local economy levels. Includes conversion of the results of assessments into response options containing strategy outlines programme profiles and concrete projects | Provides a more detailed information and rationale for strategies, programmes and projects to be submitted to revised Flash appeal and /or early recovery donor conferences, for funding purposes. Also should fit in with a more in-depth PDNA picture. | When? <u>Duration of assessment: 30 days.</u> <u>Usual window for assessment Within 90 days</u> of the disaster. By whom? Multi-disciplinary, multi – agency teams (including National government staff) led by livelihood specialists. |

Features and Structure

The LAT approach has several important features, including the following:

- **Strong linkages between tools:** The three assessment stages of the LAT are closely linked in the sense that they support and feed into one another. Thus, the baseline sets the pre-disaster context and defines certain questions and relationships for the post-disaster ILIA and the LA. The ILIA will provide a general picture which will be refined and developed by the LA and the LA itself will help re-define the baseline.
- **Quantitative and qualitative analysis:** A key function of the baseline is to provide a context within which the findings of the more qualitative and area specific ILIA and LA can be interpreted. Combining a more quantitative and generalized baseline picture with the ILIA and particularly the LA means that we can derive prevalence, gauge severity and trace processes in a way which is not possible when either quantitative or qualitative methods are used independently.
- **Livelihood opportunities and capacities as well as impact analysis:** In addition to looking at the impact of a disaster on people and their current coping strategies, the LAT approach actively identifies capacities and opportunities for recovery and increased resilience. This means that it goes further than most assessment methods.
- **Tailored to funding and programming mechanisms:** The assessment methods and stages are specifically tailored to key funding and programming mechanisms. The ILIA, is tailored to the Flash Appeal, whereas the LA is aimed at a revised Flash Appeal and/or an early recovery donor conference. The LA is also intended to serve as the basis for more detailed project and programme formulation missions leading to a number of programming avenues including government livelihood recovery strategies and agency specific projects and programmes.
- **A modular approach:** Whilst the three assessment tools are related and are utilised to most powerful effect when used as a “package” they can also be used independently. This has been done in recognition of the fact that it may not always be possible to have a full suite of elements in each given emergency situation. Thus, an LA may be carried out even if no prior baseline information is available or no ILIA has been carried out immediately after the onset of the disaster. Likewise, successful ILIA does not depend on an ex-ante livelihood baseline (although it would benefit from one).

Assessment preparedness: In order to be most effective, the LAT should be integrated as much as possible into country level disaster preparedness systems and structures and supported by global level capacities where relevant. The key elements of *assessment preparedness* can be summarised as follows:

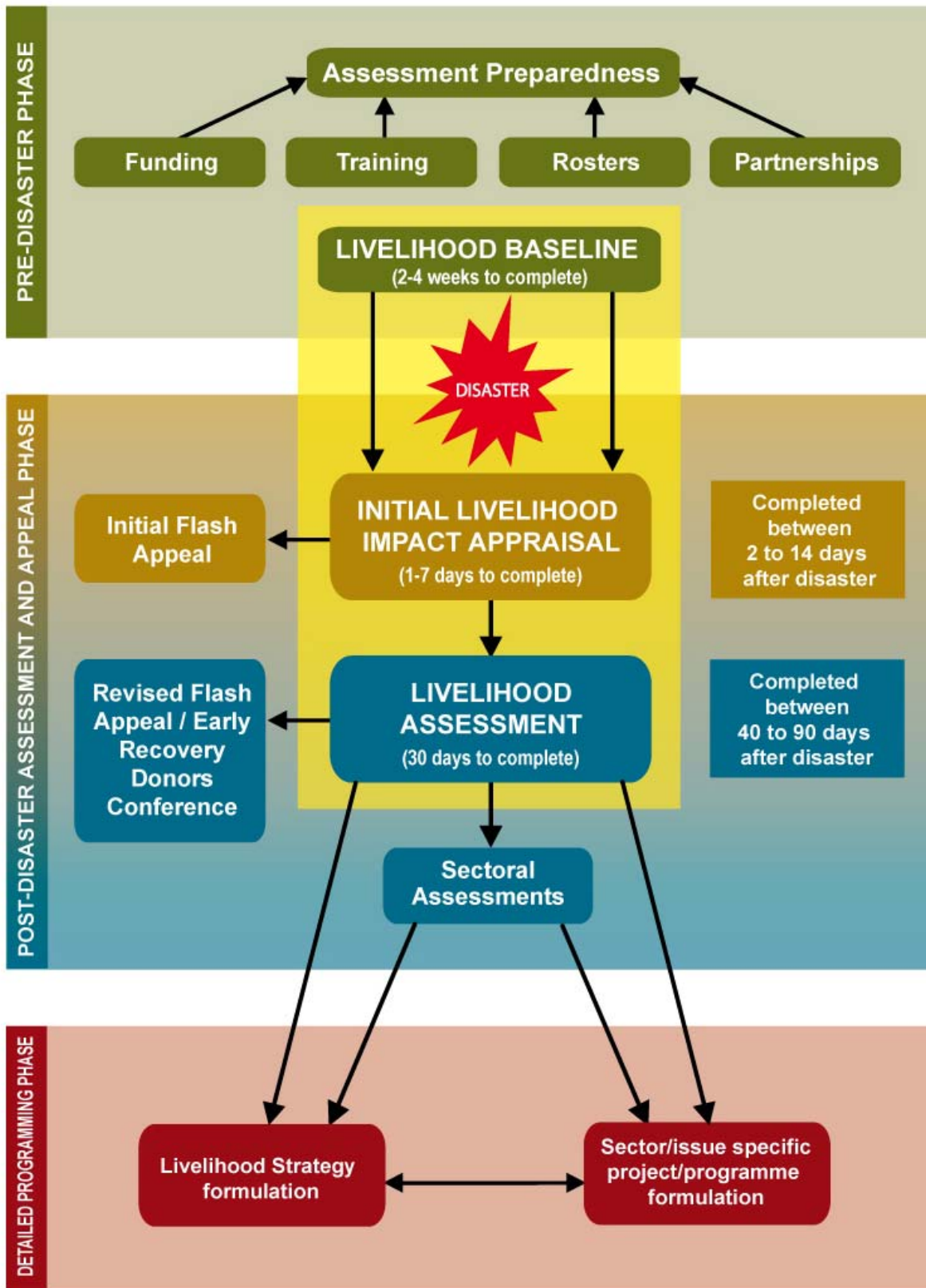
Partnerships: The LAT cannot proceed effectively without the active support and participation of the government. Furthermore, the results of LAT assessments have to be communicated in timely and effective manner to government and donors through appropriate mechanisms. The buy-in and support of government, donors and partners at country level needs to be assured through dialogue, mutual learning, training and sensitization

Development of expert rosters: Development of rosters of national, regional, and HQ level experts from FAO, ILO and other organizations and consultants. This is key to ensuring that assessment teams can be properly led in the field.

Quick release financial mechanisms: Rapid response financial mechanisms for post-disaster assessment have to be mainstreamed into disaster preparedness by the UN and governments at country level.

Training of national experts: In order to minimise the dependence on external expertise, a strong training component is envisaged for each of the three tools.

Figure 1 illustrates the relationships between the different parts of the LAT and the various funding and programming tools:



Outputs and examples

Whilst all three tools in the LAT have now been designed, the LB part of the LAT has not yet been implemented in a country context. The ILIA is currently (April 2007) being used in the Solomon Islands but the results are not yet available. In contrast, the LA has now been used in various stages of development in a number of countries: Pakistan (2005 Kashmir earthquake); Indonesia (2006 Yogyakarta volcanic eruption and earthquake); Philippines (2006 typhoons) and Bolivia (2007 flooding). In these different situations, the LA has been the foundation for agricultural/rural livelihood rehabilitation plans developed jointly with government authorities.

Structure of Livelihood Assessment Report

Below is a possible outline for a full report from the LA. The report should ideally be no more than 20 pages. It should include photographic evidence where helpful.

9. **Executive Summary:** include key messages, including timeframes: what is needed for IMMEDIATE action and what is needed for medium-term.
10. **Background** – overall impact and magnitude.
11. **Sources of information**
12. **Methods used for LA**
13. **Description of the affected area**
 - Livelihood or agro-ecological zones.
 - Livelihood groups.
6. **Effects of the event I: Effects on organizations**
7. **Effects of the event II: Markets**
8. **Effects of the event III: Household livelihoods**
 - Social capital and political capital.
 - Natural and agricultural assets.
 - Physical assets.
 - Human capital.
 - Financial assets and personal possessions.
9. **Livelihood outcomes; current realities and people's short- and medium-term aspirations.**
10. **Opportunities and capacities for response.**
 - Organizations.
 - Households – coping and adaptation.
11. **Response priorities:** Issues and implications for response programmes, divided into immediate and longer-term responses.

The target audience

- National government (by sector)
- National government (disaster bodies/authorities)
- Local/district government
- UN agencies
- Early Recovery Cluster (UNDP)
- Food Security/Agriculture sector
- Informal livelihoods network
- International NGOs
- Local NGOs
- Donors
- Elected representatives/groups
- Community groups
- Labour organizations
- Business organizations
- Peasant organizations
- Cooperatives and cooperative networks and organizations

Contacts

For further information contact: Neil.Marsland@fao.org / Richard.China@fao.org

TCP facility request for a Rapid Livelihood Assessment in the Philippines

Request processed in January 2007

Background

The Philippines was hit by three typhoons (*Milenyo, Paeng, and Reming*) within a period of ten weeks, from September through December 2006. The fourth typhoon *Seniang* hit the country on 9 December 2006. These consecutive typhoons caused landslides, flash floods, mud slides, widespread flooding and together with extensive destruction and damages to homes, community buildings, infrastructure, farm lands and coastal and inland fisheries. Typhoon *Reming* (30 November 2006) was the most destructive, severely affecting the provinces of Albay, Catanduanes and Carmarines Sur in Southeastern Luzon Island. Most of the severely affected areas were coastal and farming municipalities and towns.

FAO assessment process

In order to provide rapid support to affected populations and the Government, FAO launched its needs assessment process¹⁷.

Under Phase 1, in response to calls for assistance from the Philippines, FAO mobilized its staff in Manila, Rome and Jakarta to carryout preliminary assessments and contribute to the rehabilitation of the agriculture sector through the UN Emergency Response Typhoon Appeal. The Appeal was launched on the third week of December for international assistance for an amount of about US\$49 million. FAO proposed three project profiles with a pledge of US\$4.2 million to support the Government of the Philippines in assessing the overall damage in the agriculture sector and to deal with the food security situation in the aftermath of the typhoons¹⁸.

Under Phase 2, FAO is responding to a direct request of the Philippines government to assist in undertaking a comprehensive damage and needs assessment for the agriculture sector. What is required at this stage is a more in depth assessment which focuses on the livelihoods of affected communities and which clearly spells out what should be done to restore these and indeed make them more resilient to further shocks. Accordingly, a Rapid Livelihood Assessment (RLA) will be carried out in five weeks over January – February 2007. The RLA will be conducted as part of a broader multi-agency, multi-sectoral needs assessment which is being coordinated by the UN Resident Coordinator in Philippines. It will be followed immediately by the development of project proposals.

Phase 3 will be duly considered during the implementation of Phase 2 and proper resources will have to be secured under a full-fledged TCP project. Under Phase 3, the development of a livelihood rehabilitation strategy in line with the request from the Government of the Philippines will be done. This will be funded outside of the current request.

In order to operationalize phase 2, the following budget gives indicative costs for a seven person team on a five-week assignment, led by a international team leader.

¹⁷ See Figure 1 “Relationships between the different parts of the Livelihood Assessment Tool-Kit and the various funding and programming tools” on page 113

¹⁸ In Region IV- Southern Tagalog, Region V- Bicol , Region VI- Eastern Visayas and Region VIII- Western Visayas.

Budget for FAO assessment process in response to sudden-onset disaster - Phase 2

| TCP/PHI/3103 | | | |
|---------------------|--|-------------------|-------------------|
| TCP-Facility | | | |
| Comp. | Component Description | Sub Comps. | Main Comp. |
| 5013 | Consultants | | 22,050 |
| 5542 | Consultants - International | 13,300 | |
| 5543 | Consultants - National | 8,750 | |
| 5544 | Consultants - TCDC/TCCT | - | |
| 5545 | Consultants - Retired Experts | - | |
| 5546 | Consultants - South South Cooperation | - | |
| 5547 | Consultants - UN Volunteers | - | |
| 5549 | Consultants - Young Professionals | - | |
| 5014 | Contracts | | - |
| 5650 | Contracts Budget | - | |
| 5020 | Overtime | | - |
| 5652 | Casual Labour - Temporary Assistance | - | |
| 5021 | Travel | | 22,720 |
| 5661 | Duty travel others (only FAO staff) | - | |
| 5684 | Consultants - International | 8,500 | |
| 5685 | Consultants - National | 9,020 | |
| 5686 | Consultants - TCDC/TCCT | - | |
| 5687 | Consultants - Retired Experts | - | |
| 5688 | Consultants - South South Cooperation | - | |
| 5689 | Consultants - UN Volunteers | - | |
| 5694 | Travel - Training | - | |
| 5691 | Consultants - Young Professionals | - | |
| 5692 | Travel TSS | - | |
| 5698 | Travel - Non staff (e.g. counterparts) | 5,200 | |
| 5023 | Training | | - |
| 5920 | Training Budget | - | |
| 5024 | Expendable Equipment | | - |
| 6000 | Expendable Equipment | - | |
| 5025 | Non Expendable Equipment | | - |
| 6100 | Non Expendable Equipment Budget | - | |
| 5027 | Technical Support Services | | - |
| 6111 | Report Costs | - | |
| 6120 | Honorarium TSS | - | |
| 5028 | General Operating Expenses | | 6,632 |
| 6300 | General Operating Expenses Budget | 6,632 | |
| 5029 | Support Cost | | 3,598 |
| 6118 | Direct Operating Costs | 3,598 | |
| | Grand Total | | 55,000 |

What resources can be mobilized quickly to initiate the response process?



| ACTIVITIES | SOURCE OF FUNDS |
|--|---|
| Initial Livelihood Impact Appraisal | ⇒ FAOR local resources or TCP Facility |
| Livelihood Assessment | ⇒ TCP Facility or SFERA Needs Assessment component |
| Deployment of Emergency Coordination Unit | ⇒ On-going projects (if any) or SFERA Early ECU set-up component |
| Programme development | ⇒ CERF grant component or SFERA Needs Assessment component or "usual" TCP |
| Early starting of projects | ⇒ SFERA Working Capital component or CERF Loan component |

SFERA: Special Fund for Emergency and Rehabilitation Activities



Response Analysis, Selection and Planning

Chapter 4

After having read this section you should be able to respond to the following questions:

- *How to design an FAO programme in a post-emergency situation using the livelihoods approach?*
- *What kind of responses are offered by FAO in an emergency?*
- *How does / should FAO preparing its response strategy and plan, linking needs and responses?*
- *What support is available within FAO for the development of the Response plan?*

Towards effective food security responses

POLICY BRIEF, JUNE 2006, ISSUE 1

FAO is improving emergency response protocols against a backdrop of system-wide UN humanitarian reform.

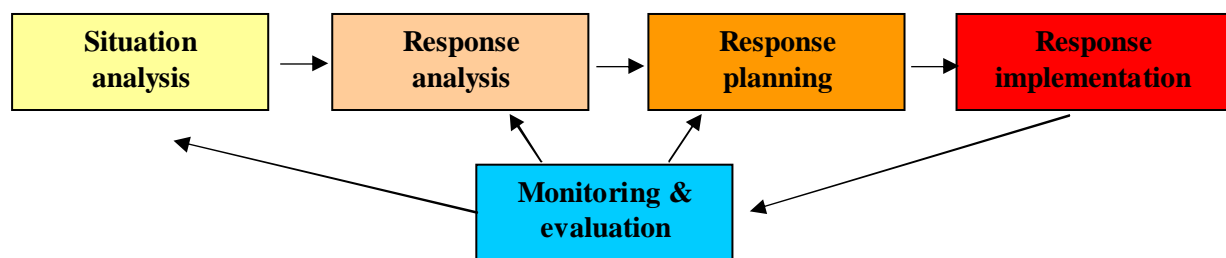
Humanitarian reform is an issue at the centre of the UN policy agenda; donors and international agencies are working together to improve the predictability, timeliness and effectiveness of humanitarian responses through a range of measures including the Good Humanitarian Donorship Initiative; the CAP NAF; the Cluster Leadership Approach and the newly upgraded CERF. In this rapidly evolving scenario, how can a food security perspective contribute to improved humanitarian response?

FAO, for example, is developing an emergency response framework which identifies immediate food security priorities and measures for improving the productivity and resilience of food systems in the medium and long-term. The framework recognizes that persistent complex and protracted food emergencies call for diversified response options. These include social protection, livelihood restoration and improving the resilience of food systems.

Emergency response protocol for food security

The framework considers emergency response strategies as a process with long-term planning horizons rather than as a series of *ad hoc* emergency needs assessments. It also includes feedback mechanisms along the various stages of the project management cycle.

The emergency response protocol includes the following major elements:



Situation analysis: The foundation aspects of a given situation, including its severity, magnitude, proximate and underlying causes, are identified and gain technical consensus.

Response analysis: The range of potential response options for improving the short and long-term situation, as well as implementation requirements, are identified.

Response planning: Operational requirements and systems, including advocacy and fund raising, are identified and set up.

Response implementation: Effective response is operationalized to ensure desired impact.

Monitoring/evaluation: Changes in the situation analysis and the impact of response are monitored and evaluated.

Rationale for the response protocol

The rationale for the response protocol is to provide:

- **Transparent and timely approaches to crises:** The response protocol identifies a clear logical sequence and the full range of components that should take place in ongoing crises response. It focuses on the changing nature and scale of humanitarian assistance, recognizing that complex emergencies require more extensive planning to address situations that stretch into the longer-term and are uneven across time and space.
- **Broad-based food security responses:** The response protocol operationalizes the concept of strategic response analysis and considers appropriate medium-, short- and longer-term response options. It moves beyond standard response options (such as food aid, seeds and tools) to include social protection, livelihood restoration and resilience of food systems which are more relevant in humanitarian interventions than ever before.
- **Evidence-based approach:** The protocol delineates the need for systematic baseline and pre-crisis food security information as a basis for continuous assessment, monitoring and evaluation in countries prone to recurrent disasters and protracted crises.

Work to-date

Under the FAO Netherlands Partnership Programme, FAO is institutionalizing a response protocol that delivers “food security relevant responses to different types of crises based on a comprehensive framework that analyzes and addresses people’s needs.”

A range of technical tools support FAO’s role in crisis response as it relates to the emergency disaster cycle. These include:

- (i) CFSAMs;
- (ii) GIEWS; and
- (iii) *Ad hoc* Missions, Agricultural Assessment Missions, Sub-sector analyses (e.g. nutrition, livestock, infrastructure) and Recovery and Relief Missions.

Other ongoing initiatives to improve food security analysis and response mechanisms are outlined below:

The IPC is a tool for improving analysis and decision-making in emergency situations that is being developed by FAO and the FSAU, Somalia. The IPC tool is a standardized classification system integrating food security, nutrition and livelihood information into a simple statement indicating the severity of a crisis and implications for humanitarian response.

Livelihood approaches have been incorporated into rapid assessments for sudden disaster responses and post emergency scenarios such as the 2004/2005 tsunami and the 2005 Pakistan earthquake.

Country level support linking food security information with policy/strategy making, programme formulation and interventions has been strengthened. Specific programmes include the EC-FAO Food Security Information for Action Programme that supports food security information systems in 20 countries, SETSAN (Mozambique) and SIFSIS (Sudan).

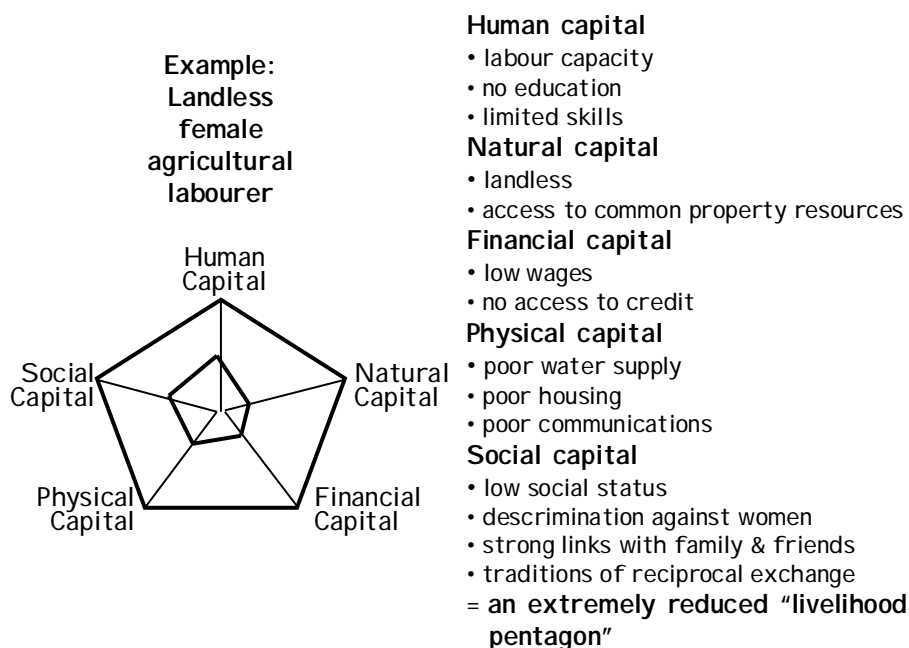
How to use the Livelihoods Pentagon to quickly identify a first response

The purpose of this note is to outline how the Livelihoods asset Pentagon can be used as a tool for initiating planning of emergency responses.

The Sustainable Livelihoods Framework and Assets Pentagon

The SLA uses a framework in order to represent people's livelihoods systems and the external contexts that affect them (such as policy or vulnerability contexts). The main characteristic of the framework is to simplify people's complex ways of living and map the resources (or lack of them) and the external factors that shape their strategies and choices. The framework is simple but at the same time manages to capture all the relevant factors that shape our lives. The framework is constructed by category headings that are adaptable to any type of context and/or situation, no matter how complex and specific (see p106 – a Simplified Livelihood Framework¹⁹).

If you want to run an easy test of the framework and whether it 'fits' reality, try and use it to describe your own livelihood situation or that of an area where you are working. Start from the Asset Pentagon, since it is the centrepiece of the framework. The Pentagon is mainly used to describe the diversity, amount and balance of assets at the individual household and/or at the community/local level (see p105 – Asset classification). See below as an example the Asset Pentagon for a landless female agricultural labourer.



The individual household's and community's asset basis is also shaped by the **vulnerability and policy contexts**. Both of these shape the choices (positive and negative) that people make in order to fulfil their livelihoods aspirations and/or in order to recover from stresses.

¹⁹ The Livelihoods framework has been modified and re-drawn by many different organisations and researchers in order to represent reality in a way that each in turn considered more effective. For a review of other versions of the Framework and how it has been used see www.livelihoods.org .

The livelihoods framework is complemented by a **set of principles** (such as people-centeredness, participation, poverty-focus, flexibility, holism) that characterise it and give it a sense of direction in terms of how it can be used to achieve global development objectives (such as MDGs). In practical terms it can be used as a basis for situation/project analysis, implementation, monitoring and evaluation and planning.

Using the Asset Pentagon as a quick tool to identify the range of potential interventions in emergencies

The Asset Pentagon can be used to do a quick initial planning exercise for emergency response. The advantages of using this tool are:

1. it can be explained and carried out quickly. It is light and easy to communicate to others;
2. in conjunction with information on the nature and magnitude of the disaster, it helps organize information on the likely impacts on different population groups; and
3. it identifies potential areas of inter-sectoral and inter-agency intervention, covering specific mandates and possible areas for collaboration.

The expected setting would be that of an inter-sectoral, inter-agency initial response meeting, where the stakeholders present (agencies, government, NGOs, donors) need to agree, in a short period of time, as to what areas have been affected and who is able to intervene where and to do what. The exercise is divided into two steps and can be carried out in about an hour (indicative).

Step One: Using the Asset Pentagon as a guiding tool, list the areas worse affected or the most severe losses and damages for each of the capitals.

Example: For a flood, natural capital: land water-logged, loss of crops and seeds, livestock drowned etc. social capital: families separated and family members lost, etc.

Note: If people have started reacting to the crisis with some specific strategies, list those as well under the capitals because it may be useful to build your response based on what people are already doing by themselves.

Example: social capital: communities activating/accessing seed or fodder banks, associations tracing family lost family members.

Step Two: Once all the damaged lost or affected items have been listed, write them out on the left hand column of a large table (use a flipchart). On the right you can start outlining short and long term responses to each of the listed items under each capital **or** only for the priority ones. You can then also identify agencies, government departments and other stakeholder that will lead and/or participate in the response. In a short period of time and without lengthy (and often circular) discussions over mandate and competencies, you will have identified potential response options and agencies. These will then need to be further defined and prioritized by looking more closely at priorities, timings, costs and institutional capacities.

Below is an example that was developed in a group simulation training session within one hour. The important thing to remember, when using this tool, is to do so in a flexible and adaptive way. The sequence of steps described in the note is only indicative and you may want to build your preliminary response options matrix using different categories for activities, timeframe or stakeholder participation. You may also want to extend the categories in your left hand column to analyse policies, institutions and processes drawn from the livelihoods framework. This may or may not be relevant in the immediate aftermath of a sudden onset event but the issue should be at least considered.

Example of food security response, the Options Matrix

GOAL: Restore sustainable food security and livelihoods

Objective 1: Mitigate the impact of the disaster through lifesaving activities.

Objective 2: Restore productive capacity for sustainable livelihoods.

...

Food security response Options Matrix (incomplete).

| Physical assets | | | |
|--|--|--|---|
| Asset | Short-term | Long-term | Agencies |
| Housing | Camps | 1. Rebuild and relocation. 2. Cyclone shelter. | UNICEF, UNHABITAT, NGOs, Gov. |
| Transport and infrastructure | 1. Clear roads. 2. Temp. repair. 3. Use boats and helicopters. | 1. Cash for work repair / Rebuild larger infrastructure. 2. Land use & mgt strategy. 3. Water control | WFP, FAO, Gov |
| ... | | | |
| Social capital | | | |
| Asset | Short-term | Long-term | Agencies |
| Loss of essential personnel and skills | Life-saving services from abroad (eg, doctors) | 1. Needs assessment. 2. Manpower development strategy (ag, edu, health) | Gov, FAO, UNFPA, UNESCO |
| Families separated | Tracing | Orphan/widow support, extended families & community support structures | NGOs, UNHCR, OCHA, Gov. |
| ... | | | |
| Financial capital | | | |
| Asset | Short-term | Long-term | Agencies |
| Loss of income and savings | 1. Labour for reconstruct. 2. Cash transfer 3. Vouchers. 4. Donations | 1. Labour for reconstruction 2. Credits 3. Facilitate remittances | MFIs*, WFP, UNDP, Gov, NGOs |
| Loss of trade | Credit | 1. Marketing infrastructure 2. Credit 3. Insurance | MFIs, WB, IFAD, UNDP/NGOs, FAO |

*MFI – Micro-finance Institution

Contact: Marta.Bruno@fao.org

Typology of possible responses by FAO in emergencies to rebuild livelihoods

| Sector | Topics | Situations where FAO assistance may be appropriate | Contact |
|---|---|--|---------------------|
| 1. Crop Agriculture | Seed systems: | | NRL, AGP, ESW |
| | -Direct distribution | When farms have lost seed but other conditions allowing farming are present, e.g. displacement to area where access to land. Particularly when availability of cash to buy or supply to buy is limited. Also for non-traditional crops or crops with high seed rate. | |
| | -Seed Vouchers and fairs; credit to traders | Suited to the response phase after a natural disaster or conflict, when farmers lack seed, but seed is available locally. Security conditions allow establishment of markets. Allows choice by the farmer; encourages sharing of varieties and information. | |
| | -Other interventions to strengthen the seed system | Most likely to be important in recovery phase. For example seed multiplication projects could be part of increasing diversification and introducing crops that become important in drought or other disaster, i.e. useful for mitigation. | |
| | Farmer field schools / Junior Farmer Field and Life Schools | Designed to pass on information. Could be set up at any time, provided there is sufficient local capacity and stability. If less capacity, may be better in recovery or mitigation phase. They can assist to preserve knowledge in areas with high HIV death rates. | |
| | Hand tools and mechanised means of production | When access to means of production is more difficult, delayed, affecting efficiency, appropriate technology may be introduced when labour shortages are a problem, e.g. HIV/AIDS is prevalent. | AGS |
| | Pest Management | <ul style="list-style-type: none"> • Outbreaks of locust or other migratory pests. • Outbreaks of indigenous pests • Restoration of pest management capacity after interruption of agricultural services as a result of a major or complex emergency. • Reform of pest management practices if current practices destabilise production and/or cause significant health problems. • Chemical emergencies after pesticide stores got destroyed as a result of floods or acts of war. | AGP |
| | Fertiliser | When disasters reduce immediate availability or access to fertilisers in areas where fertiliser use is common. | AGP |
| | Irrigation | Rehabilitation of existing networks would be appropriate in the response phase if irrigated production was an important part of household's food economy; and work could be completed in time for next season. Provision of new technology/equipment, e.g. treadle pumps could increase production & reduce labour; but may need training, follow-up and more time. | NRL |
| | Horticulture; home and school gardens | | AGP, AGN |
| Post harvest conservation and food processing | | AGS | |
| Promote Improved production techniques | Promote conservation agriculture techniques/ no-tillage programmes etc. | AGS | |

| Sector | Topics | Situations where FAO assistance may be appropriate | Contact |
|----------------------------|---|--|-------------------|
| 2. Fisheries | Fishing techniques and equipment | Suitable in response phase, for fishing communities or communities with diversified livelihoods, which have lost equipment e.g. due to storm or fighting. need to still have access to fish. Need to consider environmental impacts, if increasing the no. of fishers or size of catch: more complicated in rehabilitation of livelihoods. | FII |
| 3. Forestry | Provision of cooking fuel | | FOR |
| | Environmental conservation; reforestation | | FOR, NRR |
| 4. Livestock | Livestock health; veterinary; immunisation | Proven outbreak of animal diseases in a country or sub-region; where suitable mechanisms for implementation exist. | AGA |
| | Livestock marketing | Where herders regularly sell livestock and increase sales at start of drought; where export limitations due to animal diseases in a country/region – example Horn of Africa; livestock off-take programmes. | |
| | Restocking/ Destocking | | |
| | Livestock feeding | Temporary important shortages of feed due to natural disasters, like extreme cold winter (example Mongolia) or drought (example Horn of Africa), likely to lead to starvation. | |
| 5. Nutrition | Food and nutrition surveillance and information | | AGN, ESA |
| | Food and nutrition communication and education | | |
| | Direct nutrition interventions, e.g. Feeding centres; support to nutritional centres. | To support food production to be used in feeding centres | |
| 6. Off-farm income | Small scale credit programmes | | AGS |
| 7. Cross – sectoral | Food processing – Agro industries (food processing businesses). | | AGS |
| | Transport facilities; improving roads | | |
| | Extension services | | NRR |
| | Marketing | | AGS |
| | HIV/AIDS related activities | In particular, see activities related to JFFLS with orphans and vulnerable children | ESW, AGN, AGS |
| | Gender analysis and sensitisation | | ESW |
| | Emergency Coordination | | TCE |
| | Food security, disaster monitoring and assessment | | ESA AGN EST |
| | Support to information systems, e.g. in early warning | | |
| | Improving access to land/natural resources | For returning refugees and IDP and for areas where civil conflict over natural resources occurs. | NRL |

Description and objectives of different livelihood support interventions

Source: Jaspars et al (2002, August), Oxfam GB (2003, August), Creti and Jaspars, Eds (2006).

| Intervention | Description | Objectives |
|------------------------------|---|---|
| Food aid | | |
| General distribution | Free distribution of a combination of food commodities to the affected population as a whole. If the population is cut off from their food supply or suffers abnormally high rates of malnutrition, food rations should meet nutritional needs. Income and employment. | To meet immediate food needs of populations cut off from their normal sources of food. To protect or recover livelihoods by preventing the sale of assets, or allowing households to spend time on productive activities that will restore livelihoods. Income and employment |
| Income and employment | | |
| FFW | Public works programmes where workers are paid in food aid. The food ration is often calculated to be less than the daily wage rate for an area. The rationale for this is that the poorest self-select. | To provide food aid as income support for the poor or unemployed. To rehabilitate infrastructure, e.g. roads, schools, irrigation systems etc. |
| Cash for work (CFW) | Beneficiaries are paid in cash to work on public works or community schemes. Commonly these are to improve roads and water sources. The programme targets the poorest or most food insecure. | To provide income to meet basic food and non-food needs and provide income support. To rebuild community assets. To stimulate the local economy. |
| Cash grants | The provision of money to targeted households or communities, either as emergency relief to meet their basic needs for food and non-food items, or as a grant to buy assets essential for the recovery of their livelihoods. | To meet basic food and non-food needs. To recover livelihoods through the purchase of essential assets or re-establish business. To cancel credit debts. To stimulate the local economy. |
| Micro-finance | The provision of financial services to vulnerable but economically active individuals and households. This can be through loans, remittance services, loan rescheduling, insurance, etc. | To restart local economies through enterprise and employment creation. To increase economic self-sufficiency. |

| Intervention | Description | Objectives |
|--|--|--|
| Market support | | |
| Commodity vouchers | Vouchers distributed to emergency-affected populations which can be exchanged for fixed quantity of named commodities from certified traders either at distribution outlets, markets or special relief shops. | To provide income support and meet basic needs. To provide production support; in case of seed vouchers. To support traders/retailers and stimulate markets. |
| Cash vouchers | Cash vouchers have a fixed cash value and can be exchanged for a range of items up to this value, from special shops or traders. | To provide income support. To recover livelihoods. To stimulate markets and trade. |
| Monetisation & subsidised sales | Putting large quantities of food aid grain on to the market or subsidised sale through specified outlets. | To improve access to staple foods for consumers. To ensure that prices are kept within normal boundaries. To improve traders' access to commodities. |
| Market infrastructure | For example, transport and feeder roads. Some of this may be done through cash or food for work programmes. | To improve physical access to markets for producers. |
| De-stocking | Purchase of livestock when there is pressure on water and pasture and prices are falling, at above prevailing market prices. Animals can be slaughtered and meat distributed as part of the relief effort. | To protect income and terms of trade for pastoralists. To prevent a collapse in the livestock market. |
| Production support | | |
| Agricultural support | Agricultural support programmes usually involve some form of seed distribution in conjunction with inputs to help plant and harvest crops e.g. tools, pesticide spray. | To help re-establish crop production. |
| Livestock support | This can take a variety of forms. Early in a food crisis, interventions include provision of water, fodder, veterinary care, livestock offtake/de-stocking (when animals are at increased risk of dying). After the acute stage of crisis, interventions may include restocking. | To prevent loss of livestock through sales or death. To assist in herd recovery. |
| Fishing support | Distribution of fishing tools to improve catch (nets, boats, cages). | To increase ability of people to fish as a source of food and income. |

Key reading

Collinson (2003, February). Power, livelihoods and conflict: case studies in political economy analysis for humanitarian action. HPG report 13. ODI.

DfID (1999). Sustainable livelihoods guidance sheets. www.livelihoods.org

Sphere Project (2004). Humanitarian Charter and Minimum Standards in Disaster Response, Oxford: Oxfam Publishing

Lautze and Raven-Roberts (2003, September). The vulnerability context; is there something wrong with this picture?

(Embedding vulnerability in livelihoods models; a work in progress). UN Food and Agriculture Organization, Rome.

Criteria for decision-making on interventions to address food crises

Sources: Levine and Chastre (2004, July), Jaspars et al (2002, August), Creti and Jaspars, Eds (2006).

| Type of intervention | Criteria | Common emergency context | Advantages | Disadvantages |
|----------------------------------|---|---|--|---|
| General food distribution | People are cut off from normal sources of food. Lack of availability of food. Alternative ways of increasing access to food would take too long. | Acute emergencies. Large scale emergencies. Displacement. | Most readily available resource. | Tied food aid takes a long time to reach destination. High logistics requirements. Can undermine markets and production if food is locally available. |
| Food for work (FFW) | Lack of access to food. Lack of availability of food. Labour potential. Infrastructure damaged. Security and access. Target population should not suffer acute food insecurity or high levels of malnutrition. | Slow-onset or recovery stage of crisis. Chronic food insecurity. | Easier to target than free food distribution. Restores community assets as well as providing food. | Small scale. Not everyone can work. |
| Cash grants | Food available and markets functioning. Risk of inflationary pressure is low. | Early stages of emergency or rehabilitation. | Cost efficient. Choice for beneficiaries. Quick way of meeting basic needs. Stimulates markets. | Risk of inflation. Cash may not be spent on intended programme objectives. Difficult to monitor. Difficult to target. |
| Cash for work (CFW) | Food available and markets functioning. Food insecurity result of loss of income, assets or employment. Risk of inflationary pressure is low. Security and access. | Recovery phase. Chronic food insecurity. | Choice. Creates community infrastructure. Stimulates markets. Stimulates recovery Easy to target. | Small scale. Not everyone can work. May interfere with livelihood strategies. High management requirements. |
| Vouchers | Essential commodities can be brought in by traders. Opportunities to make agreements with traders. Food availability and functioning markets. | Usually second phase response in acute emergencies. | Promotes purchase of local products. Can specify commodities. Commodity vouchers protect from inflation. Easy to monitor. | Risk of forgery. May create parallel economy. May need regular adjustment to protect from inflation. |

| Type of intervention | Criteria | Common emergency context | Advantages | Disadvantages |
|--|---|--|--|--|
| Microfinance | Functioning markets and banks. Stable economy (no hyper-inflation). Skilled workforce. | Recovery stage of emergency. Relatively secure context. Home based populations or returnees. | Can be sustainable. | High management costs. Risk of default on loans. |
| Market infrastructure | Food insecurity is result of fragmented markets. | Both emergency and development contexts. | Can bring about long lasting change in people's access to markets. | Needs in-depth market analysis. Often done badly as part of FFW or CFW if focus is on providing food or cash. |
| Monetisation & subsidised sales | Local food prices volatile. Targeted at areas that face food deficits. Affected population still has some purchasing power. Direct distribution not possible because of insecurity. | Early stage of emergency. | No targeting. Potential for quick impact on large population. | Can have negative impact on markets if done when criteria are not met. |
| Seeds and tools | Food insecurity due to reduction or loss in crop production. Affected households lack seeds and tools. Lack of availability of seeds and tools. The lack of seeds/tools limits production. Local knowledge. | Recovery stage or protracted emergencies. | Re-establishes crop production. Strengthens agricultural systems in the longer-term. | Requires knowledge of local seeds. Imported seeds may not be used. |
| Livestock support | Sales causes collapse in market prices. Deaths result from lack of pasture and/or water. Livestock disease. Restrictions to livestock movements. Local knowledge. | Depends on type of intervention but some livestock intervention can be implemented at all stages. | In line with people's own priorities, and thus likely to get high levels of community participation. | Can usually only be done on small scale. |

Contributions of the Needs Analysis Framework (NAF) to the FAO emergency and rehabilitation response

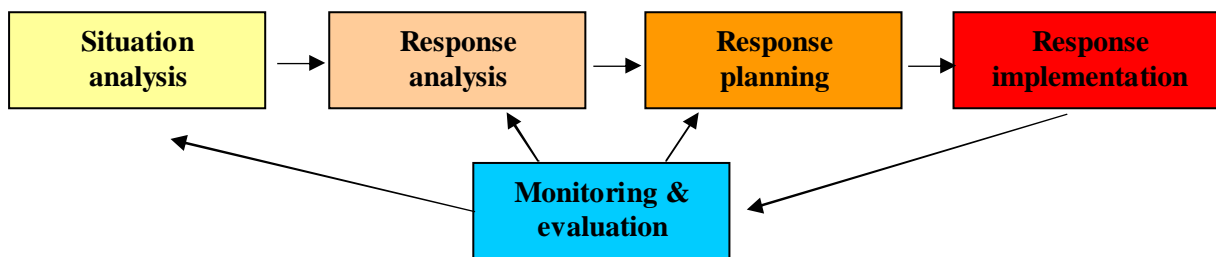
(Prepared by: Neil.Marsland@fao.org / Etienne.Peterschmitt@fao.org)

BACKGROUND

At the end of November 2006, OCHA launched an annual CAP for 2007. The 2006 appeal covered 14 countries and two regions (both regions and 12 countries were in Africa). The total appeal value was US\$4.29 billion - \$0.26 billion of which was for agriculture and US\$1.40bn was for food.

In order to improve the quality of the CAP, and as part of the Good Humanitarian Donorship initiative, OCHA has introduced the NAF. This is a standardized multi-sectoral analytical framework, which UN agencies are supposed to use in the preparation of the CAP documents for 2007. FAO has formed a partnership with WFP in selected countries to develop the food security part of the overall NAF.

In parallel, FAO has been developing an Emergency Response Protocol for Food Security. This consists of the following major elements: **Situation Analysis, Response Analysis, Response Planning, Response Implementation** and **Monitoring & Evaluation** (see "Towards Effective Food Security Responses" page121).



The food security NAF addresses the first **three** steps of the protocol, (situation analysis, response analysis and response planning).

THE NAF IN UGANDA: LESSONS LEARNED AND FUTURE APPLICATIONS

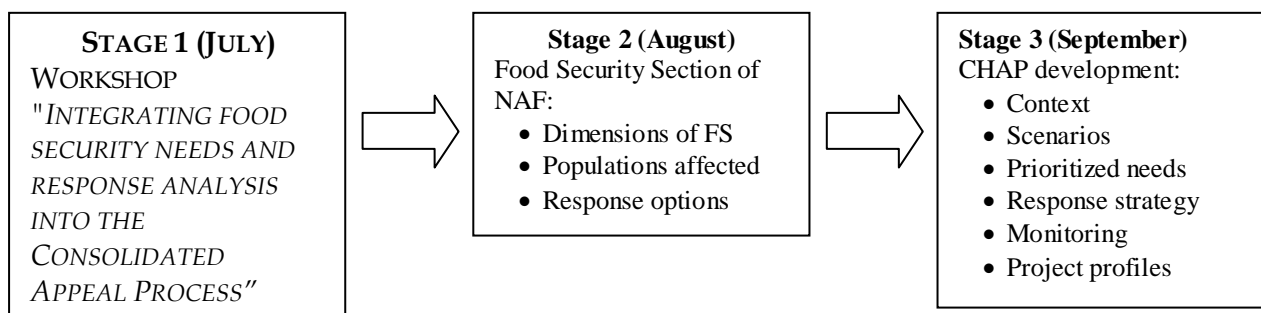
The NAF is being used in two main ways to support the emergency work of FAO in Uganda.

- In relation to the development of the food security part of the CHAP 2007 and the project profiles that go with this.
- In relation to the development of a near to medium-term food security sector strategy from which a FAO Plan of Action can be distilled.

1. NAF and the CHAP/CAP

Process

The NAF was used in Uganda to help formulate the food security response plan and the associated project profiles for the 2007 CAP document. This took place as a three stage process as depicted in the following diagram:



Stage 1: A workshop entitled "*Integrating food security needs and response analysis into the Consolidated Appeal Process*" was attended by 25 persons from several agencies. The aims were to understand the food security part of the NAF and agree on a time line for integrating food security analysis into the overall timetable for the CHAP 2007. Follow up activities included a further half-day workshop on how to facilitate food security situation analyses at district level for FAO and WFP staff..

Stage 2 : FAO and WFP staff undertook a response options analysis. The food security section of the NAF was developed in draft form based on consultations undertaken by WFP and FAO staff in affected districts (i.e. the situation and response options analyses).

Stage 3: The food security response plan for the CHAP was developed, together with relevant project profiles. This consisted of the following: *the food security context* (taken from the NAF); a "*most likely*" *scenario for 2007* in terms of numbers and locations of target population groups; *response prioritising and response strategy development* (both drawing on the NAF) and finally *project profiles*.

Lessons learned:

- *Emergency food security programme formulation:* In Uganda the structure of the food security NAF has been used to generate a food security CHAP that has the buy-in of both WFP and FAO. The link between needs and response in both the NAF and the CHAP is clear. FAO project profiles are seen to be responding to shared priorities within a food security context, and are therefore more easily linked to the complementary work of WFP.
- *Partnerships with WFP:* The food security NAF is a tool which helps FAO and WFP country teams do food security needs and response options analyses together. It could easily be adapted to apply in cases where there is no CAP in a given country.
- *Lack of OCHA leadership should not be a barrier:* Whilst OCHA did not provide any leadership on the NAF, WFP and FAO worked very well together to move the process forward and create a robust response plan. The food security response plan for the 2007 CHAP was regarded as the best one by OCHA Kampala.
- *WFP priorities:* WFP's country level analytical needs assessment machinery is geared around the production and updates of the Protracted Relief and Recovery Operation (PRRO) and is undertaken by the VAM unit through EFSAs and Comprehensive Food Security Vulnerability Assessments (CFSVAs). This may or may not coincide with a NAF or the CHAP timetable. In order for this to change WFP has to see the value added of undertaking a joint NAF exercise. One opportunity for doing this might be represented by the link between the NAF and longer-term food security sector response planning (*see below*).

2. NAF and longer-term food security response planning

It is important to note that the response options part of the NAF goes beyond the classic CAP emergency planning horizon and seeks to blend short and longer-term response planning on the basis of an understanding of food security and livelihoods. Indeed, the response options section of the NAF specifies two types of responses: i) **Immediate food security responses**, i.e. those that provide direct and immediate response to food availability, access and utilisation; ii) **Longer-term food security responses** that strengthen livelihood options.

For this reason, the NAF will form an important basis for the development of a food security sector rehabilitation strategy for Northern Uganda, led by FAO and supported by WFP. To encourage buy-in, the strategy will be developed with the Food Security Group (FSG) based in Kampala. The FSG consists of several NGOs as well as the Office of the Prime Minister (OPM). The strategy will form a key bridge between the short-term emergency focus of the CAP and the longer-term and multi-sectoral Peace, Recovery and Development Plan (PRDP) for Northern Uganda, and the launch will coincide with the CAP launch in late November this year. Once the sector strategy has been formulated and launched, a FAO plan of action will be distilled from it – in a manner similar to the way in which FAO project profiles have been distilled from the CHAP response analysis. In this way, the Plan of Action is clearly seen as part of and contributing to a broader set of shared food security goals.

Food security component within the IASC Needs Analysis Framework

Developed in close collaboration with WFP

1 Situation Analysis

Purpose: To determine the current and evolving food security situation based on available current secondary information i.e. early warning, vulnerability baseline and assessment information, including an analysis of underlying causes.

The situation analysis provides a synthesis of the food security situation. It can be informed by a livelihoods approach addressing access to and control of assets, as well as the potential for livelihood recovery. Protection and security concerns may also be critical.

1.1 Dimensions and causes of food insecurity

The analysis examines the underlying causes of food insecurity based on the following dimensions (to the extent possible):

- **Food availability:** Levels of local and national food stocks; food production forecasts; expected levels of imports; main areas of surplus/deficit; and degree of market integration; staple food price trends; price trends of other essential goods and services (cooking fuel, rents, taxes); administrative regulations inhibiting the movement of goods and/or influencing staple food prices; and the capacity of the markets to meet the demand for food now and in the future.
- **Food Access:** General situation/impact of the crisis on the local economies including employment opportunities and demand for local products and services; when and to what extent economic activity and the demand for local products and services are expected to recover. This includes the impact on the main sources of food and income; level of obligatory expenditures and/or proportions of obligatory expenditures out of total expenditures; estimated degree of food access shortfalls; estimated access shortfall of essential goods and services. (MDG Food and Nutrition indicator: if available include proportion of household income spent on food for the poorest quintile; MDG Poverty and Hunger: Refer to section on Economic context for indicators related to proportion of population under poverty line and poverty gap ratio – the latter just been introduced.)
- **Food Utilization:** Current food consumption patterns (diversity, frequency) for each distinct population group; their ability/constraints to prepare food; intra-household food consumption practices (children, adult women and men, the elderly and most vulnerable individuals); current nutritional status and main causes (food consumption, health, care); mortality rates (disease-related and from other causes); water, sanitation and other public health concerns threatening lives and nutritional status²⁰. (MDG Food and Nutrition Indicators: Refer to previous section on Nutrition for indicators related to prevalence of underweight children under five years of age and the proportion of the population below minimum level of dietary energy consumption.)

1.2 Affected Area and Population

The analysis identifies areas and population groups affected by food insecurity. For each population group the following information should be considered:

- location;
- profile;
- approximate number; and
- severity of food insecurity.

The situation analysis should also consider future food security scenarios i.e. the likely change in the food security situation over time i.e. risk, vulnerability and stability factors. Ensuring availability and access to food "at all times" requires the analysis of the dynamics of the context and seasonality.

²⁰ The analysis of nutrition-related effects and response options should particularly draw from the nutrition, health and water and sanitation sections of the NAF.

2 *Response Options Analysis and Recommendations*

Purpose: To identify immediate and longer-term response options that are appropriate and feasible and to make recommendations concerning what specific food security responses should be undertaken.

2.1 *Response Options Analysis*

The section will identify:

- immediate food security responses, i.e. those that provide direct and immediate response to food availability, access and utilization; and
- longer-term food security responses that strengthen livelihood options.

The appropriateness and feasibility of each response should be assessed considering:

- review of ongoing food security responses;
- overview of implementation capacities by government and other relevant agencies;
- complementarities between immediate and longer-term food security responses;
- synergies between food security response options and other sectoral responses; and
- pros and cons of various response options.

2.2 *Recommended Responses*

- Specification of appropriate and feasible food security responses for affected populations/groups requiring assistance.

3. *Monitoring and further assessment*

Purpose: To monitor responses adopted and determine their adequacy to meet assessed needs, as the situation evolves.

This will provide guidance with respect to the appropriateness of the responses undertaken. The following aspects should be identified:

- specific aspects/indicators to be monitored during the next 3/6/12 months, particularly those indicators expected to change;
- arrangements (or responsibilities) for monitoring including funding implications;
- recommendations for follow-up assessments based on identified information gaps gained from the situational analysis, if appropriate; and
- linkages to the UNDAF Common Country Assessment Tool.

Food Security Response Plan – 2007 Uganda CAP

Extract from the Food Security Sector - CHAP 2007

1. Food Security Sector review, progress and achievements in 2006

Food insecurity in Uganda remains a factor of access. Access related food insecurity is still widespread in areas affected by conflict and drought and among vulnerable groups like orphans-, women- and- children-headed households and households infected/affected by HIV/AIDS. Responses to food insecurity by the food security sector in 2006 can be divided into agricultural and food aid responses.

Food aid: In 2006, an estimated US\$111.4 million was required to meet the food needs of the vulnerable populations. This was later revised to US\$122.8 million to cover an increase in logistics-related costs. As of August 2006, US\$84.8 million (69 percent of revised cost) are confirmed contributions. The sector objectives and response plans remained unchanged. For the period January to August 2006, WFP distributed about 132 400 tons (58 percent of annual requirements) to 2 605 640 beneficiaries as shown in the table below:

| Activity | Planned beneficiaries for 2006 | Actual beneficiaries (Jan- August 2006) | Percent actual/planned |
|--------------------------|--------------------------------|---|------------------------|
| IDPs | 1 444 000 | 1 495 440 | 104% |
| Refugees | 190 240 | 183 300 | 96% |
| TFC | 2 080 | 5 730 | 275% |
| School Feeding | 500 000 | 414 500 | 83% |
| MCHN | 123 920 | 45 100 | 36% |
| HIV/AIDS | 107 000 | 85 720 | 80% |
| Drought-affected persons | 70 000 | 22 000 | 31% |
| Food for assets | 168 400 | 214 000 | 127% |
| Total | 2 605 640 | 2 465 790 | 95% |

The low percentage of actual MCHN beneficiaries compared to planned is due to the fact that the programme was only rolled-out early this year and there is a slow build-up of partners while the low percentage of drought-affected persons reached is a consequence of an assessment conducted in Karamoja that indicated that heightened drought response will be required in 2007.

Agriculture: A total of 514 000 people were assisted during both cropping seasons in 2006 focusing on food insecure and HIV-AIDS affected households living in rural and urban IDP camps and their host communities as well as those in the process of returning or having recently returned to their areas of origin in Acholi, Lango and Teso regions. Special emphasis was put on populations for which safe and voluntarily return conditions applied. The activities carried out included provision of seeds/tubers, improved storage and food processing equipment, fuel/fruit tree seedlings and energy saving cooking stoves, agricultural extension services and capacity building including pilot Farmer Field Schools, draft animal power equipment, small livestock and support to fish farming production.

An additional 626 000 people will be assisted during the first season 2007 (with funding received in 2006) for the same type of activities with minor changes for the seed kit content taking into account the seed security assessment and the monitoring and evaluation exercises carried out by FAO throughout the year.

The total number of beneficiaries under the CAP 2006 has so far reached 1 140 000 (190 000 households) compared to the 946 440 people (157 740 households) planned a year ago. Although not all project profiles were equally funded, the number of beneficiaries receiving agricultural inputs (essentially seeds, tubers and cuttings) was higher than initially anticipated thanks to the high rate of return in Lango region.

FAO also completed its land access study using GPS and satellite imageries. Food security coordination mechanisms in partnership with WFP and local governmental structures were reinforced at district levels and a comprehensive food security strategy compiled by FAO and WFP will be shared with partners and other clusters/sectors before the end of the year.

The joint project profiles with UNHCR and IOM respectively focusing on (i) agriculture, environmental and livelihood support to refugee hosting areas; and (ii) agricultural economic recovery and infrastructure, have not yet been funded. However, over 75 percent of the appeal was covered as of September 2006 while an additional 15 percent is in the pipeline.

In addition to these activities, a number of regional initiatives were started during the year. These included: (i) implementation of the surveillance and communication components of the National Plan of Action for the Preparedness and Response to Avian Influenza in Uganda; (ii) enhancement of the capacity for livestock emergency response in Karamoja regions; (iii) mass propagation and distribution of Cassava Mosaic Disease-free planting materials; and (iv) promotion of food security, nutrition and livelihoods of HIV/AIDS affected households. In addition, UNICEF, FAO and WFP have developed a set of food security interventions for Teso and Karamoja regions for the next three years. Finally, a proposal for the promotion of rice production in Teso and Lango region is being drafted and could be implemented jointly by FAO and WFP.

2. Needs analysis

The primary cause of food insecurity in Northern Uganda is not food shortages at the national level, but rather the underlying problem of food entitlement at the household level. Insufficient access to food at that level is as a result of a combination of low quantities of food produced and restricted ability to acquire food on the market. These problems are due to restricted access to land (for most IDPs and refugees); low productivity of land (for all food insecure groups); high levels of poverty and poor market infrastructure (for all food insecure groups); recurrent drought (in Karamoja); and civil conflict (for all food insecure groups). The provision of food aid is necessary in many cases to replenish the food access shortfall caused by these factors.

The following table presents the estimated population numbers falling into the four population groups most at risk of food insecurity in the north in 2007: drought affected households in Karamoja; continuing IDPs; returnees and refugees.

| Geographical area | Population group | Estimated numbers in 2007 ²¹ | Est. nber of households in 2007 | Comments |
|---------------------|------------------|---|---------------------------------|---|
| Karamoja | Drought affected | 500 000 | 83 000 | These are the numbers estimated as being in need of food aid by WFP from Jan. – June 2007. |
| Acholi sub-region | Continuing IDPs | 768 910 | 128 152 | This includes an estimated 39 000 individuals (... households) currently in Masindi. |
| | Returnees | 380 500 | 63 420 | This includes an estimated 27,000 individuals (... households) currently in Masindi. |
| Lango sub-region | Continuing IDPs | 69 700 | 11 620 | These are all in Apac. |
| | Returnees | 380 300 | 63 400 | This includes 200 000 estimated returnees (... households) in the September – December 2006 period. |
| Teso sub-region | Continuing IDPs | 175 802 | 29 300 | 168 000 (... households) from Katakwi and Amuria, 7 000 (... households) from Soroti. Return depends on peace in Karamoja |
| | Returnees | 1 000 | 167 | |
| West Nile | Refugees | 177 000 | 29 500 | |
| | Returnees | 41 005 | 6 835 | All in Adjumani |
| West and South West | Refugees | 40 000 | 6 667 | |
| TOTAL | | 2 533 217 | 422 200 | |

Whilst not all IDPs, returnees or refugees will be in need of food security assistance in 2007, the majority will be in need.

²¹ These are all WFP and FAO estimates, drawing on WFP, FAO, OCHA and UNHCR sources

Continuing IDPs

The key constraints to food security for camp populations include restricted access to land and low productivity of land. Access to markets for sale of produce varies according to the location of the camp, as well as the availability of income-earning opportunities. Continued availability of food aid at 50 percent of the standard food ration coupled with widespread seed distributions have undoubtedly been major factors explaining the continued low rates of malnutrition seen in most of the camps in 2006.

Recent rapid food security surveys indicate that despite the reduction of food aid from 74 to 60 percent of RDA in Kitgum, Pader and Gulu, household food access among IDP families seems to have improved²². This improvement would appear to have occurred thanks to documented modest production increases coupled with some related increases in on and off-farm income-earning opportunities – thus more income to buy food. This evidence of an improved situation needs to be viewed soberly however: rates of un- and under-employment remain very high and purchasing power very low. In addition, available information indicates that for large sections of the IDP populations, diets are poor in terms of quality and diversity.

As the security situation continues to improve, land access for those remaining in the camps can be expected to increase. Greater numbers of individuals can be expected to commute between the camp and their home areas, thus accessing more land and increasing cultivation. The improved security situation can also be expected to have a positive effect on opportunities for market access and diversification of income sources. At the same time, there will be a proportion of households (perhaps 8 – 10% i.e. extremely vulnerable households) in camps which will be unable to return to their former home areas, thus indicating a continued need for targeted food assistance for this group in 2007.

Returnees

Returning populations will need support to re-establish production and farming systems. It is important to realise that these are unlikely to be the same systems as those before the conflict, due to the high rates of population growth coupled with huge reductions in livestock numbers²³. Although land tenure disputes are expected, access to land is not likely to be a major constraint for most returnees; it is rather the productivity of that land which will be the key issue. Whilst there are differences between districts and regions, most of the immediate technical and economic constraints to agricultural and livestock productivity and marketing are similar, including shortages of planting materials and seeds, shortages of livestock, poor market infrastructure, weak or absent extension support and the threat of the cassava virus. In these circumstances, resettlement food aid packages, combined with intensive agricultural and livestock support will be important to assure food security for returnees in 2007.

Karamoja

The population of Karamoja suffers from long-standing structural and security problems combined with recurrent droughts. Add in the fact that the region has been marginalised from Government budgets, then it is no surprise that the development, poverty and nutrition indicators are easily the worst in the country²⁴. An estimated 88.3 percent of the population consume less than 2 200 Kcal per person per day²⁵ and over 18 percent of the population is considered food insecure with 46 percent highly vulnerable to food insecurity²⁶.

²² Source WFP

²³ In Gulu, prior to the conflict cattle numbers were estimated at 130,000. Today the estimate is between 6,000 and 12,000. Prior to conflict (2002) in Lira, the numbers of livestock in the district were; cattle: 80,000 (800 exotic), goats: 240,000, and chickens: 900,000. Today, however, it is estimated only 5-10% of the households have livestock²³

²⁴ The overall Human Development Index for Karamoja is 0.187 - less than 50 percent of the national average estimated at 0.450²⁴. On average, between 80 and 90% of the population are classified as "poor"²⁴. A November 2005 study indicated that overall GAM was 12.1%, well above the 10% level normally taken to indicate a nutritional emergency (check)

²⁵ USAID MEMS study, January 2006

²⁶ WFP CFSVA

A recent WFP mission to the region investigated the agricultural droughts²⁷ suffered in April and July 2006. The April shock has led to stunting of a large proportion of the crop in the eastern pastoral and parts of the middle transition zones, while the July shock affected grain formation. Rains have since improved but may not lead to a substantial recovery of the crop. The GHA SOND Climate Outlook for the region predicts normal to below normal rainfall, with rains receding in September and ceasing in October 2006. This implies a minimum recovery of the crop, and as such in the early part of 2007 it is likely that there will be a particularly acute food access shortfall.

This implies the need for significant food aid support coupled with and followed by renewed provision of seeds to affected populations. Additional, more structural interventions are also needed but the success of these – i.e. support to the livestock sector – will depend heavily on the current disarmament process.

Refugees

The ways in which Uganda's approximately 220 000 refugees access food varies quite considerably according to geographical location. Whilst 75 percent of a total refugee population of 220 000 are receiving some food aid, in Masindi and Hoima just 10 percent and 16 percent of respective refugee populations are in receipt of food transfers. The largest concentrations of refugees are in the West Nile districts of Arua, Adjumani and Moya, and here the percentage of refugees receiving food aid is 80 percent or above. In all the refugee camps, the GAM rate has remained at an average of less than 10 percent in all children under 59 months.

The potential for an eventual phasing down and out of food aid is highly dependent on land access. In accordance with the "local settlement" framework, the Government of Uganda provides free access to land (with rights of usufruct) to enable refugees to contribute to their own sustenance. However, access to land varies depending on the location of settlements. In the West Nile, the land under and around the refugee camps is owned by the local communities, and this makes it much more difficult to allocate additional land than in the western and south western districts where land is Government owned. This difference in land tenure arrangements largely explains the difference between the West Nile and other areas in terms of percentages of refugee populations receiving food aid. All this means that moving towards the goal of refugee self-sustenance will need different approaches in West Nile than in other areas. Of the 177 200 refugees in West Nile, only 26 400 (about 15 percent of the caseload in the region) are deemed to have access to adequate land and have as a result been phased-off food aid assistance. For the rest, food aid will continue to be important for the foreseeable future, although this should be supplemented with agricultural support with the latter increasing in relation to the former where possible. For the 40 000 refugees in western and south-western districts, agricultural and livestock production and marketing interventions should play a key role in improving and maintaining household food security.

Overall Coordination Needs

The need for effective coordination and up-to-date accurate information on the food security status of various population groups is particularly acute in this period of rapid post-conflict change. A recent FAO mission to Northern Uganda confirmed the lack of basic statistics on key variables such as crop production and prices. The report found that agricultural planning and programming are seriously constrained by lack of reliable agricultural statistics. Available agricultural statistics are of poor quality, and can sometimes be misleading. There is an urgent need for putting in place a periodic and systematic agricultural data generating mechanism, including the carrying out of the agricultural census, which has undergone lengthy planning.²⁸ In addition to this, existing food security sector coordination mechanisms will need to be strengthened to deal with the expected influx of NGOs and bilateral development actors into Northern Uganda in the months ahead.

²⁷ "Agricultural" in that only crops were affected not livestock (CHECK)

²⁸ Review of Food and Crop Situation in Uganda, FAO/GIEWS September 2006

3. Strategy

Goal : To empower IDPs, returnees, refugees and drought-affected persons in Uganda to maintain and improve their household food security through a combination of agricultural and livestock support and targeted food aid.

Objectives

1. To enable the continuing 170 000 IDP households in the North and North-East of Uganda to engage in agricultural and livestock production for food and cash income whilst adequately supported by food aid.

Target: By end of 2007, continuing IDPs are able to meet at least 60 percent of their food needs through non-food aid activities on average.

2. To support the initial establishment of crop and livestock production systems for the 94 000 returnee households in 2007 (mainly in Acholi and Lango sub regions).

Target: By end of 2007, all returnees are able to meet their food needs mainly through agricultural and livestock production without relying on food aid.

3. To support the food consumption of 36 000 refugee households living in camps in Uganda and maintain their ability to produce food to cover their basic nutritional needs.

Target: The existing level of food and agricultural support is shifted more towards agricultural support within a constant overall resource envelope.

4. To ensure adequate food consumption and production safety nets for 83 000 drought-affected households in Karamoja during 2007.

Target: During 2007, 500 000 people receive sufficient food and agricultural / livestock support to enable them to meet their food needs

Activities

To meet these objectives, the following activities will be undertaken:

- supply of planting materials and tool kits;
- support the reestablishment of animal traction and restocking of small livestock;
- vouchers for work, linked to supply of agricultural inputs;
- support the establishment of income diversification (e.g. fish farming, bee keeping, post-harvest value adding technologies: grinding mills, etc.);
- promote energy saving interventions;
- establishment of farmer field schools for training;
- setting up seed multiplication schemes;
- support marketing activities;
- general food distribution;
- targeted feeding activities: school feeding, MCHN (Maternal Child Health and Nutrition), OVCs (Orphans and Vulnerable Children), PHA (People Having AIDS) and extremely vulnerable individuals; and
- food for assets activities.

Indicators

The indicators for achievement of the objectives are as follows:

Objective 1

- % of annual IDP household kilocalorie needs met from food produced by IDPs.
- % of annual IDP household kilocalorie needs met from food purchased by IDPs.
- Estimated per capita income.

Objective 2

- % of annual household kilocalorie needs met from food produced by returnees.
- % of annual household kilocalorie needs met from food purchased by returnees.
- Estimated per capita income.

Objective 3

- % of annual household kilocalorie needs met from food aid.
- % of annual household kilocalorie needs met from food produced by refugees.
- % of annual household kilocalorie needs met from food purchased by refugees.
- Estimated per capita income.

Objective 4

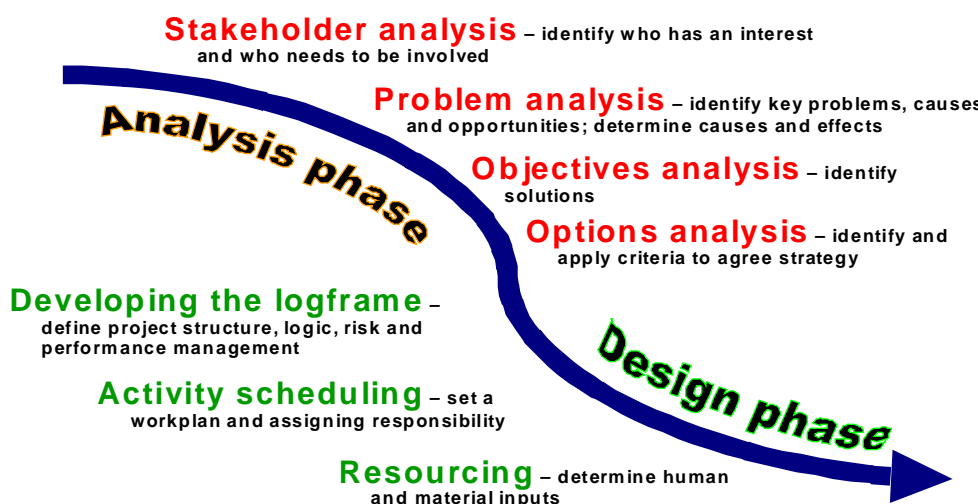
- % of annual household kilocalorie needs met from food aid.
- % of annual household kilocalorie needs met from food produced by targeted households.
- % of annual household kilocalorie needs met from food purchased by targeted households.
- Estimated per capita income.

Logical Framework Analysis – the logframe

(See FPC2007/02 – Standard Project Document Format)

The “logical framework” refers to a planning/management tool which has been used in various forms for project planning over the past several decades. The logical framework (or logframe) is simply a table or matrix which is used to facilitate project planning by clearly presenting a hierarchy of project elements with associated indicators, means of verification and important assumptions. The initial stages of logframe preparation are the identification of stakeholders, problem analysis and the formulation of options to address the problems:

Phases of the logframe approach



When options are defined and agreed to, the logframe matrix is developed with the following hierarchy:

| Design Summary | Indicators/Targets | Data Sources | Assumptions |
|----------------|--------------------|--------------|-------------|
| Impact | | | |
| Outcome | | | |
| Outputs | | | |
| Activities | | | |

Impact is now the accepted term for what was previously termed the overall development objective or goal. This is the uppermost level of the logframe matrix and should refer to government development priorities and/or MDGs. The next level (2) is **outcome**. The outcome represents what had previously been called the immediate development objective/s, however in the new harmonized approach, only one outcome is presented for a project. The next level (3) is **outputs** which are realized through **activities** at the 4th and final level. At times there is confusion between what is an activity and what is an output. An **activity** involves action and should be stated clearly as something to be done, such as: the training of ten school teachers in....., versus an **output** which is something accomplished, such as: ten school teachers trained in...

Completion of the Matrix:

As seen above the logframe matrix is comprised of 4 columns: 1) *design summary*; 2) *indicators*; 3) *data sources*; and 4) *assumptions*. Column one (design summary) and column four (assumptions) are completed together as in figure 1. Assumptions represent the conditions necessary at each level for the achievement of the objectives/results.

The if/ then logic

| | Design summary | | | Assumptions |
|------------|---|---|---|--|
| Impact | Then we should contribute to this Impact | ← | | And these conditions pertain |
| Outcome | If we achieve this outcome. Then we should achieve this outcome. | ← | ↗ | And these conditions pertain |
| Outputs | If we deliver these outputs. Then we will deliver these outputs. | ← | ↗ | And these conditions pertain |
| Activities | If we carry out these activities Then we will carry out these activities. | ← | ↗ | START HERE If these pre-conditions pertain |

Once the elements under the design summary and the assumptions are defined, the 2nd and 3rd columns are completed. For each level, and for every activity/output, *indicators* should be provided in column 2 to serve as benchmarks upon which to measure achievement. For each indicator, provide the means of verification or *data source* in Column 3 with which to measure the indicator.

A completed logframe not only clearly presents a project but it also provides the project implementers with a tool for guiding implementation and subsequently provides project evaluators with a tool for evaluation.

Do not include too much detail in the logframe. A detailed work plan and budget will follow as separate, attached documents.



Programme Design and Implementation

Chapter 5

After having read this section you should be able to respond to the following questions:

- *What are the tools available to prepare a programme and a project?*
- *How to obtain key FAO project implementation information?*
- *What technical support is available within FAO for the design of programme?*
- *What monitoring and evaluation mechanisms should be in place?*

Standardized Project Document Format

(See FPC2007/02 – Standard Project Document Format)

This Field Programme Circular (FPC) has been prepared by the Technical Cooperation Department (TC) in order to introduce a Standard Project Document (SPD) format applicable to all FAO programmes and projects and designed to be consistent with current approaches and best practices used throughout the UN development system and the international aid community.²⁹

These guidelines are primarily addressed to project formulators who are requested by member governments or FAO to formulate project/programme documents for which FAO technical support is envisaged. Project formulators can be national staff working in national governments or non-government institutions, national/international consultants contracted by FAO or FAO personnel.

The new format and the related annotated guidelines provide project formulators with clear guidance on the structure, composition, contents and quality of FAO project documents³⁰ prepared for funding by extra-budgetary resources or by the Regular Programme under the TCP or the SPFS. It is expected that the standard format and guidelines provided in this FPC will lead to significant improvements in the quality of project documents which in turn will facilitate review, implementation and evaluation of field projects.

I. Important considerations for project formulators:

Project formulators should be guided by the following considerations when preparing a project document that envisages FAO's technical support:

1. Reducing hunger and extreme poverty is a prerequisite for achieving the WFS objectives and the *MDGs*. The organization's strategic focus on food security and poverty alleviation, as described in FAO's Basic Texts and Strategic Framework will, in the coming decade, guide the Organization's collaboration with its members in addressing the MDGs. Project documents must reflect this strategic focus.
2. "*Capacity development and ownership of national development strategies are essential for the achievement of the MDGs*" (UNGA 59/250). Project design should reflect these basic concepts.
3. While projects are owned by the beneficiary governments and/or institutions which are ultimately responsible for their implementation, FAO is accountable for the use of project funds *vis-à-vis* the recipients and the donors and is responsible for providing the project services under its responsibility "*with due diligence and efficiency*". FAO thus shares responsibility with the government for the achievement of the agreed project outcome within a defined timeframe.
4. FAO projects are normally implemented within the context of national development plans and strategies, in partnership and cooperation with national or local organizations, other aid programmes, as well as NGOs, CSOs and the private sector.
5. FAO is a knowledge organization and the resources available within the organization should be fully utilized by project formulators to identify best practices and lessons learned from previous projects conducted by FAO as well as by other organizations/donors.

²⁹ IFIs, such as the WBk, GEF, the EC, the UN Trust Fund for Human Security as well as some donors, require specific project formats from their organizations. In all other cases, the SPD format should be used.

³⁰ Throughout the FPC and the Annotated Guidelines, the term "project documents" is meant to include all documents prepared for FAO-assisted programmes, including the Special Programme for Food Security.

II. SPD format and guidelines:

The guidance provided through this FPC consists of four key documents, namely

- i) the format itself;
- ii) a list of types of projects and programmes currently in use in FAO;
- iii) a matrix on the applicability of the various subsections of the format; and
- iv) the annotated guidelines.

These documents should guide project formulators on the structure to be applied and the content to be provided when formulating project documents for FAO technical support.

Attachment 1: *Standard Project Document Format*

The SPD format provides an outline for projects with five main sections which are common and standard to *all* projects and a number of supporting subsections. The number of subsections can be adapted to the nature of the programme/project whereby for certain types of projects a simplified presentation is sufficient and for large-scale and complex projects a more comprehensive presentation may be required.

Attachment 2: *Types of FAO projects and programmes*

This attachment provides a list of the types of projects and programmes that are currently used to provide FAO assistance to its members.

Attachment 3: *SPD – Project type matrix*

The project type matrix provides guidance on the subsections that are mandatory and those that are optional, depending on the project type.

Attachment 4: *Annotated guidelines*

The format and the matrix are supported by annotated guidelines which provide project formulators with clear step-by-step instructions on how to prepare a project document with the SPD format.

Project formulators should review these guidelines carefully and utilize them fully when preparing a project document. Formulators should also consult the Field Programme Manual web site³¹ located on FAO's FPMIS for additional resources, examples and guidance on project document formulation (<https://extranet.fao.org/fpmis>).

³¹ This component of the Field Programme Manual is currently under construction and will be made available as soon as possible.

STANDARD PROJECT DOCUMENT FORMAT

Cover Page

Executive Summary

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SPD - PROJECT TYPE MATRIX

Attachment 3

| PROJECT DOCUMENT SECTIONS | SUB-SECTIONS | TYPE OF PROJECT | | | | | | | | | | | | | |
|--|--|-----------------|------|-----|-----|-----|------|------|------|-----|-----|-----|------|------|--|
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| | 1.2.2 NMPF and UNDAF | M | M | O | O | O | O | O | O | O | O | O | O | | |
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| | 2.3 Project Justification | M | M | M | M | M | O | M | M | O | O | O | O | | |
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| | 4.1 Institutional Framework and Coordination | M | M | M | M | M | M | M | M | M | M | M | M | | |
| | 4.2 Strategy / Methodology | M | M | M | M | O | O | O | M | M | M | O | M | | |
| | 4.3 Government Inputs | M | M | O | M | M | M | M | M | M | M | M | M | | |
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* for budgets exceeding US\$ 500 000

Legend: M = mandatory O = optional

Attachment 3

Guidelines for the preparation of budgets for emergency projects

Version March 2007

This TC Procedure, which is released as “work-in-progress” at the request of TCE, is prepared in the form of a mini-manual that can be browsed through the use of hyperlinks within the document. Users can move back and forth using the web toolbar of MS Word³². Eventually, this guidance is expected to be moved to the field programme development component of the Field Programme Manual available from [FPMIS](#).

The content of this procedure is as follows:

- I. [Purpose](#)
- II. [Introduction and basic principles](#)
- III. [Main categories of issues for budget preparation](#)
 - a. [Country-specific issues](#)
 - b. [FAO Representation specific issues](#)
 - c. [Emergency and Rehabilitation Operations specific issues](#)
 - d. [Donor considerations](#)
- IV. [Norms and standards](#)
 - a. [General points to remember](#)
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[Annex I](#)

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I. Purpose

The objectives of these guidelines are first, to improve budgeting of emergency and rehabilitation projects and, second, to help managers gauge the adequacy and completeness of those budgets. These guidelines should contribute to designing budgets with realistic and precise cost estimates.

Emergency and rehabilitation projects in FAO respond to a wide range of problems under very different situations. Thus, project budgets have to reflect specific circumstances. The list, provided in [Annex I](#), groups together main factors that may be relevant to your project under key headings. The list is not necessarily exhaustive and there might be other issues to be considered on a case-by-case basis.

The list does not attempt to provide amounts to add to or to subtract from a standard budget as these vary widely depending of the nature of the project. It highlights, instead, factors that may have significant cost implications if they are relevant to the type of operation you are defining in a project document and related project budget. To determine precise costing you should consult the appropriate sources for input. These guidelines provide the link or contact to the main references.

The factors that generally contribute to particular considerations in the preparation of budgets of emergency and rehabilitation projects have been grouped in four main categories:

- A- [Country specific](#)
- B- [FAOR or existing FAO office specific](#)
- C- [Operations specific](#)
- D- [Donor specific](#)

³² In case it is not active on your PC, from MS Word click on “[View](#)”, “[Toolbars](#)” and then “[Web](#)”.

II. Introduction and basic principles

In early 2005, after the Tsunami related emergency, it became clear that FAO required good guidelines on how to prepare budgets for emergency and rehabilitation projects, particularly to ensure adequate costs of recovery of FAO indirect variable support costs³³ as well as improved and coherent budgeting practices.

When preparing budgets for emergency and rehabilitation projects it is important to consider the following principles:

- a) the operational costs in the field for implementing all project activities should be fully recovered;
- b) donor contributions are based on fixed total budgets. The overall portfolio of projects in a given country must cover all project inputs as well as the costs of the services associated with the delivery of those inputs;
- c) within a given budget, over-estimated operational costs may mean less resources available for the beneficiaries. On the other hand, a budget that under-estimates these costs may either result in underperformance and poor quality assistance, or may result in unspent balances. Both situations may negatively affect the effectiveness of FAO operations;
- d) usually, unspent balances are returned to the donors who do not perceive this as a sign of good planning and management capabilities. With proper budgeting, the beneficiaries receive the assistance they require without resulting in unspent balances; and
- e) finally, support costs must be budgeted at the correct level. It currently stands at a ceiling rate of 10 percent in the case of emergency and rehabilitation projects³⁴.

The preparation of the budget of an emergency/rehabilitation project is an integral part of the formulation of the project document and should duly take into account the results of the needs assessment carried out by the ERCU or by the FAOR and possibly by other partners.

The ERC, when present in the country, is responsible for the formulation of draft project documents and the preparation of the related budgets in accordance with these guidelines and, if necessary, with support from a TCE Operations Officer. The administrative and operational staff of the FAOR may also be requested to provide advice to the ERC, particularly for the budgeting of local inputs. When there is no resident ERC, the draft project documents and budgets are prepared by a TCE Operations Officer, usually in consultation with the FAOR, or by a needs assessment/formulation mission or by the FAOR itself when there is no ERCU or assessment/formulation mission in the country.

The budget should be based on a detailed analysis of the inputs and services required and the associated workload. The analysis should include a quantification of the work necessary to ensure the successful implementation of the project/ programme³⁵. Usually, this includes: i) monitoring of the delivery of inputs and services to the beneficiaries (logistics arrangements, number of field visits, possible sub-offices, technical services, etc.); ii) management of the financial and administrative aspects of the operation (payments, accounting, personnel etc.); iii) coordination with government, donors implementing partners and other UN agencies; and iv) evaluation and reporting on results/achievements.

³³ These costs cover administrative services (such as recruitment and servicing, procurement and contracts, budgeting, accounting, reporting, custody of funds, etc) as well as operational services (such as expert identification, supervision and monitoring, specifications for equipment, etc). A detailed description is available in the Finance Committee documentation [AOS and Technical Support Services (TSS) respectively in paragraphs 14, 15 and 16, 17: FC 93/4 at <http://www.fao.org/docrep/meeting/x2778E.htm> and <ftp://ftp.fao.org/docrep/fao/meeting/011/j8273e.pdf>].

³⁴ Support Costs are called Administrative and Operational Costs (AOS) in UNDP projects, Direct Operating Costs (DOC) in TCP projects, and Project Servicing Costs (PSC) in Trust Fund projects. Their rate is 10 percent, 7 percent and 10 percent respectively for emergency and rehabilitation project.

³⁵ In this context, an emergency operation is referred to as a "programme" when it receives contributions from more than one donor.

The workload analysis provides the justification for the required personnel and office space as well as vehicles, computers and other equipment, and security requirements. The analysis of the workload is an integral part of the budget preparation.

In the case of large emergencies with substantial funding (several million dollar programme), project planning and budgeting should be done in the context of an overall programmatic response at the country level. This means that the project is not a “stand alone operation”, but is a key component which contributes to a larger FAO programme operated by the ERCU. In this situation, the project will contribute to a share of the various services to be associated for the delivery of the work. For example, the project should contribute to: a share of the salary of the Coordinator and/or technical officers, a percentage for the rent of office premises and/or warehouse, a percentage for the administration and financial management, a part for the maintenance of vehicles, etc.

III. Main categories of issues for budget preparation

Emergency and rehabilitation projects are designed to respond to a wide range of situations and are implemented under different circumstances. These affect budget preparation. Each issue listed below should be analyzed in the context of the specific project being planned. The general checklist below is indicative and not necessarily exhaustive. Additional details are provided in Annex I, while Annex II records expenditure posting account and Annex III gives a standard format of a simplified budget as part of the project document (prodoc).

a) Country-specific issues - A high degree of development (roads, communication systems, public infrastructures and services) could mean a reduced need for support. A middle-income country would normally provide very substantial support to a small or medium-sized emergency, but a large emergency might require the same support as that in a least developed country (refer to Section A of Annex I for details). The security situation is also a key factor in the assessment of the cost of an operation. Operations in countries under security phase III and above demand a higher financial investment for the mandatory compliance with MOSS³⁶ requirements (refer to Section A of Annex I for more details).

b) FAO Representation specific issues – There are some issues related to the set-up and structure of FAO country offices that might affect project costs. In countries with an FAOR that can provide administrative and logistical support the costs will be different than in countries without an FAOR. Large emergency operations may require the establishment of an ERCU with additional office space and human resources. Even with a dedicated ERCU, an emergency and rehabilitation project, being part of a larger programme, may have to share the FAOR incremental costs. Whatever the circumstances, cooperation and synergies with the FAOR are essential (refer to Section B of Annex I for more details).

c) Emergency and rehabilitation operations specific issues – Specific operational issues are linked to the nature of the project and are often characteristics of the country's type of emergency. The project budget is influenced by a number of key factors such as: the type of emergency whether sudden or chronic and its implications into recovery and transition work; the project context if a stand alone operation or as part of a programmatic response; the size and duration of the operation; the geographical coverage and reaching of beneficiaries with implementing partners; the project cycle management requirements such as M&E, evaluation and update of assessment. Specific issues in project planning and budgeting evolve with time. Immediately after a crisis, the focus is often put on emergency asset replacements and later on, the emphasis shifts to early recovery. Projects are then more complex and sophisticated and comprise more capacity building, training, coordination, strategic and policy advice etc. (refer to Section C of Annex I for more details).

d) Donor considerations – Some donors have specific budgetary limitations which do not allow them to fund certain items (i.e. technical backstopping). It is important to be aware of such limitations by budgeting the required inputs in other projects of the same programme or otherwise to negotiate a way to

³⁶ Minimum Operating Security Standards (MOSS). Details are available in FPMIS under <https://extranet.fao.org/fpmis/docs/Procedures/Other/MOSS.pdf>

include these costs in an indirect manner. Information concerning possible donor limitations is maintained and constantly updated by TCE and is accessible to all those concerned with the preparation of emergency and rehabilitation project budgets. On the other hand, some donors may even agree to fund activities that are not normally part of emergency and rehabilitation project budgets such as strengthening FAO operational capacity in a given country (refer to **Section D of Annex I** for more details). It is very important to communicate and explain FAO budget provisions with the donors. This would avoid misunderstandings and minimize problems during project implementation and reporting. An example of budget component description is given in **Annex IV**, which could be attached to the project document.

IV Norms and standards

The following points should be considered when preparing an emergency and rehabilitation project budget:

a) General points to remember

- Analyze the costs of other ongoing operations at country level and if the project is standing alone or part of a programmatic response.
- Include only cost items that are really needed.
- Find the least costly solutions that guarantee the required quality.
- Use local personnel to the extent possible.
- Establish partnerships with other UN agencies and other actors to reduce costs.
- Identify how much work (in contracts) will need to be performed by implementing partners (NGOs) for activities such as: training, distribution of inputs to beneficiaries, monitoring and research.
- Follow established guidelines regarding technical specifications for equipment and supplies.
- Plan a sufficient provision for General Operating Expenses (GOE) in the field to ensure cost recovery of general services and tasks necessary to carry out all project activities.
- Be realistic and keep the budget to a manageable size.
- Include the project support costs at the ceiling rate (10 percent) whenever appropriate. If this is not possible, then consult your Senior Operations Officer;
- Include resources for complex operational, IT and financial backstopping (including secondment costs).

b) Pitfalls to avoid

- Inflating the budget to obtain additional funds.
- Including large contingency provisions (budgets can be revised when required).
- Including items that can be provided by partners.
- Including luxury items or those that could be perceived as such.

Negotiating a PSC rate below the ceiling rate without reason or compensation in terms of direct project costs.

Annexes II, III and IV are available upon request (Patrick.Jacqueson@fao.org).

Annex I - Main categories of issues for budget preparation

| Factors to consider | Who do you ask? | Degree of factors | How it affects your operation | Possible costs affected |
|-------------------------------------|--|----------------------------------|---|---|
| A -- Country-specific issues | | | | |
| Security phase ³⁷ | AFDU focal point FAOR COIN UNDSS website | No phase | Normal health and safety precautions | Nothing unusual |
| | | Phase I | | Possibly storage costs if input distribution is delayed significantly |
| | | Phase II | Usually temporary | |
| | | Phase III | Going up to Phase 3 means evacuation/relocation costs for some staff. MOSS become much more stringent and there may be MORSS as well. Going down to phase 3 means more operations are possible, personnel may return under Phase III or above, consultants can be recruited instead of PSA subscribers with the issuance of UNLP | MOSS in general refer to Communications, Equipment and a Security Plan. Each of these areas include requirements for premises, vehicles and staff. MOSS are country-specific, you must have a copy of your country's standards. Items needed are sometimes country-specific e.g. radios. MOSS precautions may require more vehicles. If country is mined, blast blankets. Danger of armed conflict may require helmets and flak jackets. Training for drivers and others in first aid and protective action. Hazard allowance (a travel cost) posting account In phases 3 and 4 – consider sharing the cost of a dedicated security officer – possibly with other agencies |
| | | Phase IV | Going up to phase 4 means stopping some planned or ongoing work and evacuation costs for non-essential personnel. going down to phase 4 means start planning for a return | Same as in Phase 3 but with additional travel and DSA for relocated or evacuated personnel and perhaps higher office protection costs. |
| | | Phase V | Going up to phase 5 means evacuation costs for staff. | Operations costs stop when activity ceases but there will be travel and DSA for the remaining staff when they evacuate. |
| Duty station hardship class | Personnel Officer in the HQ SSC or Regional Office | Class A | Allowances only apply to staff members, a percentage of base salary which varies by person – if necessary, check with the Personnel Officer. Conceivably, this could affect the per diem rates non-staff would accept (they may not settle for less if the duty station is too rugged). Entitlements on rest and recuperation may affect the length of the presence of the staff at the duty station. In certain instances three persons are needed to fully cover two positions (e.g. RR each 4 weeks, etc.) | |
| | | Class B | | |
| | | Class C | | |
| | | Class D | | |
| | | Class E | | |
| Banking system | FAOR Regional Office Operations or ERCU | High standard – widespread | Banking and payments as usual – through FAOR imprest | Volume of payments may require financial assistance to the FAOR in the Country Office. |
| | | Capital and/or major cities only | Cheques may not be accepted outside the major towns. Arrangements for payments in cash meaning extra security and or delays in delivery. Suppliers and partners could be persuaded to come to the city for payment | Bank service charges (GOE). travel and DSA. Guards (local staff) |
| | | None or not functioning | Need to protect cash. Need for higher petty cash on hand. FAOR may not be able to handle volume. Check possibility to out-source cash management through a contract. | Bank charges (GOE) for commissions to money handlers. Security costs to protect cash. Equipment (safe, strong room, guards, security company). Share or pay for extra FAOR staff or for costs of outsourcing service of cash handling and related insurance. |

³⁷ UN Field Security Information available under COIN - http://coin.fao.org/coin/coin_start.jsp

FAO's Role and Effectiveness in Emergencies

| Factors to consider | Who do you ask? | Degree of factors | How it affects your operation | Possible costs affected |
|---|---|--|--|---|
| Government contribution | ERCU FAOR Country Permanent Representative | Cash contribution | Decreases overall cost. Agreement for any contributions must be documented and carefully budgeted. | Possibly unrestricted – this is unlikely although not impossible |
| | | In-kind contribution | Also decreases overall cost. Ensure that all kind contributions have enough provisions for their use (maintenance in case of equipment, appropriate benefits/ logistics for Personnel, etc.) | Premises, utilities, transport |
| | | Seconded staff | Also decreases overall cost | Administrative, interpretation and translation, drivers, guards |
| | | Other | Reduced delay in delivery. | Good contacts can decrease or avoid delays and costs at borders or port for transport, customs formalities, vehicle registration etc. |
| Government priority | FAOR TCA country information ERCU | High e.g. localized with high property damage such as an earthquake | May result in more Government contributions. | Transport, personnel, communications, GOE |
| | | Lower e.g. affects many people, possibly lower status such as refugees | Less likely government priority | Extra transport, personnel and where applicable, security costs. |
| Number and capacity of partners, including UN agencies and NGOs | FAOR ERCU Needs assessment mission leader, contacts with partners and agencies | Others providing similar services | The more partners there are, the more opportunities for at best combining operations and sharing some common costs but partners are also likely to want overhead. | Transport, logistics, overheads – if there is to be a contract with the partner, overheads costs for their activities will need to be included. |
| | | FAO alone | Your operation has to be self-contained and will be more costly. | Personnel, transport, logistics, equipment, communications. |
| Qualified national staff and consultants | FAOR ERCU Needs assessment mission leader | From none to mostly in the government to few because of “brain drain” or competition with other agencies | Little availability may mean recruiting costly international staff, more training, higher turnover, and delivery delays. Good market means lower costs. | Personnel, training |
| International consultants who could be hired locally | FAOR ERCU Other agencies Needs assessment mission leader | None or not allowed by FAO | These people can be less expensive if only because there is no installation cost and they may accept lower honorarium. Problem is approval is required from HQ. Regional office assistance possible. | Personnel, travel |

FAO's Role and Effectiveness in Emergencies

| Factors to consider | Who do you ask? | Degree of factors | How it affects your operation | Possible costs affected |
|---|--|--|---|---|
| B -- FAOR or existing FAO office-specific issues | | | | |
| New systems to introduce (IT, administration, finance or other) | Needs assessment mission leader Regional office OCD TCE ERCU | Functioning office with emergency experience. | Share costs with OCD and other projects | Some equipment, add personnel to FAOR. |
| | | Office with little capacity. | | Communications, equipment, training, secondments |
| | | No office. | Complete set up needed. | Communications, personnel, equipment, training, rent.. |
| Cost-sharing possibilities with FAOR, other UN, other partners | FAOR, ERCU, OCD, other agency contacts | Ranges from no possibility if no others are in the affected areas to mandated cooperation in a complex emergency area. | This almost always saves money. | Personnel, transport, communications, security, maintenance, rent |
| Need for additional offices | ERCU, FAOR, Needs assessment mission leader | Operation can be managed from the capital or main city. | Probably reduces overall cost. | travel |
| | | Dispersed operation requires local offices. | Set-up of area or regional offices. | Personnel, travel, vehicles, communications, training, rent, costs for MOSS compliance. |
| Regional backstopping support | Regional Office | | If the discipline you need is available this is a good idea. they can come quickly and usually from not too far away. | The people who do this are international staff – they get travel costs, DSA and you pay secondment. |
| Rest and Recuperation cycle | Personnel Officer, ICSC bulletin | From no R&R entitlement to more frequent. The rougher the location the more often the R&R. | Reviewed every 3 months for the following 3 months. only international personnel who will have 30 days left on their contract when they return from R&R are eligible. | Typical: one week's DSA, 2 travel days and travel cost from duty station to designated R&R place. frequency varies, 6 weeks is common, could be 8 or more weeks to qualify. |

| Factors to consider | Who do you ask? | Degree of factor | How it affects your operation | Possible costs affected |
|--|--|---|---|---|
| C -- Operations-specific issues | | | | |
| Size and duration | Project document, needs assessment mission leader FAOR ERCU. | Size in terms of locations and beneficiaries. | Costs decrease as number of beneficiaries increases until (by WFP estimate) goes over 1 Million when costs start to go up (per beneficiary). | Possibly all |
| Evolution – is it a sudden emergency or is a need evolving over time. | Needs assessment mission leader, CAP process FAOR ERCU | from sudden to slow onset | Sudden emergencies like a flood put higher pressure to complete budgets within tight deadlines than slow-onset relief operations from drought say. | Possibly all |
| Will your operation support other FAO operations? | Regional Operations Officers FAOR | Yes means other projects or the FAOR will need or expect your assistance. | This is not necessarily something to be avoided as can smooth transition to rehabilitation and then development BUT must be compensated for either by the recipient office or project or in your project budget. | Personnel, training, logistics |
| Implementation of current FAO policies – eg. gender, M&E, participatory approach, security. | Needs assessment mission leader ERCU FAOR | From already included in project design to need to redesign. | security-related costs are hard to predict if the situation worsens unexpectedly, the rest can be considered ahead of time. | Equipment, personnel, training, communications. |
| Carry over cash or equipment from other operations. | Regional Operations Officers, AFSP, FAOR, ERCU | From none possible to complete authority to use older items. | Cash carryover only possible between phases of project with the same donor. Equipment – non-expendable get AFSP and donor agreement beforehand. Expendable and security-related equipment – no restrictions. | if cash is carried forward, reduces total budget. Equipment carry over would reduce equipment cost, may increase maintenance. |
| Analysis of budget in ongoing operations – i.e. care in budget revisions and continuous review of budgets. | TCE, ERCU, FAOR | | Avoid unexpected revisions as much as possible, this avoids donor surprise or rejection – however, means continuous review of activity. | all |

FAO's Role and Effectiveness in Emergencies

| | | | | |
|---|--|---|--|--|
| Geographical coverage and distribution of beneficiaries | Needs assessment mission leader, ERCU, FAOR | Number of locations and number of beneficiaries and number of implementing partners (NGOs). | Basically, the higher number of locations, the higher the cost. Look for opportunities to organize in larger areas. The lower the number of beneficiaries in a location, the higher the cost to operate there. Look for sharing with partners. Also carefully identify the existing implementing partners interested to work with FAO for reaching out to beneficiaries. | Logistics, transport, travel and DSA |
| Special transport considerations | Needs assessment mission leader FAOR, ERCU | landlocked or seaside country. air freight services remote villages with few roads. | landlocked: delays in delivery, extra border clearances, possible reliance on expensive air freight | Transport, superintendence, travel, vehicles |
| Special equipment or quantities | Needs assessment mission leader Technical Divisions ERCU, FAOR | | Odd or infrequently ordered items can mean new specifications for unexpected items and delays in procurement. | Equipment |

| Factors to consider | Who do you ask? | Degree of factor | How it affects your operation | Possible costs affected |
|--|---|--|---|---|
| D -- Donor-related considerations | | | | |
| Funding preferences | TCE, TCA | Won't pay for some inputs or services, PSC capped, | May mean other donors would have to pay for part of the campaign cost. e.g. one donor will pay for pesticide transport but not the chemicals. | PSC recovery – ensure that costs are recovered as direct costs to the project , may require further negotiation with the donor. Some donors have a maximum PSC percentage they will allow, some of those permit some charges to other lines so that the total overheads equals the minimum FAO percentage. |
| Visibility expected | | Range from high to low. | From logo on inputs, vehicles or offices to high profile mention in websites, reports, and news releases. Could send people to accompany evaluations. All this should be in the agreement and should follow FAO guidelines on sponsorship (check with LEG). EU requires 0.5% per year set aside for central visibility costs. | Printing, communications, personnel, travel, GOE for EU visibility funding. |
| Donor special interests – i.e. special emergency funds available | | Will pay for some things perhaps not covered by others. | i.e. some donors will contribute to capacity building of FAO in the country. Some may prefer say livestock over horticulture, say. This would mean coordination of formulation between projects in a country is essential. | Depends on the restrictions |
| Reporting | | From <i>accepts standard reports to requires special format and content</i> , possibly in a different currency base. | May mean an extra charge for a special report over the standard cost. | Reports |
| Direct Operational Costs | | Compulsory for projects approved under a special agreement (e.g EC, ECHO or CERF projects). | Ensure that the Organization recovers its support costs as defined in FAO Support Cost policy. | For donors (e.g. EC, CERF) for which the donor agreement stipulates a maximum 7% PSC rate with direct costs to be budgeted in addition, an amount equivalent to 3% of the budget should be included as direct costs (e.g. Consultants) or Operational Support Costs (Account 6119), in line with FAO Support Cost policy. |
| Evaluation | Both in house – PBE and, sometimes, external donor requirement. | include standard allowance for in-house evaluation; external to be negotiated. | Related to evaluation mission, mainly consultants/staff time and travel+DSA – see DDG Memo dated 21 March 2006 “ Financial provision for emergency, recovery and rehabilitation projects ”. | |

How to respond to a sudden onset disaster requiring an exceptional external assistance

Drawn from the lessons learnt in the Tsunami response, November 2006

Disaster³⁸ occurs

Week 1

- **FAO TCE assigns an Operational Officer** to follow the situation. If the disaster is large scale and clearly requires exceptional external assistance and the launching of a Flash Appeal, TCEO/S will follow the appeal process in the field any subsequent decisions taken by OCHA in Geneva or New York. Key technical focal points are identified in the relevant FAO technical departments. In the case of large multi-country and multi-faceted crises, such as the Indian Ocean Tsunami, **an inter-departmental policy decision-making forum** is established that may be initially chaired by the DG or the Deputy DG and include relevant Assistant DGs. A subsidiary inter-departmental working group comprising relevant senior technical and operations officers may also be appointed to strategise, resolve issues to the extent possible, and report to the DG/ADG level on progress and actions taken and make recommendations and seek guidance on issues that cannot be resolved at the working level. Initially, the ADG and working group level meetings may take place on a daily basis but the frequency should be reduced over time as appropriate. To streamline management and decision-making the Incident Command System should be applied whereby authority would be delegated to an Incident Commander heading a temporarily appointed technical, logistics, and administration and finance team.
- **FAO field team** (i.e. FAOR and EC as soon as present in the country) and **TCE** find out and **follows up the situation** and the scale of losses and damages through various sources of information in-country as well as with the help of various departments and offices/staff in the region and in the field (OCD, TCI, Regional Offices, project, staff line ministries, etc.). The **FAORs** supported by ECs when present, should play a key role in this initial assessment by finding out from government and other country level sources as much as they can, by visiting the affected sites if possible or delegating staff within the Representation and even from non-emergency projects to perform a prompt assessment.
- When an **affected government is asking for international help**, a request should be addressed directly to FAO or through the UN Resident Coordinator who may also act as the UN Humanitarian Coordinator (because of the disaster). In turn, the UN Resident/Humanitarian Coordinator forwards the request to OCHA (HQ in Geneva), hence to the UN ERC.
- The **FAOR** or delegated alternate discusses with the government and convinces the UN Humanitarian Coordinator and the other heads of the relevant agencies in the UN country team that **FAO should be part of the appeal** because of the damages to farmers', fishers' and herders' livelihoods. (*See note on key messages for donors which may also be useful in convincing the government and the UN Coordinator that saving livelihoods, bolstering resilience and promoting quick recovery saves lives and reduces the need for and duration of relief*).
- For all new emergencies, the UN and non-UN partners in the IASC for humanitarian action have agreed to activate the "Cluster Approach" (see IASC's guidance note). **FAO is the designated sector lead for agriculture** and in theory cannot be marginalized from the architecture of humanitarian responses and appeals. In practice, it may sometimes be advantageous to merge with other sector leads. For instance, FAO and WFP co-lead a food security cluster in response to the Horn of Africa crisis. FAO and ILO are co-leaders of the livelihoods sub-cluster under the global early recovery

³⁸ The term Natural Disasters is less and less used as it implies that disasters are inevitable and outside human control. Floods and windstorms are the most common disasters but other types of sudden disaster include earthquakes and associated tsunamis, as well as volcanic eruptions, fires, epidemics, and environmental pollution. Droughts and many upsurges in pests and diseases are slow onset disasters so the timeline and actions would be different.

cluster and co-led together with government the livelihoods cluster in response to the recent earthquake in Pakistan. As soon as a decision is taken over whether to assist the government in leading a stand alone agriculture sector or to merge with WFP or ILO it is essential to initiate, with the government co-leader, **sector/cluster coordination meetings** for other interested UN agencies and non-UN agencies. The purpose of these coordination meetings, usually held in the capital, is to share information on who is doing what and where in order to optimise synergies, avoid duplication and eliminate gaps, and to provide a forum for standard bearing and disseminating advice on good practices. Selection of the right chairperson(s) is key if interest in the group is to be maintained. **Better for FAO to serve only as Secretariat to the group than delegate an inappropriate chairperson.** If the affected areas are remote from the capital, subsidiary area level coordination groups may be set-up. If because of a shortage of suitable personnel, FAO is unable to lead the area level coordination group(s) another UN agency or an NGO might volunteer to take the lead in assisting or taking the chair together with the local authorities.

- It is likely that FAO has no project offices outside of the capital and limited logistics and communications capacity. The **FAOR** may negotiate with local authorities' in terms of temporary allocations of office space. Similarly, WFP, UNDP or another agency may have spare space and/or be willing and able to assist with other logistical support.
- **FAO TCE** at HQ level may call WFP (ODAN) or ILO (Crisis Unit) to gauge interest in supporting a joint assessment of either food security or livelihoods and discuss other potential joint actions.
- **TCE** organizes to access financial resources for the **set up of an Emergency and Rehabilitation Coordination Unit-ERCU** (if one is not yet in place), and possibly as part of the FAO Representation (if one is already in the country and not too remote from the disaster area). Possible internal FAO funding sources are part of the TCP facility and SFERA's locally mobilised funds and other on-going project funding initiatives such as SPFS.
- **TCE** mobilises **initial funds for rapid damages and needs assessments specific to the sector including rapid livelihoods assessments.**
- **TCE**, with support from the **technical departments** and in consultation with the **FAOR**, **identifies and recruits experts** for **ERCU** set-up and for rapid assessment to be rapidly sent to the field.
- **TCE** and the **FAOR** and/or **ERCU** hold preliminary **talks with interested donors** (usually traditional FAO donors).
- In the field, the **FAOR** or designated alternate **participate in the UN country team daily meetings** and set the stage for FAO's strategic and coordination role.
- **FAOR** and the **ERCU** start to identify potential implementing partners. Through the agreement of the corresponding donors and the government special consideration should also be given to deploying resources from ongoing non-emergency projects not only in terms of solidarity but also to meet urgent needs and help catalyse the timely mobilization of new donations.
- On two parallel processes: both in-country the UN country team and UN Humanitarian Coordinator and at headquarters level and OCHA, **FAO lobbies to be part of the specific Flash Appeal** (if appeal is agreed to be launched by OCHA).

Week 2

- FAO lead sector or co-led cluster coordination meetings to continue with frequency as appropriate.
- **TCE** in the field and in headquarters with inputs from interested technical departments (FI, AG, FO, etc) and the **FAOR**, **develops the FAO component of the appeal** and estimates objectives, target groups, sector, and the budget of different project profiles.
- **TCE finalises the FAO component of the UN Flash appeal** and sends it to OCHA. The UN Flash Appeal is published and put on the relief web maximum 2 weeks after the disaster.
- FAO issues a **press statement** on the disaster stressing the main needs and key issues for the affected livelihoods. Key information is also put on the FAO and TCE website.
- **TCE** organizes **1 day briefing for the assessment team** and sends it off to the country. Possibility of sending joint team with WFP or ILO, as mentioned above under week one.

- Same applies for the **briefing of the E&R Coordinator** (if new one needs to be appointed).
- **TCE and FAO field representatives** continue talks and **negotiations with interested donors** (usually traditional FAO donors) and produce first project documents usually focussing on supporting the technical coordination function and the immediate provision of inputs to replace lost assets.
- TCEO/S at HQ open **project account and get the logistics (admin, finance, IT) in place.**
- In the field the **FAO representative** continues to **participate in the UN country team daily meetings** and reinforces understanding of FAO's strategic and coordination role.

Week 3 and 4

- In the field, **ongoing participation in UN country team** and continue FAO sector or co led cluster coordination role.
- In country, continue to **build up working relations with line ministries and specific disaster committee and response mechanisms.**
- **Continue setting up logistical arrangements for the FAO ERCU office** and staff and sub-offices if required.
- **Ongoing needs assessment or rapid livelihoods assessment** in country and debriefing on the first results in country.
- Assist the affected government in **defining the process for targeting assistance to people affected by the disaster.**
- **TCE, the FAOR and the FAO ER Coordinator** continue **negotiations with interested donors** who make pledges to the Flash Appeal and select some project profiles. TCEO/S produces other general project documents usually focusing on the immediate provision of inputs to replace assets lost (rough estimates), and for coordination and if possible for the overall FAO programmatic response (such as SFERA). All project design is done in close collaboration with the affected government. Encouraging donors to use SFERA will avoid the need for preparation of donor specific project documents and provides greater flexibility in the allocation of resources as needs change and become better understood.

Month 2

- In the field, **ongoing participation in UN country team** and continue FAO sector or co led cluster coordination role.
- **Results of the rapid livelihoods assessment** are made available with the debriefing of all concerned actors in the field and at FAO HQ.
- Key data of the assessments are used for **advocacy, press releases and further development of project proposals and negotiations with donors.**
- **Consolidation of FAO ERCU and technical leadership role** with the affected government, UN sister organizations, donors and other international and local NGOs and actors.
- In the field, TCE fosters partnerships with **key international and local actors who will become FAO implementing partners** for the distribution of inputs, training, monitoring and other community mobilisation activities.
- **TCE and FAO ER Coordinator and Representative** continue **negotiations with interested donors** who make pledges to the Flash Appeal and select some project profiles. TCEO/S produces more project documents on the basis of the first assessment results.
- As part of approved projects and on the basis of first assessment results, **selected key inputs are identified, planned and technically specified by technical departments.**
- Funding permitting, **procurement mission is organized** to allow local procurement of inputs for clearly identified items.

Month 3

- In the field, **ongoing participation through the UN country team** and continue FAO sector or co-led cluster coordination role.
- A **procurement mission takes place and goods are purchased**, preferably locally and then stored.
- **Letters of Agreements-LoAs are prepared and agreed with Local Implementing Partners (IP)** locally or at HQ depending on the amount considered (>US\$25 000), usually for the distribution of the inputs to the beneficiaries.
- Support the affected government in **doing medium-term rehabilitation and reconstruction strategies specific to livelihoods or for specific sectors**.
- **Negotiations with donors are also ongoing**.
- If needed the **Flash Appeal is revised and updated** and the usual six month time frame is extended to 12 months or more to include early recovery work. The revision can occur earlier if required (OCHA flagged that profiles can be amended/ modified by agencies whenever they deem appropriate).
- All other **in-country tasks listed** above are continuing.

Month 4-5-6

- In the field, **ongoing participation in UN country team** and continue FAO sector or co led cluster coordination role.
- **Inputs are distributed** to the affected people as per government approved list of beneficiaries and via the FAO implementing partners (usually not before 4 to 5 months after the disaster and depending on the timing of donor support).
- **Communication and press releases** on the distribution of goods.
- **Monitoring of the various project activities** and key agreed indicators.
- **Ongoing technical leadership role and coordination support to the affected government and its partners at central and local levels**.
- All **other tasks in country and at HQ ongoing**.

After Month 6

- In the field, **ongoing participation in UN country team** and continue FAO sector or co-led cluster coordination role.
- A **second rapid livelihood assessment-RLA** is conducted to check on the evolution of the situation and to make further recommendations in terms of programme/project funding and operations.
- **Evaluation of the impact and viability** of the inputs distributed and FAO technical support provided (external evaluation or mixed internal-external).
- **Negotiations with donors are done for project and activities which are more sophisticated and complex and which do take into account recovery** and rehabilitation needs (technical expertise, capacity building, participatory processes, first elements of natural resources sustainable management, etc...).

A new approach for the designation of TCE operational responsibilities

Note for the Field Programme Committee, April 2005

The objective of this note is to propose a new approach for the designation of TCE operational responsibility in the context of FAO projects, for consideration and endorsement by the Field Programme Committee. This responsibility is addressed in the memorandum for designation of operational and budget holder responsibility prepared by the relevant funding liaison unit and signed by the ADG-TC39, as the first step of project implementation. Therefore this paper neither covers, nor impacts the area of technical responsibility which is and will remain assumed by the technical departments throughout the project cycle⁴⁰. It does not affect the existing arrangements for the avian flu and the locust (ECTAD and ECLO) and it does not have any implications on the way crop and food supply assessment missions are handled. This new approach, taking into account the experience with recent emergencies, provides the principles and the mechanism, which support the decision of the ADG-TC to assign a country or parts thereof under TCE operational responsibility and explores the implications of such a new policy.

I- Principles: A context rather than content-driven approach

FAO's emergency and rehabilitation operations

The volume of FAO's emergency and rehabilitation operations has increased from US\$50 million in 1996 to 1997 to US\$310 million in 2002-2003. Despite the end of the Iraq Oil-for-Food Programme in November 2003, the total budget approved for emergency operations in 2004 amounts to US\$215 million. This rapid growth reflects the rising number of victims of natural disasters and civil conflict, but it also reflects the increasing confidence of donors in FAO's capacity to play an important role in contexts that require exceptional and rapid external assistance.

To better address the needs and respond to the expectations of FAO's members and donors a specific division was established in 2002, the Emergency Operations and Rehabilitation Division (TCE). As stated in its functional statement, this division has "overall responsibility for the emergency field programme...leads the assessment of needs for agricultural relief and rehabilitation arising from natural or man-made disasters...takes the lead in the formulation and implementation of programmes and projects for urgent agricultural relief and early rehabilitation." In addition, TCE has the mandate for "coordination and supervision of all operational activities" in those countries or parts of countries designated as warranting "special emergency programmes....due to the specific political and security context".

What are emergency and rehabilitation operations?

While most humanitarian and development actors agree that, as far as possible, emergency relief, rehabilitation, and development operations should be carried out simultaneously, donor funding decisions take into account the extent to which activities can be categorized as life saving relative to rehabilitation and development. The UNDG and the ECHA have jointly arrived at the following working definitions of the different types of assistance:

- **“Emergency relief** involves immediate survival assistance to the victims of crises and violent conflict. Most relief operations are initiated at short notice and have a short implementation period, with project objectives completed within a limited timeframe. **The main purpose is to save lives** by providing food, water, medicines and shelter.
- **Rehabilitation operations** overlap with relief operations and their objectives are normally targeted for achievement within two years. **The principal aims are to initiate reconstruction of infrastructure at the national and local levels and to protect livelihoods.** As beneficiary self-sufficiency is a major objective, project/programme management is placed progressively under local control. Cost-recovery schemes, large scale employment-generating projects and revolving fund

³⁹ See [TC Procedure 2003/01](#)

⁴⁰ See Field Programme Circular 2003/04 which explains the FAO project cycle and the distribution of responsibilities throughout the project cycle. For project implementation, it is stated that "all inputs provided by FAO are procured on the basis of specifications or definitions and approved by the technical services assigned to provide technical support to the project component concerned. Technical inputs regardless whether they are for services, supplies or equipment cannot be procured without technical clearance by the technical service concerned".

operations can be introduced. **In situations of continuing instability, disaster prevention** (avoiding a return to the emergency) **and mitigation** (reducing the impact of any deterioration in the situation) **are essential aspects of rehabilitation efforts.**

- **Development operations have long-term objectives**, extending beyond two years, and stipulate adequate levels of security and a functioning administration pursuing national objectives and strategies in partnership with external actors. Feasibility studies and full project appraisals, environment impact assessments and social analysis (including gender) are normal.”

Definitions of emergency and rehabilitation contexts

Each crisis is unique and requires a different mix of responses. Broadly speaking, however, the following are typical contexts in which FAO's emergency and rehabilitation activities are implemented:

Natural disasters are largely associated with **one off climatic and geological shocks** (floods, droughts, earthquakes, and volcanic eruptions) but for FAO **also include plagues of crop and livestock pests and diseases** (e.g. locusts, avian influenza and other transboundary animal diseases). Since the 1970s the number of people affected by climatic and geological natural disasters has tripled. In 2003, 200 million people needed humanitarian assistance owing to natural disasters. Vulnerability to emergencies attributable to natural disasters is explained mainly by poverty. International humanitarian responses via the UN and NGOs are short-lived, as the affected area usually returns within a year or two to a development path. Life saving assistance (food, water, medicines, shelter) is complemented by FAO with support for protection and recovery of agricultural based livelihoods.

Complex emergencies are defined by the IASC for humanitarian assistance as a “**multi-faceted humanitarian crisis in a country, region or society where there is total or considerable breakdown of authority resulting from internal or external conflict and which requires a multi-sectoral, international response that goes beyond the mandate or capacity of any single agency and/or the ongoing UN country programme**”. In 2003, around 45 million people needed humanitarian assistance as a result of complex emergencies. Most conflict induced crises last for many years and may be compounded by natural disasters. However, unlike simple natural disaster situations, options for rebuilding infrastructure destroyed by conflict where disorder prevails are limited as infrastructure and institutions may be destroyed again and physical insecurity limits implementation capacity. Similarly, it may be difficult to obtain international support for building government capacity because the government lacks international legitimacy or is seen as party to the conflict and abuses of human rights. Donors support life saving assistance that goes directly to beneficiaries through the UN and NGOs. To some extent, donors finance from their humanitarian budgets short-term measures to protect and restore livelihoods.

Transition situations have been jointly defined by the UNDG and ECHA as “**the period in a crisis when external assistance is most crucial in supporting or underpinning still fragile cease-fires or peace processes by helping to create the conditions for political stability, security, justice and social equity.**” The term transition is often used interchangeably with recovery, rehabilitation and reconstruction. Thus, peace building is the UN's overarching aim in transition contexts. In the past, transition processes were largely regarded as *sequential* or a *continuum* from relief to development or even from conflict to peace, it is now increasingly recognised that these facets exist simultaneously, at varying levels of intensity, opportunity, and susceptibility to reversals due to renewed conflict. Indeed, 40 percent of countries emerging from conflict revert back to conflict; in Africa this rises to 60 percent. Planning in transition must, therefore, anticipate that the situation can deteriorate before it improves. In the immediate post-conflict situation, humanitarian assistance increases as access to hitherto inaccessible areas improves and internally displaced persons and refugees return to their homelands. Humanitarian assistance continues to flow via the UN and NGOs. Reinforcing stability and security also requires rehabilitation projects that can start quickly and have immediate impact in terms of restoring essential services, reconstituting livelihoods, reintegrating returnees and former combatants, jump starting the economy, providing social safety nets, and capacity building of government and civil society organizations. Unlike humanitarian aid, disbursement of donor funds for reconstruction occurs only once

a peace accord is signed and an internationally recognised government⁴¹ is in place. Donor funds for reconstruction also flow through the UN and NGOs, and reconstruction trust funds administered by the UN and the WB are established. Disbursement by donors for reconstruction remains dependent on continuing peace, respect for human rights, and demonstrated commitment by the government to the establishment of good governance. As confidence in the government increases, donor assistance increasingly supports national execution.

In short, based on the above definitions of the UN, the types of contexts where TCE would typically be assigned full operational responsibility are characterised by situations where:

- major instability and insecurity reign over time;
- the UN is expected to play a major role in the repatriation of refugees and internally displaced persons, in the reintegration of ex-combatants and in the reconstruction of the country, yet where insecurity and political considerations are expected to influence all assistance efforts;
- a unified FAO approach is particularly important, as well as close cooperation with other UN agencies; and
- political and operational issues are constantly intertwined, necessitating close contact with FAO senior management at HQ.

In addition, regardless of the country, all project proposals prepared and financed through humanitarian, emergency and early reconstruction channels would be normally under TCE's operational responsibility. This would include all projects financed as a result of:

- the CHAP and the CAP;
- the UN Flash Appeals (a pre-CAP) and joint government/UN Appeals;
- other categories of emergency appeals such as the requests by governments for emergency TCPs, and those made solely by FAO or jointly with governments (e.g. for the Avian influenza pandemic under ECTAD and control of Desert locust under ECLO);
- funding that comes from donors' humanitarian budgets and branches that are managed differently than development budgets;
- contributions to FAO's SFERA or the new Emergency Trust Fund recently proposed to the Council; and.
- joint UN transition plans and the associated UN- or WB-managed trust funds.

II- Mechanism: An ADG-TC decision's based on recommendations from the TC Department's Project Development Advisory Group

Normally every six months, the TC Department's Project Development Advisory Group (PDAG), membership will be extended to the Director TCE and Director OCD, in order to review a number of criteria and elements. Subsequently a list of countries is proposed to the ADG-TC (or part thereof) which will fall under TCE operational responsibility. The same criteria and elements for decision-making will be considered by the PDAG for excluding a country from the list and defining/ agreeing on an exit strategy for the concerned country (i.e. timeframe, temporary measures, etc.) Five criteria will be used:

- **C1. Natural disasters emergency** as defined by the UN Office for Coordination of Humanitarian Affairs (OCHA).
- **C2. Complex emergency** as defined by the UN OCHA.
- **C3. CAP and other UN appeals countries** as defined by UN OCHA.
- **C4. Country or area security phase:** Any country above Phase 3 will be considered as an emergency context. This information will be consolidated with the list of countries for which hazard pay is paid to FAO international staff, which is updated and circulated quarterly by the Chief of AFHP.
- **C5. Countries in transition:** as jointly defined by the UNDG and OCHA.

⁴¹ In many cases this may be a transition government pending national elections.

In addition, the following elements will be taken into account to get an overall picture of the situation:

- *presence or absence of an FAO country representation;*
- *proportion of emergency projects approved within country portfolio in current year; and*
- *FAOR experience in emergency crises as indicated by OCD.*

For the designated countries or parts thereof, TCE will have full operational responsibility, i.e. overall direction and leadership by the budget holder in the implementation and management of projects in line with TCE's mandate for a broad programmatic approach; technical leadership, on the other hand, will be provided by the lead technical unit (LTU). Operational responsibility involves specifically the management of the project cycle mainly after approval of a project, such as: the review of the project document, of the work schedule, and the scheduling of the delivery of inputs to the project site:

- the monitoring of the overall project implementation in accordance with project plans and within the limits of budgets made at the disposal of the project;
- ensuring that project inputs (equipment, supplies, services, human resources) are provided in compliance with FAO's rules and regulations; and
- liaison and collaboration with donor and recipient government representatives in the overall oversight and coordination of project implementation, apart from general reporting obligations.

III-Implications of such a policy

The above proposal would not compromise the principles of in-country leadership of the FAO Representative. The FAO Representative (in those countries where there is an FAO country representation) would continue to be the senior representative of the Director-General in the country of assignment. This proposal could be approved only under the condition that an acceptable mechanism is established to finance TCE operations as well as support provided by the FAO Representation to in-country project management under TCE operational responsibility. In the countries designated under TCE operational responsibility, the possibility of having a Senior Emergency Coordinator appointed as FAO Representative would be explored on a case-by-case basis.

How to organize responsibilities within an FAO emergency response

TCE has developed a field-level emergency response organization called the ECU as a method of providing response assistance for international emergencies. An ECU is deployed to an emergency-stricken country at the discretion of the TCE Director. The ECU consists of specialists trained in a variety of emergency relief skills and assists the FAO Representative with the management of the FAO response to the emergency. The activities of an ECU vary depending on the type, size, and complexity of the emergency to which the ECU is deployed.

The leader of the ECU is referred to as the Emergency Coordinator (EC). The EC receives delegated authority to act on behalf of TCE and may work directly for a TCE Officer or a Response Manager of a Rome-based Response Management Team (RMT) with delegated authority, depending on the nature and complexity of the disaster.

ECU Purpose

The ECU provides an operational FAO presence capable of carrying out sustained emergency response activities that may include the following:

1. providing technical assistance to the FAO Representative in formulating and executing an appropriate FAO response to an emergency;
2. developing and upon approval, implementing FAO's response strategy;
3. assessing and reporting on the status of the emergency and recommending follow-up actions including suggested funding levels;
4. coordinating the movement and consignment of emergency personnel, assets, and supplies;
5. analyzing the existing capacity of local infrastructure and cooperating relief agencies to ensure an appropriate and efficient response;
6. reviewing and recommending approval for (or approving, when delegated the authority) relief programme proposals;
7. coordinating FAO's relief efforts with the affected country's government, donors, relief agencies and, when present, other UN entities; and
8. monitoring and evaluating FAO emergency response activities.

An ECU should be assigned when the following conditions are occurring as a result of an emergency situation, such as, but not limited to:

- high levels of political and media interest;
- multiple agency interest or involvement;
- rapidly increasing support needs due to rapid onset type disasters such as floods, cyclones, earthquakes and tsunamis;
- significant technological events or accidents including nuclear, biological, or radiological incidences;
- major displacement of civilian populations;
- multiple disasters;
- additional support needed for long-term response requirements;
- when the complexity and/or workload associated with the relief operation is reduced to a certain level, the Director of TCE, in consultation with the Response Manager, and the FAO Representative may decide to transfer response management back to the TCEO/TCES Desk. Conditions where this could occur would include, among others:
 - whereby critical missions of the ECU have been accomplished;
 - the workload associated with the emergency has returned to levels which do not have significant impact on the TCEO/TCES desk; and
 - a detailed Demobilization Plan will outline the transition steps, staffing, and timelines.

ECU Structure

The structure of an ECU is dependent on the size, complexity, type, and location of the emergency and the needs of FAO and FAO Representative(s) and the affected country(s). The number of individuals assigned to an ECU is determined by how many people are required to perform the necessary activities to meet the strategy and objectives of the programme. The ECU organizational structure is depicted in figure 1. All positions in the ECU organizational structure may not be filled, but all functional coordination responsibilities represented by the shaded boxes must be assigned.

Management - Headed by the EC. The EC manages overall ECU activities, including liaison with the affected country government agencies, NGOs/international organizations, other assisting countries and military organizations; to develop and implement plans that meet strategic objectives; while providing for the safety and security of deployed personnel. Furthermore, they inform coordinating partners and the media as to the status of emergency operations.

Operations - Manages all operational activities carried out by the ECU, such as technical support to an affected country, medical and health response, and aviation operations coordination. This section is most active during rapid onset disasters.

Planning – Collects, evaluates, and tracks information about the disaster. Reviews activities and recommends future actions. Develops the ECU's Emergency Response Operations Plan in coordination with the other functional areas.

Logistics – Supports the ECU with team supplies, equipment, and services, including communications in addition to receiving orders, and distributing FAO assets and supplies.

Administration - Manages fiscal activities of the ECU. Procures goods and services required by the ECU. Provides cost accounting of ECU activities.

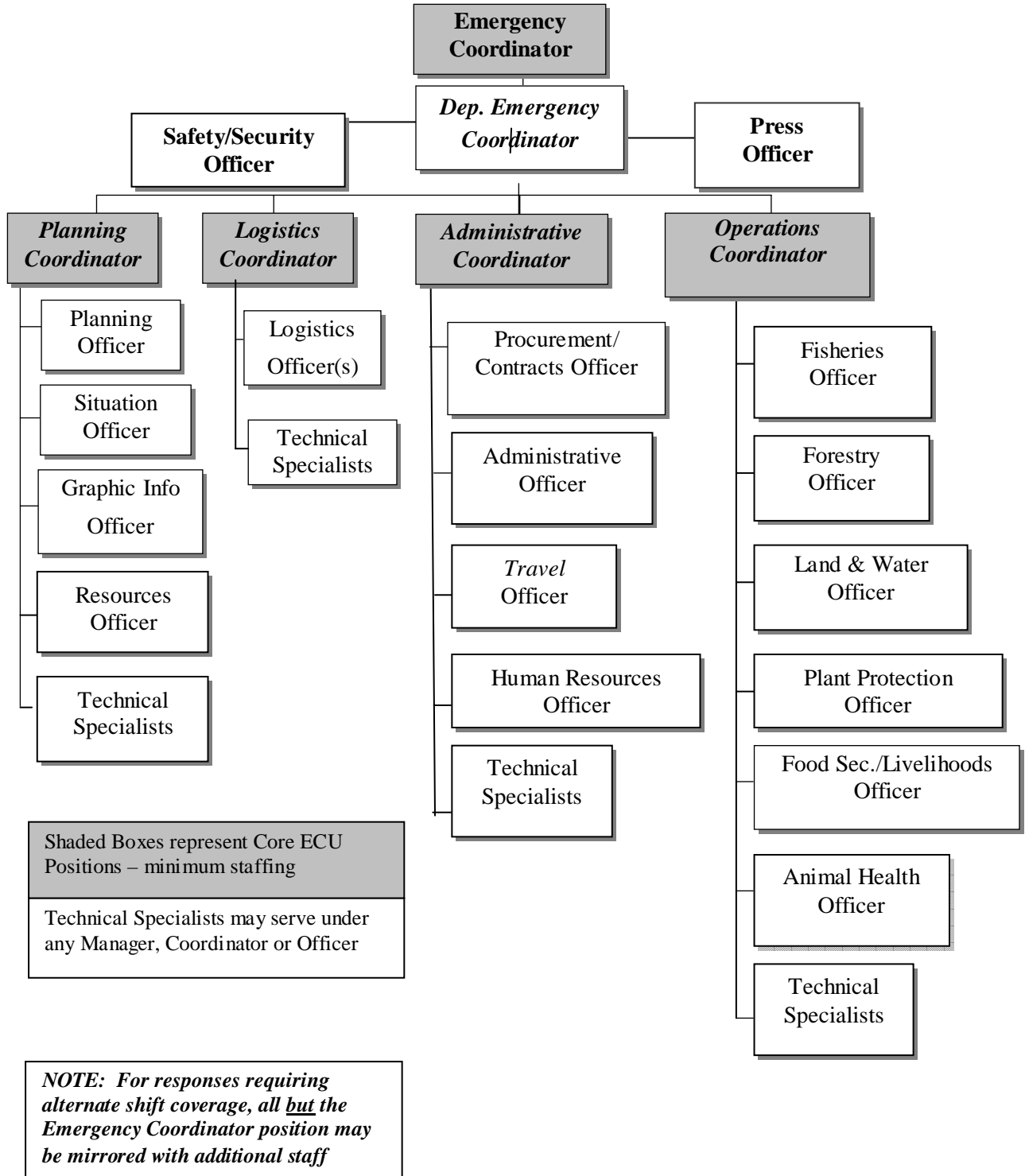
The organizational structure is designed to expand or contract depending on the complexity and operational requirements.

While individual ECU members each bring their unique skills and background to an ECU assignment, efficient functioning of the ECU requires that ECU members take on their assigned roles, and work within the ECU structure/framework. **The key is the ability to leave their “day job” and associated authorities behind as much as possible, to focus on their assigned role on the ECU.** In some cases, ECU positions could be filled with short-term contract personnel.

In the case where the subordinate positions are not filled, the Coordinator of that specific section would assume those responsibilities. For example, if any of the planning, situation, resources or graphic Information Officer positions are not filled, the Planning Coordinator would perform those duties.

Technical specialists can be incorporated into the structure at any level to provide specific skills as needed to support the specific operational objectives.

Figure 1 – Emergency Coordination Unit Organizational Chart



Terms of Reference for an Emergency Coordinator

Under the overall supervision of the Chief, Emergency Operations Service (TCEO), the supervision of the FAO Representative and the guidance of the TCE Regional Emergency Coordinator/Advisor (where applicable) and in consultation with the relevant technical divisions at FAO HQ, the emergency/rehabilitation coordinator will be responsible for the development, expansion and management of FAO's emergency food security and agricultural relief programme in COUNTRY. Specifically to:

- establish or further strengthen the operational structure to plan, implement and monitor the technical assistance and inputs implemented by FAO and other agencies as required for agriculture, fishery and livestock emergency preparedness relief and rehabilitation interventions, ensuring that the specific needs of vulnerable groups (socio-economic, gender, age and health status) are analyzed and addressed;
- ensure close collaboration and coordination with other UN agencies and partners (NGOs, national institutions and Donor community, etc.) for agricultural livelihood needs assessments, and relief and emergency response activities;
- liaise with donors and represent FAO in interagency coordination meetings related to emergency/rehabilitation activities;
- implement emergency operation policies and strategies;
- ensure a timely response to early warning information of livelihood and food insecurity and synthesize and disseminate information on the potential impact of a crises on the agriculture sector and food security of vulnerable groups to the donor community, UN Agencies, NGOs, national institutions and all partners involved in relief and early rehabilitation activities;
- provide technical assistance, as required, to FAO implementing partners and to operational units engaged in the provision of agricultural livelihood assistance and related emergency remedial actions;
- establish and maintain a database with updated information on the impact of the crisis and prioritize needs, taking into account assistance provided and evolving needs;
- prepare project profiles and full-fledged project documents for donor funding;
- monitor the financial management and accounting of emergency projects in close collaboration with the FAO Representation;
- prepare regular briefs and comprehensive reports for local and international distribution;
- supervise and manage the emergency coordination unit's professional and support staff; and
- perform other related duties as required;

MINIMUM REQUIREMENTS

University degree in agronomy, economics, natural sciences, or related discipline.

Seven years of relevant experience and technical work in the sectors of agricultural and rural development, including experience in developing countries as well as disaster-stricken countries, preferably in Southern African region.

Working knowledge of English.

SELECTION CRITERIA

- Extent of professional experience at the international level in field operations in the agricultural sector and emergency relief situations with particular emphasis on coordination of emergency assistance.
- Demonstrated leadership, managerial, supervisory and inter-personal skills.
- Demonstrated analytical and communication skills.
- Demonstrated ability to analyse complex emergencies.
- Familiarity with the geographical region

Joint OCD/TCE guidelines regarding the respective role of the FAOR and the EC

Whenever an EC is assigned by TCE in a country where there is an FAOR, their relations should be governed by the following principles:

1. The FAOR will be the official spokesperson for the organization, including on humanitarian and emergency assistance matters. However, this would not hamper the EC from responding to press interviews dealing with his/her specific field of expertise as indicated in the FAO corporate communication policy, while keeping the FAOR informed.
2. The FAOR will represent the organization at coordination meetings with UN institutions, donor representatives and/or government officials. The FAOR will also be responsible for negotiations with donors and government officials on policy issues. When participating in meetings dealing with emergency or humanitarian assistance issues and rehabilitation strategies, the FAOR should be accompanied by the EC who should, on this occasion, act as his/her Adviser. The EC may be delegated by the FAOR to participate on his/her behalf in donor/government meetings relevant to the EC mandate. In this case the EC will report the content of the discussions to the FAOR.
3. Coordination meetings at working level with NGOs, donor representatives and representatives of UN agencies and government institutions can be organized or attended by the EC and other TCE staff, as appropriate. The EC will inform the FAOR of any issues having policy implications for the FAOR which need follow-up or monitoring by the organization.
4. On emergency project operations, the EC should act like a Project Manager or Chief Technical Adviser (CTA) and should, therefore, be responsible for the overall emergency programme implementation in the country, keeping the FAOR regularly informed. However, as the FAOR is acting as the disbursing officer, he/she will have to ensure that all emergency operations are being carried out in accordance with the rules and procedures of the organization. The EC should, therefore, submit appropriate documentation for any disbursement to be undertaken by the FAOR. Likewise, the FAOR will keep the EC informed of any charge incurred by the emergency project budget in order to enable the EC to plan the use of available resources.
5. In cases where the total disbursements to be executed by the FAOR for emergency projects are expected to exceed a threshold of US\$500 000 per year, TCE should contribute to the funding of administrative support to the FAOR since the core resources made available by OCD under Major Programme 3.4 are insufficient to cover operations of such a scale. The amount of the contribution will be negotiated on a case-by-case basis between TCE and OCD in close consultation with the FAOR and the EC.

Approved by: Ms. A. Bauer, Director, TCE, and by Mr. T. Teclé, Director, OCD, on 2 December 2002

FAO organizational chart

You can have access to the entire document on <ftp://ftp.fao.org/unfao/bodies/council/cl131/j8133e.doc>

FAO Headquarters structure (as of 1 January 2007)

| | | | | | | | |
|--|---|---|--|--|---|---|---|
| | | Office of the Inspector-General, AUD | | Office of the Director-General Director-General Deputy Director-General | | Legal Office, LEG | |
| | | Office of UN Coordination and MDG Follow-up, UNC | | Cabinet of the Director-General | | Office of Programme, Budget and Evaluation, PBE | |
| | | | | Office for Coordination and Decentralization Activities, OCD | | | |
| AG Agriculture and Consumer Protection Department <i>Crisis Management Centre</i> | FO Forestry Department | FI Fisheries and Aquaculture Department | NR Natural Resources Management and Environment Department | ES Economic and Social Development Department <i>International Alliance Against Hunger (IAAH)</i> | TC Technical Cooperation Department | KC Knowledge and Communication Department | AF Department of Human, Financial and Physical Resources <i>-Shared Services Centre -Medical Service -Security Service</i> |
| Animal Production and Health Division, AGA | Forest Economics and Policy Division, FOE | Fisheries and Aquaculture Economics and Policy Division, FIE | Land and Water Division, NRL | Gender, Equity and Rural Employment Division, ESW | Policy Assistance and Resources Mobilisation Division, TCA | Information Technology Division, KCT | Finance Division, AFF |
| Plant Production and Protection Division, AGP | Forest Management Division, FOM | Fisheries and Aquaculture Management Division, FIM | Environment, Climate Change and Bioenergy Division, NRC | Agricultural Development Economics Division, ESA | Investment Centre Division, TCI | Knowledge Exchange and Capacity Building Division, KCE | Human Resources Management Division, AFH |
| Nutrition and Consumer Protection Division, AGN | Forest Products and Industry Division, FOI | Fish Products and Industry Division, FII | Research and Extension Division, NRR | Trade and Markets Division, EST | Field Operations Division, TCO | Communication Division, KCI | Administrative Services Division, AFS |
| Rural Infrastructure and Agro-Industries Division, AGS | | | | Statistics Division, ESS | Emergency Operations and Rehabilitation Division, TCE | Conference and Council Affairs Division, KCC | |
| Joint FAO/IAEA Division, AGE | | | | | | | |

FAO Decentralized Office structure

FAO decentralized office structure



Proposed



Proposed new locations

| AFRICA | LATIN AMERICA AND THE CARIBBEAN | ASIA AND THE PACIFIC | NEAR EAST AND NORTH AFRICA | EUROPE AND CENTRAL ASIA | | | | | | | |
|--|---|--|--|--|----------------------------|--------------------------|-----------------|--------------------|---------------------|--|--|
| Regional Office for Africa, RAF | Regional Office for Latin America and the Caribbean, RLC | Regional Office for Asia and the Pacific, RAP | Regional Office for the Near East and North Africa, RNE | Regional Office for Europe and Central Asia, REU | | | | | | | |
| Subregional Office for West Africa, SFW* | Multidisciplinary Team for South America, SLS* | Multidisciplinary Team for Eastern and Southern Asia, SAA* | Multidisciplinary Team for Oriental Near East, SNO* | Subregional Office for Central and Eastern Europe, SEU* | | | | | | | |
| Subregional Office for Eastern Africa, SFE | Subregional Office for Central America, SLC | Subregional Office for the Pacific Islands, SAP | Subregional Office for the Gulf Countries, SNG | Subregional Office for Central Asia, SEC | | | | | | | |
| Subregional Office for Central Africa, SFC | Subregional Office for the Caribbean, SLA | | Subregional Office for North Africa, SNN | | | | | | | | |
| Subregional Office for Southern Africa, SFS | | | | | | | | | | | |
| COUNTRY OFFICES | COUNTRY OFFICES | COUNTRY OFFICES | COUNTRY OFFICES | COUNTRY OFFICES | | | | | | | |
| * Co-located in Regional Office | | <table border="1"> <thead> <tr> <th data-bbox="713 1086 995 1176">Liaison Offices</th> </tr> </thead> <tbody> <tr> <td data-bbox="713 1176 995 1209">North America, LOWA</td> </tr> <tr> <td data-bbox="713 1209 995 1243">UN (New York), LONY</td> </tr> <tr> <td data-bbox="713 1243 995 1276">UN (Geneva), LOGE</td> </tr> <tr> <td data-bbox="713 1276 995 1310">EC, LOBR</td> </tr> <tr> <td data-bbox="713 1310 995 1344">Japan, LOJA</td> </tr> <tr> <td data-bbox="713 1344 995 1386">Russia, LORU</td> </tr> </tbody> </table> | Liaison Offices | North America, LOWA | UN (New York), LONY | UN (Geneva), LOGE | EC, LOBR | Japan, LOJA | Russia, LORU | | |
| Liaison Offices | | | | | | | | | | | |
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| Japan, LOJA | | | | | | | | | | | |
| Russia, LORU | | | | | | | | | | | |

What technical support is available within FAO?

FAO Programme Structure

(See full document available in Annex IV - <ftp://ftp.fao.org/docrep/fao/meeting/010/J7290E.pdf>)

Chapter 2: Sustainable Food and Agricultural Systems

- Programme 2A: Crop production systems management
- Programme 2B: Livestock production systems management
- Programme 2C: Diseases and pests of animals and plants
- Programme 2D: Nutrition and consumer protection
- Programme 2E: Forestry information, statistics, economics, and policy
- Programme 2F: Forest management, conservation and rehabilitation
- Programme 2G: Forest products and industry
- Programme 2H: Fisheries and aquaculture information, statistics, economics, and policy
- Programme 2I: Fisheries and aquaculture management and conservation
- Programme 2J: Fisheries and aquaculture products and industry
- Programme 2K: Sustainable natural resources management
- Programme 2L: Technology, research and extension
- Programme 2M: Rural infrastructure and agro-industries

Chapter 3: Knowledge Exchange, Policy and Advocacy

- Programme 3A: Leveraging resources and investment
- Programme 3B: Food and agriculture policy
- Programme 3C: Trade and marketing
- Programme 3D: Agriculture information and statistics
- Programme 3E: Alliances and advocacy initiatives against hunger and poverty
- Programme 3F: Gender and equity in rural societies
- Programme 3G: Rural livelihoods
- Programme 3H: Knowledge exchange and capacity building
- Programme 3I: Information technology systems
- Programme 3J: Communication and public information

Chapter 4: Decentralization, UN Cooperation and Programme Delivery

- Programme 4A: UN cooperation, integration and monitoring
- Programme 4B: Coordination of decentralized services
- Programme 4C: Food security, poverty reduction and other development cooperation programmes
- Programme 4D: Emergency and post crisis management
- Programme 4E: Technical Cooperation Programme

Monitoring in an emergency context- a few pointers

O.Cossée / M.Chaya

1. What is monitoring? Monitoring is a continuous process of assessment throughout the implementation of a project/programme, through largely fixed *reporting lines* and procedures, by the staff or unit implementing the programme. An impact assessment is designed to determine the relevance and fulfilment of the objectives of a project, as well as the efficiency, effectiveness, impact and sustainability of the project. Monitoring and impact assessments are not activities which are conducted independently during the implementation of a project, but they are closely linked to the whole project implementation process.

2. Why is monitoring done? Monitoring helps documenting project achievements and shortcomings and facilitates programme management. It allows changing or intervening in a project/programme if the targeted objectives cannot be fulfilled through time-bound activities, financial resources and if the surrounding situation changes during implementation necessitating an adaptation in the project/programme.

3. Minimum scope: A monitoring system should primarily document *outputs delivered*: what was delivered in quantity and quality, where, to whom (beneficiaries), through whom (implementing partners), and when. Outputs include physical items such as seed or tools as well as non-physical ones such as knowledge or advice. Good monitoring systems should venture further into *outcomes i.e. into an impact assessment*, i.e. the use made of the programme outputs by beneficiaries. This can fine-tune the specifications of the distributed items if it appears that beneficiaries prefer a different type or variety for example. But *long-term impacts* cannot be monitored and are best left to external evaluations, mainly because an impact takes time to develop, it is not predictable, and it results from the complex interaction of more than one intervention.

4. Tools:

4.1 Reporting: is the most commonly used tool for monitoring, though it is not a sufficient tool. Reporting systems define who writes a report about what, within a specific timeframe, and for whom. The ideal scenario would be to combine reporting with a more neutral and analytical tool described below. Reporting is usually done by the IP of FAO or by FAO staff themselves through regular visits to the field. *Reporting requirement should always be included in the LoA with implementing partners*, with precise direction as per the content and structure of the report. In a typical reporting mechanism, IPs issue *one* post-distribution report describing: 1) the beneficiary selection process; 2) the logistics of transport, storage and distribution of the FAO inputs; 3) the result, i.e. the number of people having received the goods in each location, with the lists of beneficiaries' names, signatures or thumb prints in annex; 4) emerging issues, suggestions and recommendations for future work; and 5) if applicable, a summary of the expenses vis-à-vis the budget. More complex systems ask for a *series* of reports from each implementing partner, i.e. in case of a prolonged support from FAO. In addition to IP reporting, FAO staff should visit regularly visit projects sites and report on the status of activity and performance of the implementing partner.

4.2 Monitoring / impact assessment survey: this is usually the best option if the system is intended to look at outcomes and is best done by a third party. Donors are increasingly requesting this type of monitoring, however, funds are needed to apply it and therefore project budgets should have a clear provision for it. This monitoring tool typically involves a team of enumerators managed by one external consultant or NGO (preferably not the one having distributed the goods to avoid conflict of interest) draws a sample from the beneficiary lists, and interview that sample to: 1) verify that beneficiaries indeed received the assistance; 2) collect their feedback on the quality of the distributing partner's work (fairness of the beneficiary selection, orderly organisation of the distribution process...); 3) ask about the relevance and quality of the distributed items; 4) survey the patterns of use of the distributed items i.e. the *outcomes* (were all the distributed items used as intended, or was part of them sold, given to someone else, stored, unusable, consumed as food, etc...); and 5) collect recommendations and suggestions for similar work to

be conducted in the future. A number of interview techniques can be used. Fixed questionnaires (*questionnaire surveys*) allow for simple analysis via tables and graphs. The *semi-structured interview* is a more qualitative technique using a loose checklist of about half a dozen issues which are discussed in detail with the interviewed beneficiaries. An interesting variant of the semi-structured interview is the *focus group interview*, in which a group of six to ten informants drawn from a specific stakeholder group (i.e. female beneficiaries, male beneficiaries, or non-beneficiaries in the community) are interviewed together.

Methodology for monitoring emergency input distributions and assessing impacts

The above-mentioned methodology, based on questionnaire surveys, is being developed by TCE and has been tested in three countries so far. This tool consists of a 3-phased monitoring process providing feedback on operations from the beneficiaries' side. Each phase looks at a specific angle of the operation. Phase 1 looks at the selection of beneficiaries and distribution mechanisms, and examines the contributions of the intervention against the expected results of the project. Phase 2 assesses the quality and performance of the inputs distributed. Phase 3 looks at the benefit of the intervention on the beneficiaries' economic welfare at household level and makes a link between the outcomes and the stated objectives, measuring project impacts. Questionnaires have been designed for each phase and are divided into two parts. The first part allows the triangulation of the data gathered across the three phases (they are socio-economic parameters which do not change throughout the implementation of the project). The second part of each questionnaire is phase specific and concentrates on the topic of each individual phase. The data reveals the extent of the beneficiaries' economic situation at the household level and facilitates the fine-tuning and effectiveness of interventions enabling the modification of inputs distributed.

4.3 Implementation of the monitoring methodology: it has to start at the onset of the project implementation. An external party (consultant) is needed to design the questionnaires in the simplest possible way. The concerned FAO staff, enumerators and NGOs selected to conduct the survey are trained by the consultant on the methodology. Appropriate enumerators and NGOs are in short supply and therefore difficult to engage. In this case, the project's implementing partners can be trained on how to conduct the survey. An FAO focal point consolidates and enters the data. The external consultant analyses the data and drafts a report for each phase. At the end of activities the consultant produces a final report to assess the impact of the project. To ensure sustainability of the methodology, the consultant trains the FAO staff on the process including data analysis, thereby ensuring the FAO office will be able to train NGOs staff and enumerators.

Donors appreciate such a methodology since it is a simple tool which produces reliable information on the results achieved. This methodology also provides donors with a tool to compare the outcome and impact of various projects implemented by different partners involved in a similar activity. It is therefore necessary to conduct monitoring during the first year of project implementation. Allocations in project budgets should be provided for such an exercise.

POINTS TO KEEP IN MIND

1. Bear in mind that monitoring and impact assessment are needed on a specific project or programme. In addition, they generate data and analyses that render the programme more credible vis-à-vis donors.
2. Remember to allocate funds for this activity in project budgets.
3. Try to strengthen your programme and staff in a way to integrate monitoring and Impact assessment into your programme.
4. Decide on the best methodology to use based on your resources, and bearing in mind that TCE has a simple tool to conduct monitoring and impact assessment surveys. Inquire with the operations officers at TCE.

Real Time Evaluation

(Adapted from the report of the Real Time Evaluation of the FAO Emergency and Rehabilitation Operations in response to the Indian Ocean Earthquake and Tsunami)

An RTE is designed to:

1. provide immediate feedback and guidance to FAO management on strategic and operational achievements (what works well) and constraints (what doesn't work well) in order to improve impact, timeliness, coverage, appropriateness, sequencing and consistency of operations;
2. provide accountability to the affected populations, governments, donors and other stakeholders on the use of resources in order to reinforce participation, transparency, and communication;
3. identify gaps or unintended outcomes, with a view to improving the FAO strategy and programme's approach, orientation, coherence and coordination; and
4. draw lessons on FAO's capacity to respond promptly and adequately to sudden natural disasters and to support livelihood recovery and development efforts in the agriculture, fisheries and forestry sectors.

Upon review of the programme portfolio, a sample of countries are selected and visited by three successive missions, staged at the beginning, middle and end of the response. The RTE involves desk studies, field surveys and evaluation missions. These missions focus on different aspects. For instance in the case of the Tsunami response RTE:

- *The first mission (May 2005) focused on operational procedures and capacity, damage assessments and programme planning.*
- *The second mission (November 2005) focused on beneficiary selection, beneficiary satisfaction, preliminary indications of impact, and the use of the SLA in the tsunami response.*
- *The third mission (June - July 2006) coincided with the end of the period covered by the UN Indian Ocean Tsunami Flash Appeal, and reviewed beneficiary selection and satisfaction, the impact of the response on communities and institutions, prospects for a transition to longer-term reconstruction and development activities, and the role played by FAO in sectoral coordination.*

The list of issues is progressively enriched through consultations with programme managers, advocating that an RTE should be flexibly adapted to emerging issues and the demand for information emanating from programme stakeholders (emergent evaluation design).

In addition to conducting their own document reviews and interviews with a wide array of stakeholders, the evaluation missions train and supervise national consultants and surveyors undertaking beneficiary assessments, which combine individual interviews and focus group discussions with beneficiaries and non-beneficiaries to draw lessons on the adequacy and impact of the FAO response in each country as seen by the affected communities.

This work is completed by desk reviews to closely analyse some specific aspects as the operational bottlenecks identified during the first and second RTE missions.



Communication

Chapter 6

After having read this section you should be able to respond to the following questions:

- *Why communication skills are important for FAO staff in emergencies?*
- *How to communicate with different stakeholders?*
- *What kind of messages should be delivered and to whom?*

FAO emergency and rehabilitation activities communications strategy

1. Why develop a communications strategy?

The need for a communications strategy on FAO's emergency and rehabilitation activities, within the framework of the Organization's Corporate Communications Strategy, has been identified as a priority within the ongoing review of the mandate, activities and future direction of FAO's Emergency Operations and Rehabilitation Division. A properly conceived strategy will serve as a guide for all related communications activities. As resources are scarce, it will permit prioritization between conflicting demands and give a clear direction for everyday activities.

This working document is an attempt to elaborate a communications strategy for FAO's emergency and rehabilitation activities, including objectives, audiences, messages, communications activities, and implementation modalities.

2. What is FAO's role in emergencies and rehabilitation?

In developing countries, most communities affected by disasters and conflict depend on agriculture, renewable natural resources and associated enterprises for their way of life. FAO's expertise in food security, farming, livestock, fisheries and forestry is therefore crucial in emergency response and rehabilitation efforts where exceptional external assistance is required, and comprised 40 percent of the FAO's field programme delivery in 2005. In the aftermath of disasters, during conflicts and in transition situations, FAO's role is to protect, restore and enhance the livelihoods of farmers, fishers and associated rural artisans. FAO's relief and rehabilitation assistance promotes self-reliance, moving crisis-affected communities away from dependence on food aid and other forms of assistance and paving the way for long-term development.

FAO's comparative advantages in this regard include:

- disaster prevention, preparedness, early warning;
- undertaking needs assessments, monitoring food security, formulating and implementing agricultural relief and rehabilitation programmes;
- coordination and standard bearing for agricultural interventions undertaken by humanitarian and development actors, thereby optimizing impact;
- providing information and technical assistance to NGOs, UN agencies and governments;
- managing programmes, reducing transaction costs for donors channeling resources to NGOs, monitoring and assuring quality throughout the programme cycle; and
- formulating investment frameworks favoring the transition from emergency relief to reconstruction and development.

FAO's main comparative advantage in emergencies is matching know-how in food security and agriculture with resources. TCE aims to harness this know-how, drawing on the wide range of relevant technical expertise within FAO, from the initial needs assessment stage of an emergency response to programme development, backstopping, and monitoring and evaluation. This approach ensures the quality and relevance of our emergency interventions, reducing vulnerability quickly and promoting sustainable and enhanced agriculture-based livelihoods. It also allows for the identification of exit strategies from immediate and prolonged relief incorporating lessons learned during the emergency phase and leading to sustainable development.

3. Objectives

The objectives of the communications strategy should be closely associated to the organizational objectives of FAO and TCE. This will ensure that the strategy is organizationally-driven and that each resulting communications activity is not an end in itself.

Broadly, the main objectives of the communications strategy include:

- raising awareness of agricultural and food emergencies in order to mobilize public opinion;
- positioning FAO as uniquely qualified to respond to agricultural and food emergencies;
- supporting resource mobilization for emergencies and rehabilitation;
- providing donors with visibility; and
- strengthening relationships with humanitarian partners.

4. Audiences

Communication should be targeted to audiences who will help FAO achieve its objectives related to its work in emergencies. Defining audiences will allow for more focused messages and the adoption of the most appropriate communications tools and ensure a more resource-efficient and targeted distribution. With the aforementioned objectives in mind, the target audiences for communications activities related to FAO's role in emergencies and rehabilitation may include the following:

- donor governments and agencies;
- humanitarian partners (UN agencies, NGOs);
- general public;
- recipient governments; and
- recipient target groups.

5. Messages

The underlying message of all communications activities related to FAO in emergencies and rehabilitation is FAO's role in protecting, re-establishing and enhancing agricultural, fisheries and forestry production in the aftermath of natural disasters and conflicts, giving evidence of its comparative advantages and of the validity of its livelihoods approach.

The communications strategy should focus on **one key message** and be as simple as possible, so that it can be translated into a short slogan, e.g. "Protecting and rebuilding livelihoods in response to emergencies". The key message could be further developed for specific audiences but should always be there as the underlying message.

Specific messages can be tailored to particular audiences, though the key message should be at the forefront. For example:

- General public
 - raising awareness of food and agricultural emergencies, FAO's role and comparative advantages;
 - informing about successful emergency activities and projects; and
 - forgotten emergencies.
- Donor governments and agencies
 - shortfalls in funding appeals;
 - forgotten emergencies; and
 - added value of working with FAO (i.e worthiness of its approach, cost-effectiveness versus food aid, etc).
- Humanitarian partners (UN agencies, NGOs)
 - field activities;
 - coordination role; and
 - technical expertise.
- Recipient governments
 - impartiality (FAO as honest broker);
 - capacity building role; and
 - empowerment of communities.
- Recipient target groups
 - project-related information.

6. Communications activities

Communications activities should be identified based on the message and the audience.

Web

The web should be considered a home base, with information available 24 hours a day, seven days a week. All communications activities - press releases, publications, presentations, etc. – should drive people to corresponding websites, whether the main TCE website or sites maintained by specific emergency and rehabilitation programmes in the field.

Suggested audiences: All

Newsletters

Given the enormous reach of email, a short newsletter, bulletin, quarterly report, etc., could be produced highlighting special themes and programmes, financial information and appeals. Again, this can be done at HQ level or by programmes in the field.

In addition, electronic alerts can be sent via email to specific audiences about the latest features/materials added to the various websites.

Suggested audiences: Donor governments and agencies (following accepted protocol and through appropriate channels), humanitarian partners and recipient governments.

Video coverage

Well-planned video missions can offer timely television coverage of FAO's response to emergencies which can be channelled to media outlets (CNN, BBC, etc.) for broad dissemination. Short documentaries could also be produced to demonstrate success stories and FAO's capacity to donors, provided that audiences and distribution are clearly identified and the costs are commensurate to the expected impact on target audiences. Donors could also fund special reports or public service announcements on assistance provided to a specific country or region to convince constituents of the added value of channelling funding through international organizations such as FAO. In the field, local coverage of projects and programmes could be arranged. Coordination/consultation with FAO's General Information (GI) Department on all of these aspects is important.

Suggested audiences: General public, donors and recipient governments

Press

Press releases are an easy way of highlighting newsworthy issues to a broad audience (a particular emergency, a funding appeal, a successful intervention) and can be handled easily at both HQ and in the field. A press release following a donor pledge, for example, is a good way to provide donors with visibility. In the field, keeping the local media (whether directly, through UN spokespersons, etc.), informed of activities is a preferred means of promoting FAO's work.

Suggested audience: General public, donors.

Photo missions

Still photography remains a powerful tool for immediate media outreach and for subsequent use in web features, publications, promotional materials, exhibits and displays, etc. For example, offering a photo together with a news release can dramatically increase media interest. FAO's GI Department has close links with a network of qualified professional photographers on the ground in all regions who can deliver top-quality material with minimum of guidance and logistical assistance.

Suggested audiences: All

Radio

Radio remains an effective means for outreach to the general public and especially to convey project-related information to recipient target groups (i.e., weather forecasts, planting season information, technical advice, etc).

Suggested audiences: General public, recipient target groups.

7. Implementation

Developing a communications plan

A draft communications plan will be strategy-driven and implemented at HQ level. It will list primary activities, resources required, responsible staff, target distribution, and time frames. Using the strategy as a background document, similar plans can be developed and implemented at field level, taking into account the available resources.

Corporate identity

TCE must be seen as the operational arm of FAO and its technical expertise in response to emergencies. FAO must always be the "brand". The FAO corporate look (name and logo) should receive primacy in all related communications activities. While this strategy document explicitly mentions the Division, actual communications products should avoid this so FAO is seen as one institution and not a large collection of narrowly focused units, thus reinforcing its image as a bureaucracy.

Headquarters and the field

While the underlying message remains the same, headquarters and the field often have different audiences and therefore require different communications tools and resources.

HQ: TCE must take advantage of the resources available at FAO headquarters, including dedicated information, communications and reporting officers. Headquarters is in touch with donor representatives in Rome and relevant government officials in their respective capitals, other agencies, and major media outlets. Communications tools/activities include the main FAO and the Divisional web site, global press releases, donor meetings, publications, brochures and video missions

Field: FAO's relief activities are undertaken largely by its many ECUs in affected countries and areas. Using the communications strategy as a guidance document, ECUs are encouraged to develop communications plans and activities in accordance with available resources and needs. HQ staff should be kept informed of local initiatives and can also provide support. Professional information officers should be used in the field whenever possible. FAO liaison, regional and country offices are also important partners and should, within the framework of the communications strategy and taking into consideration their available resources, consider what they can do to promote and support FAO's role in emergencies. Audiences include local donor representatives, humanitarian partners, recipient governments and target groups. Communications tools/activities include local internet sites, newsletters, press releases and coordination activities with humanitarian partners (workshops, meetings and databases).

Training

Both HQ and field staff should have access to appropriate training in communications skills (i.e. holding effective meetings, improved presentations skills, handling the media).

Monitoring and evaluation

- Monitor the implementation of the communications plan.
- Update/add communications material/activities, as required.
- Monitor resource requirements.
- Perform a communications audit to assess the effectiveness of the communications strategy, plan and activities through surveys.

FAO's role in emergencies - key messages

Introduction

FAO's role in emergencies has evolved in recent years. As our communications efforts are often misunderstood, rejected or simply not heard, the challenge is communicating the organization's role in emergencies effectively via key messages to donors, partners and other audiences.

Whether in a speech, through publications or the web, effective communication requires an **objective** (raising funds, raising awareness), an **audience** (general public, donors, partners), and a **message**. In delivering the message, knowing both your objective and audience is crucial, as is **keeping the message simple**.

Presented in this document are some key messages on FAO's work in emergencies tailored around specific audiences. This is by no means an exhaustive list. These messages should be considered during your advocacy efforts.

General public / media

- Rural populations in the developing world depend largely on agriculture for their way of life. They often do not have other sources of income or food and are consequently vulnerable to disasters. FAO's expertise in farming, livestock, fisheries and forestry is therefore crucial in emergency efforts.
- FAO's role is to protect, restore, and enhance the food security, nutrition and the livelihoods of farmers, fishers, pastoralists. FAO promotes self-reliance, moving crisis-affected communities away from dependence on food aid and paving the way for long-term sustainable development.
- FAO covers a wide range of activities that together contribute to supporting countries to better prevent, prepare for, mitigate and respond to disasters, whether natural (hurricanes, flooding, drought) or induced by conflict and war.

Donors

- Early funding results in a more resource-efficient response, allows for better planning, and keeps the situation from deteriorating.
- Unearmarked funding is encouraged in order to allow for a rapid response to an emergency as well as flexibility to address immediate and changing relief needs. Unpredictable, project-based and piecemeal funding raises administrative costs.
- FAO's relief and rehabilitation assistance aimed at agricultural production (including crop, livestock, and fisheries) is cost-effective and much less expensive than food aid, especially the repeated mobilization of food aid assistance.
- FAO plays a key role in coordination, keeping everyone involved in emergency agricultural relief and informed about who is doing what and where. As a result, there are fewer gaps in the delivery of emergency assistance, less duplication of effort and fewer wasted resources.
- FAO works closely with UN agencies and other humanitarian partners to ensure a coordinated and efficient response.
- FAO's programmes are closely monitored and evaluated, ensuring transparency, accountability and that funds are spent wisely.

Affected countries

- FAO is an “honest broker” and impartial.
- FAO is governed by its member states and responds to their requests.
- Disaster preparedness and early warning activities are part of FAO’s emergency response.
- FAO supports and works closely with counterpart government agencies in order to better prioritize needs, ensure transparency and build government capacity at local, regional and central levels.
- FAO makes the best of local capacities, including human resources and materials, in addition to supporting and working with farmers’ organizations.
- FAO ensures monitoring and evaluation of its emergency programmes, which are shaped in synergy with the affected country’s development plan.

Partner organizations

- FAO is part of the UN Country Team and coordinates its emergency programme with other UN and humanitarian partners, for example, through joint needs assessments, funding appeals and implementation arrangements.
- FAO works with local and international non-governmental organizations (NGOs) in implementing activities at the field level.

Private sector

- FAO is open to working with the private sector to find innovative ways of raising money for emergencies and increase its funding base.

Communicating with donors – “saving livelihoods saves lives”

DO:

- Prepare your messages and have your arguments ready before the meeting.
- State the problem – what’s happening in the concerned region and to the food security and livelihoods of the affected populations, what are the proximate causes of the crisis, and what the consequences of inadequate assistance would be.
- Promote the interests of the hungry and poor and different interventions required to mitigate hunger not just those interventions deliverable by FAO. Stress the needs of the beneficiaries and not the needs of FAO.
- Focus on outcomes, not inputs (i.e. explain how FAO’s assistance will reinforce the resilience and self reliance of the affected populations including dependents of farmers and not how many tonnes of seed are required).
- Convince the donor that FAO’s objective of assistance is a decisive and instrumental step to achieve the overall goal of the emergency/rehabilitation programme.
- “Know the donor” – what are the donors’ priorities and level of resources.
- Present an overall programme approach that has been reviewed and approved by the government.
- Stress that FAO’s response is part of a UN framework that fosters cooperation between governments, donors, aid agencies and results in a coordinated, efficient, effective response.
- Highlight the proportion of the affected population who have agriculture-based livelihoods (often the majority) and that agriculture (farming, herding, fishing and associated enterprises) is their core survival strategy not just for food security but to pay for medicines, school fees and other essentials.
- Underscore cost-effectiveness of FAO’s assistance as complementary to food aid and other relief:
 - “Information for action”: FAO coordinates and provides technical advice to all actors involved in agriculture and food security, avoiding gaps and overlaps in assistance, and optimizing impact.
 - Timely protection and rebuilding of livelihoods and bolstering of resilience restores dignity, reduces the need for relief, and averts negative coping strategies (such as off-loading productive assets at low prices, migration, “selling” daughters”, sex-working) and the risk of irreversible destitution and permanent dependence on relief.
- Present the number of beneficiaries and not the quantity of inputs, reminding the donor that each household FAO assists often has 5-6 dependents (e.g. 10 000 farming households will receive seeds and tools but this will provide enough staple food to feed 50 000 dependants for one year).
- Emphasize the cost of extended food aid is many times higher than the assistance FAO provides (i.e. in rural Africa to deliver a tonne of maize in food aid typically costs 10 times more than the cost of providing sufficient seed and fertilizer to produce a tonne of maize).
- Point out that FAO assistance takes more time to deliver than routine relief items because most livelihood support cannot be pre-packaged, and varies from one context to another:
 - While livelihood support activities take longer to assess and plan than quick delivery of standard items such as tents, water sanitation kits, medicines, and food aid, which can be pre-positioned or repeat ordered in bulk off the shelf, FAO’s assistance contributes to the exit strategy and has longer-lasting effects.
 - FAO may be slower than NGOs because of its technical and accounting standards which ensure the sustainability and transparency of FAO’s activities.
- Negotiate funding on areas where FAO’s credibility and comparative advantage in the country is already cleared established.
- As FAO can manage and coordinate the activities of many NGOs through contractual arrangements, this can reduce donor administration costs related to managing many contracts (channelling aid through FAO versus through different NGOs)

DO NOT:

- Present projects in a piecemeal fashion.
- Ask for funding the first time you meet a potential donor. Funding is more a consequence of a well established **trust** between partners.
- Promote an agenda against the wishes of the recipient government.
- Appear to be acting independently instead of under the umbrella of the UN.
- Criticize other UN agencies or NGOs.
- Denigrate the need for food aid.
- Promise what cannot be delivered or unrealistic deadlines but do propose alternatives.
- Criticize your own organization.

| Glossary | |
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| <i>Accountability</i> | Accountability refers to the humanitarian system's responsibility to justify actions/decisions undertaken in the context of an emergency to donors, beneficiaries, national governments and other relevant stakeholders. |
| <i>AQUASTAT</i> | FAO's global information system on water and agriculture developed by the Land and Water Division. It collects, analyzes and disseminates data and information by country and region. |
| <i>Baseline studies</i> | Baseline studies use various methodologies to establish a starting point for projects/activities. They provide valuable social and economic information which is crucial to project decision-making and predicts impacts. |
| <i>Central Emergency Response Fund (CERF)</i> | The CERF was established by the United Nations to enable more timely and reliable humanitarian assistance through 3 objectives, i.e. to (i) promote early action and response to reduced loss of life; (ii) enhance response to time-critical requirements; and (iii) strengthen core elements of humanitarian response in under-funded crises. See p91 |
| <i>Chronic food insecurity</i> | Chronic food insecurity implies a persistent inability on the part of the household or individual to provide itself with adequate food. It is associated with problems of continuing or structural poverty and low incomes. |
| <i>Cluster approach</i> | The "cluster approach" is part of the overall UN-led humanitarian reform process initiated in 2005 aimed at improving the effectiveness of humanitarian response through improving the predictability and accountability of humanitarian actions. See p91 |
| <i>Common country programming process</i> | This refers to a comprehensive set of programming tools and procedures to help UN Country Teams work better together and increase the impact of UN interventions in the field. |
| <i>Common Humanitarian Action Plan (CHAP)</i> | The CHAP is a strategic plan for humanitarian response in a given country or region. It provides: (i) a common analysis of the context in which humanitarian response takes place; (ii) an assessment of needs; (iii) best, worst and most likely scenarios; (iv) identification of roles and responsibilities; (v) a clear statement of longer-term objectives and roles; and (vi) a framework for monitoring the strategy and revising it if necessary. The CHAP is the foundation for developing a Consolidated Appeal. |
| <i>Complex emergency</i> | Defined by the IASC as a "multi-faceted humanitarian crisis in a country, region or society where there is total or considerable breakdown of authority resulting from internal or external conflict and which requires a multi-sectoral, international response that goes beyond the mandate or capacity of any single agency and/or the ongoing UN country programme". |
| <i>Consolidated Appeals Process (CAP)</i> | The CAP is a tool used by humanitarian organizations to plan, coordinate, fund, implement and monitor their activities. See p85 |
| <i>CAP Needs Analysis Framework</i> | The Needs Analysis Framework is a tool to help the UN Country Teams organize and present existing information on humanitarian needs in a coherent and consistent manner. |
| <i>Context analysis</i> | The context analysis collects key data and information on economic, environmental, social and institutional factors present in a situation. |

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| <i>Contingency planning</i> | “A process in anticipation of potential crises, of developing strategies, arrangements and procedures to address the humanitarian needs of those adversely affected by crises.” (R. Choularton, 2007) |
| <i>Crisis Management Centre</i> | FAO's Crisis Management Centre was set up to streamline its crisis response capacity, put in place the infrastructure necessary to be able to respond to future animal and plant disease and food safety crises and, in the long-term, make a major contribution to safeguarding global biosecurity. |
| <i>Crop and Food Supply Assessment Missions (CFSAMs)</i> | A combined FAO/World Food Programme activity which undertakes a crop assessment and evaluates the prospective overall food supply and demand situation and the food needs of vulnerable populations in a specific country. |
| <i>Direct distribution</i> | This refers to the procurement and distribution of key agricultural inputs (such as food, seeds, agricultural tools, etc.) to target beneficiaries. |
| <i>Disaster preparedness</i> | Measures that (i) ensure the readiness and ability of a society to forecast and take precautionary steps well in advance of a disaster to reduce its adverse affects and (ii) help respond to its effects by timely, appropriate and effective organization and delivery of relief and rehabilitation assistance. |
| <i>Disaster risk management (DRM)</i> | DRM is the systematic process of using administrative decisions, organization, operational skills and capacities to implement policies, strategies and coping capacities of the society and communities to lessen the impacts of natural and human-induced disasters. |
| <i>Dynamic atlas</i> | Dynamic Atlas is an information management and publishing suite of tools that enable the integration of spatial (map), tabular (spreadsheet) and unstructured (document) data and metadata. |
| <i>Early recovery</i> | This is defined as recovery that begins early in a humanitarian system. It is a multidimensional process, guided by development principles, that aims to generate self-sustaining, nationally owned and resilient processes for post-crisis recovery. |
| <i>Early warning systems</i> | A system composed of: (i) regular, periodic and systematic advance collection and analysis of data; (ii) interpreting data and converting them into operational information relevant to a crisis; (iii) examination of the data by the concerned organization, evaluation of the proximity of an impending crisis and monitoring of the process of recovery; and (iv) arrangements or mechanisms for rapid and timely dissemination of data to concerned authorities, institutions and the population likely to be affected. |
| <i>Emergency Food Security Assessment (EFSA)</i> | EFSAs aim to highlight the impact of a crisis on the weakest and poorest in terms of the interaction between food insecurity, poverty, health and education. |
| <i>Emergency needs assessment (ENA)</i> | An ENA helps guide the response of UN agencies and other humanitarian organizations to an emergency situation by providing decision-makers with key information, such as (i) the demographics of the affected population and number of people affected; (ii) the details of the emergency (cause, location, magnitude); (iii) condition of the affected population (mortality and morbidity rates); (iv) local response capacity and available resources; (v) extent and type of life-saving needs and priorities; and (vi) likelihood of future additional problems or needs. |
| <i>Emergency preparedness</i> | All activities taken in anticipation of a crisis to expedite effective emergency response. |

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| <i>Emergency Prevention System for Transboundary Animal and Plant Pests and Diseases (EMPRES)</i> | EMPRES was established by FAO in order to minimize the risk of emergencies developing related to the spread of animal/plant pests and diseases. EMPRES runs normative and operational activities on the containment and progressive control of various serious transboundary diseases. |
| <i>Emergency response</i> | Actions taken in response to a disaster warning to minimize or contain eventual negative effects and those taken to save lives and provide basic services in the immediate aftermath of a disaster. |
| <i>Executive Committee for Humanitarian Affairs (ECHA)</i> | This is one of four Committees created by the UN Secretary-General in the framework of UN reform, with the aim of enhancing the coordination between UN agencies in various humanitarian sectors. The Committee adds a political, peacekeeping and security dimension to humanitarian consultations. |
| <i>Exit strategies</i> | An exit strategy is primarily a process of moving from emergency to rehabilitation and development, addressing a change in the roles of UN agencies and other humanitarian organizations in the country. The exit strategy should be an integrated part of the strategic plan developed to provide humanitarian assistance and should be prepared early in the intervention. |
| <i>Famine Early Warning Systems Network (FEWS NET)</i> | FEWS NET is funded by the United States Agency for International Development (USAID), with the objective of strengthening the abilities of African countries and regional organizations to manage risk of food insecurity through the provision of timely and analytical early warning and vulnerability information. |
| <i>Flash Appeal</i> | The Flash Appeal is a tool for structuring a coordinated humanitarian response for the first three to six months of an emergency. The UN Humanitarian Coordinator triggers a Flash Appeal in coordination with all stakeholders. The Flash Appeal is issued within one week of an emergency. |
| <i>Food security</i> | “Food security exists when all people, at all times, have physical and economic access to sufficient, safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life.” (World Food Summit, 1996) |
| <i>Food Security Analysis Unit (FSAU)</i> | The FSAU – Somalia seeks to provide evidence-based analysis of food, nutrition and livelihood security to enable both short-term emergency responses and long-term strategic planning to promote food and livelihood security for Somali people. |
| <i>Food Insecurity and Vulnerability Information and Mapping Systems (FIVIMS)</i> | FIVIMS are any systems that assemble, analyse and disseminate information on who the food insecure are, where they are located and why they are food insecure, nutritionally vulnerable or at risk. |
| <i>Geographic Information Systems (GIS)</i> | Analysis that combines relational databases with spatial interpretation and outputs, often in the form of maps. |
| <i>Global Information and Early Warning System (GIEWS)</i> | This is a FAO system that continuously reviews the world food supply/demand situation, issues reports on the world food situation and provides early warnings of impending food crises in individual countries. |
| <i>GIEWS Workstation</i> | This is an integrated information system which consists of customized tools, including country cereal balance sheets, software for the display and analysis of maps and satellite systems and an electronic news service. |

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| <i>Global Livestock Production and Health Atlas (GLiPHA)</i> | A user-friendly electronic atlas, which provides a scalable overview of spatial and temporal variation of quantitative information related to animal production and health through a combination of maps, tables and charts. |
| <i>Good Humanitarian Donorship Initiative</i> | The Good Humanitarian Donorship initiative provides a forum for donors to discuss good practice in humanitarian financing and other shared concerns. By defining principles and standards it provides both a framework to guide official humanitarian aid and a mechanism for encouraging greater donor accountability. |
| <i>Hazard</i> | A phenomenon which has a duration, magnitude and intensity that is potentially damaging and implies a risk to a population because of the potential for its occurrence. |
| <i>Household Economy Approach (HEA)</i> | HEA was developed by Save the Children in collaboration with GIEWS, with the aim of finding a method that could indicate the likely effect of crop failure or other shocks on future food supply. The methodology describes the livelihood systems of wealthy, middle and poor households that live in an area and share a similar “food economy”. |
| <i>Humanitarian Coordinators</i> | A Humanitarian Coordinator is appointed when there is a perceived need for: (i) intensive and extensive political management, mediation and coordination to enable the delivery of humanitarian response, including negotiated access to affected populations; (ii) massive humanitarian assistance requiring action by a range of participants beyond a single national authority; and (iii) a high degree of external political support, often from the UN Security Council. |
| <i>Humanitarian principles</i> | Humanitarian principles govern the way humanitarian response is carried out. |
| <i>Humanitarian Response Review (HRR)</i> | The United Nations Office for the Coordination of Humanitarian Affairs (OCHA) launched an independent review of the global humanitarian system in 2005 to assess the response capacities of the UN, NGOs, Red Cross-Red Crescent societies and other key humanitarian actors. |
| <i>Incident Command System</i> | The incident command system is an effective system for managing emergencies. To coordinate the effective use of all available resources, agencies need a formalized management structure that lends consistency, fosters efficiency and provides direction during an emergency response. |
| <i>Information Management Resource Kit (i-MARK)</i> | I-MARK was developed by FAO in partnership with a number of organizations in order to train individuals in the effective management of agricultural information. |
| <i>Input trade fairs</i> | Through this system, vouchers with a cash value are distributed to farmers identified as requiring assistance. These farmers gather at the fairs and ‘purchase’ agricultural inputs and seeds of their choice, using their own discretion as to which items meet their specific needs. |
| <i>Integrated Humanitarian and Food Security Phase Classification (IPC)</i> | A tool for improving analysis and decision-making in emergency situations. The IPC tool is a standardized scale that integrates food security, nutrition and livelihood information into a clear statement about the severity of a crisis and implications for humanitarian response. |
| <i>Inter-Agency Standing Committee (IASC)</i> | The IASC is a unique, inter-agency forum for coordination, policy development and decision-making involving the key UN and non-UN humanitarian partners. |

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| <i>Internally displaced persons (IDPs)</i> | People who have fled or been forced to migrate from their homes as a result of war, civil strife, natural disasters or other form of crisis but remain within the territory of their own country. |
| <i>Junior Farmer Field and Life Schools (JFFLS)</i> | In response to the growing number of orphans and vulnerable children as a result of HIV/AIDS in sub-Saharan Africa, JFFLS were developed to improve children's agricultural and life skills for livelihood support and food security. They provide children with new skills for farming, income generation, proper nutrition, health and hygiene, biodiversity and natural resource conservation, among other topics. |
| <i>Key Indicators Database System (KIDS)</i> | This is an interactive, data collection and visualization information system initially designed to identify the needy and vulnerable and the causes of their situation, enhance policy design and targeting of interventions and to monitor progress. |
| <i>Livelihood</i> | "A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living." (Chambers, R. and Conway, G., 1992) |
| <i>Livelihood approaches</i> | Livelihoods approaches are centred on people and their livelihoods. They prioritize people's assets, their ability to withstand shocks and policies and institutions that reflect poor people's priorities. |
| <i>Livelihood coping strategies</i> | The means by which individuals and groups use available resources and abilities to face adverse consequences that could threaten their livelihoods. |
| <i>Livelihood strategies</i> | Livelihood strategies are the range and combination of activities and choices that people make in order to achieve their livelihood goals. |
| <i>Livestock destocking</i> | Purchase of livestock when there is pressure on water and pasture and prices are falling, at above prevailing market prices. Animals can be slaughtered and meat distributed as part of the relief effort. |
| <i>Millennium Development Goals (MDGs)</i> | The MDGs represent an international commitment to tackle poverty and hunger, lack of education, gender inequality, disease and child mortality and environmental degradation. |
| <i>Monitoring</i> | Monitoring is a continuous process of assessment over the implementation of a project/programme, through largely fixed reporting lines and procedures, by the staff or unit implementing the programme. |
| <i>National Medium-Term Priority Framework (NMTPF)</i> | An NMTPF is a planning and management tool for FAO's interventions at country level. It outlines how FAO can best assist the country in meeting its agricultural, food security and rural development priorities, including MDG targets. |
| <i>National Poverty Reduction Strategy Papers (PRSPs)</i> | PRSPs are prepared by countries through a participatory process involving domestic stakeholders as well as external development partners. PRSPs describe the country's macroeconomic, social and structural policies and programmes over a three-year or longer horizon to promote broad-based growth and reduce poverty. |
| <i>Peace building</i> | Actions to identify and support structures which will strengthen and solidify peace in order to avoid a relapse into conflict. Promoting long-term peace is a complex process and requires collective effort and the active participation of all the relevant actors of civil society. |

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| <i>Recovery/reconstruction</i> | Development interventions which not only seek to build or repair the damage or return to status quo ante but also address medium- and long-term needs and improvements in policies, programmes, systems and capacities to avert recurrence of crisis and reach higher levels of employment and standards of living. |
| <i>Rehabilitation</i> | Actions which enable the affected population to resume more or less “normal” patterns of life. |
| <i>Resilience</i> | The capacity of a system, community or society potentially exposed to disaster to adapt, by resisting or changing in order to reach and maintain an acceptable level of functioning. |
| <i>Response analysis</i> | Response options analysis seeks to identify immediate and longer-term response options that are appropriate and feasible and to make recommendations concerning what specific food security responses should be undertaken. |
| <i>Risk assessment</i> | A methodology to determine the nature and extent of risk by analyzing potential threats and evaluating existing conditions of vulnerability that could pose a threat to people, property, livelihoods and the environment on which they depend. |
| <i>Situation analysis</i> | Situation analysis aims to determine the current and evolving food security situation based on available current secondary information, e.g. early warning, vulnerability baseline and assessment information, including an analysis of underlying causes. |
| <i>Special Fund for Emergency and Rehabilitation Activities (SFERA)</i> | The SFERA is composed of: i) a revolving fund to support FAO efforts in needs assessment, programme development and set-up of an emergency coordination unit; ii) a working capital component to advance funds to rapidly initiate project activities; and iii) a programme component to support specific emergency crises. |
| <i>Sphere Project</i> | A project established by several NGO consortia to develop a set of universal minimum standards in core areas of humanitarian assistance. Its aim is to improve the quality of assistance provided to affected people and to enhance the accountability of the humanitarian system in disaster response. |
| <i>Targeting</i> | A method by which goods and/or services are delivered to a group of individuals or households that have specific characteristics. |
| <i>Transition situations</i> | Defined by the UN Development Group (UNDG) and the Executive Committee for Humanitarian Affairs (ECHA) as “the period in a crisis when external assistance is most crucial in supporting or underpinning still fragile ceasefires or peace processes by helping to create the conditions for political stability, security, justice and social equality”. |
| <i>Transitory food insecurity</i> | A temporary or seasonal shortage of food because of unexpected factors for only a limited period. |
| <i>“Twin-track” approach</i> | Under FAO’s twin-track approach to fighting hunger, the first track addresses recovery measures for establishing resilient food systems. Track two assesses the options for providing support to vulnerable groups. |
| <i>Vulnerability</i> | Propensity of a society to experience substantial damage, disruption and casualties as a result of the hazard. |
| <i>Vulnerability analysis and mapping (VAM)</i> | A systematic set of methods and tools to assess and map food security and vulnerability. |
| <i>Zoonosis</i> | A disease which can be transmitted to humans from animals. |

Acronyms

| | |
|----------------|---|
| ADG | Assistant Director-General |
| AHP | Anti-Hunger Programme |
| AOS | Administrative and Operational Costs |
| CAP | Consolidated Appeals Process |
| CERF | Central Emergency Response Fund |
| CFS | Committee on World Food Security |
| CFSAM | Crop and Food Supply Assessment Mission |
| CFW | Cash for work |
| CGIAR | Consultative Group on International Agricultural Research |
| CHAP | Common Humanitarian Action Plan |
| CLCPRO | FAO Commission for Controlling the Desert Locust in the Western Region |
| CO | Country Office |
| COIN | FAO Country Office Information Network |
| COMPASS | Criteria and Tools for the Management and Piloting of Humanitarian Assistance |
| CRC | FAP Commission for Controlling the Desert Locust in the Central Region |
| CSFVA | Comprehensive Food Security Vulnerability Assessment |
| CSO | Civil Society Organization |
| CT | Country Team |
| CTA | Chief Technical Adviser |
| DDG | Deputy Director-General |
| DG | Director-General |
| DHS | Demographic and Health Surveys |
| DOC | Direct Operating Costs |
| DRC | Democratic Republic of the Congo |
| DRM | Disaster Risk Management |
| DRR | Disaster Risk Reduction |
| DSA | Daily Subsistence Allowance |
| EC | European Commission |
| ECHA | Executive Committee for Humanitarian Affairs |
| ECLO | Emergency Centre for Locust Control |
| ECTAD | Emergency Center for the control of Transboundary Animal Diseases |
| ECU | FAO Emergency Coordination Unit |
| EFSA | Emergency Food Security Assessment |
| EMPRES | Emergency Prevention System for Transboundary Animal and Plant Pests and Diseases |
| ENA | Emergency Needs Assessment |
| ERC | Emergency and Rehabilitation Coordinator |
| ERCU | FAO Emergency and Rehabilitation Coordination Unit |
| ESB | OCHA Emergency Services Branch |
| EU | European Union |
| EWS | Early Warning System |
| FAO | Food and Agriculture Organization of the United Nations |

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| FAOR | FAO Representative |
| FCSS | OCHA Field Coordination Support Section |
| FEWS NET | Famine Early Warning Systems Network |
| FFT | Food for Training |
| FFW | Food for work |
| FIVIMS | Food Insecurity and Vulnerability Information and Mapping System |
| FPC | Field Programme Circular |
| FPMIS | FAO Field Programme Management Information System |
| FSAU | Food Security Analysis Unit, Somalia |
| FSG | Food Security Group |
| GAM | Global Acute Malnutrition |
| GEF | Global Environment Facility |
| GHA SOND | Greater Horn of Africa September to December (rains) |
| GIEWS | Global Information and Early Warning System |
| GIS | Geographic Information System |
| GLEWS | Global Early Warning System for Transboundary Animal Diseases |
| GOE | General Operating Expenses |
| GPS | Global Positioning System |
| HC | Humanitarian Coordinator |
| HCS | Humanitarian Coordination System |
| HEA | Household Economy Approach |
| HEWS | Humanitarian Early Warning Service |
| HFA | Hyogo Framework for Action |
| HLP | High-Level Panel |
| HPAI | Highly-Pathogenic Avian Influenza |
| HRR | Humanitarian Response Review |
| IASC | Inter-Agency Standing Committee |
| IAWG – FIVIMS | Inter-Agency Working Group – FIVIMS |
| ICSC | International Civil Service Commission |
| ICVA | International Council for Voluntary Action |
| IDP | Internally Displaced Person |
| IFAD | International Fund for Agricultural Development |
| IFI | International Financial Institution |
| IFPRI | International Food Policy Research Institute |
| IFRC | International Federation of Red Cross and Red Crescent Societies |
| ILIA | Initial Livelihood Impact Appraisal |
| ILO | International Labour Organization |
| INGO | International Non-Governmental Organization |
| INSARAG | International Search and Rescue Advisory Group |
| IOM | International Organization for Migration |
| IP | Implementing Partner |
| IPC | Integrated Humanitarian and Food Security Phase Classification |
| ISDR | International Strategy for Disaster Reduction |
| IT | Information Technology |

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| JFFLS | Junior Farmer Field and Life School |
| KIDS | Key Indicator Data System |
| KIMS | Key Indicator Mapping System |
| LA | Livelihood Assessment |
| LAT | Livelihood Assessment Toolkit |
| LBI | Livelihood Baseline Information |
| LIFDC | Low Income Food Deficit Country |
| LoA | Letter of Agreement |
| LoU | Letter of Understanding |
| LSMS | Living Standards Measurement Study |
| LSP | Livelihood Support Programme |
| LTU | Lead Technical Unit |
| MCHN | Maternal Child Health and Nutrition |
| MDG | Millennium Development Goal |
| MDT | Multi-Disciplinary Team |
| MEMS | USAID Monitoring and Evaluation Management Services |
| MORSS | Minimum Operating Residential Security Standards |
| MOSS | Minimum Operating Security Standards |
| MoU | Memorandum of Understanding |
| MOV | Means of Verification |
| MTF | Medium Term Plan |
| NAF | Needs Analysis Framework |
| NCP | Nutrition Country Profiles |
| NGO | Non-Governmental Organization |
| NMTPF | National Medium Term Priority Framework |
| OCHA | United Nations Office for the Coordination of Humanitarian Affairs |
| ODAN | WFP Emergency Needs Assessment Branch |
| ODI | Overseas Development Institute |
| OHCHR | Office of the United Nations High Commissioner for Human Rights |
| OIE | World Organisation for Animal Health |
| OPM | Office of the Prime Minister (Uganda) |
| OPT | Occupied Palestinian Territories |
| OSOCC | On-Site Operations Coordination Centre |
| OVC | Orphans and Vulnerable Children |
| OVI | Objectively Verifiable Indicator |
| PDAG | Project Development Advisory Group |
| PDNA | Post-Disaster Needs Assessment |
| PHA | People Having AIDS |
| PRDP | Peace, Recovery and Development Plan |
| PRRO | Protracted Relief and Recovery Operation |
| PRS | Poverty Reduction Strategy |
| PRSP | Poverty Reduction Strategy Paper |
| PSA | Personal Services Agreement |
| PSC | Project Servicing Costs |

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| PWB | Programme of Work and Budget |
| RC | Resident Coordinator |
| RDA | Recommended Daily Allowance |
| RLA | Rapid Livelihoods Assessment |
| RMT | Response Management Team |
| RNR | Renewable Natural Resource |
| R&R | Rest and Recuperation |
| SADC | Southern African Development Community |
| SCF-UK | Save the Children Fund – United Kingdom |
| SETSAN | Seguranca Alimentar e Nutricional, Mozambique |
| SFERA | Special Fund for Emergency and Rehabilitation Activities |
| SIDA | Swedish International Development Agency |
| SIFIS | Sudan Integrated Food Information System |
| SL | Sustainable Livelihoods |
| SLA | Sustainable Livelihoods Approach |
| SMART | Standardized Monitoring and Assessment of Relief and Transitions |
| SMT | UN Security Management Team |
| SPD | Standardized Project Document |
| SPFS | FAO Special Programme for Food Security |
| SSC | Shared Services Centre (FAO HQ) |
| TCCT | Technical Cooperation among Countries in Transition |
| TCDC | Technical Cooperation between Developing Countries |
| TC/IT | Telecommunications and Information Technology |
| TCP | Technical Cooperation Programme |
| TCPF | TCP Facility |
| ToRs | Terms of Reference |
| TSS | Technical Support Services |
| UNCT | United Nations Country Team |
| UNDAC | United Nations Disaster Assessment and Coordination |
| UNDAF | United Nations Development Assistance Framework |
| UNDG | United Nations Development Group |
| UNDSS | United Nations Department of Safety and Security |
| UNGA | United Nations General Assembly |
| UNHAS | United Nations Humanitarian Air Service |
| UNHCR | Office of the United Nations High Commissioner for Refugees |
| UNICEF | United Nations Children's Fund |
| UNJLC | United Nations Joint Logistics Centre |
| UNLP | United Nations Laissez-Passer |
| USAID | United States Agency for International Development |
| VAM | Vulnerability Analysis and Mapping |
| WAICENT | World Agricultural Information Centre |
| WB | World Bank |
| WFP | World Food Programme |
| WHO | World Health Organization |

FAO Departments and Services

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| AF | Department of Human, Financial and Physical Resources |
| AFF | Finance Division |
| AFH | Human Resources Management Division |
| AFS | Administrative Services Division |
| AG | Agriculture and Consumer Protection Department |
| AGA | Animal Production and Health Division |
| AGE | Joint FAO/International Atomic Energy Agency Division |
| AGP | Plant Production and Protection Division |
| AGN | Nutrition and Consumer Protection Division |
| AGS | Rural Infrastructure and Agro-Industries Division |
| AUD | Office of the Inspector General |
| ES | Economic and Social Development Department |
| ESA | Agricultural and Development Economics Division |
| ESAG | Global Perspectives Studies Unit |
| ESS | Statistics Division |
| EST | Trade and Markets Division |
| ESW | Gender, Equity and Rural Employment Division |
| FO | Forestry Department |
| FOE | Forest Economics and Policies Division |
| FOI | Forest Products and Industry Division |
| FOM | Forest Management Division |
| FI | Fisheries and Aquaculture Department |
| FIE | Fisheries and Aquaculture Economics and Policy Division |
| FII | Fish Products and Industry Division |
| FIM | Fisheries and Aquaculture Management Division |
| KC | Knowledge and Communication Department |
| KCC | Conference and Council Affairs Division |
| KCE | Knowledge Exchange and Capacity Building Division |
| KCI | Communication Division |
| KCT | Information Technology Division |
| LEG | Legal Office |
| LOBR | Liaison Office – European Commission |
| LOGE | Liaison Office – UN (Geneva) |
| LOJA | Liaison Office – Japan |
| LONY | Liaison Office – UN (New York) |
| LORU | Liaison Office – Russia |
| LOWA | Liaison Office – North America |
| NR | Natural Resources Management and Environment Department |
| NRC | Environment, Climate Change and Bioenergy Division |
| NRL | Land and Water Division |
| NRR | Research and Extension Division |

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| OCDC | Coordination Branch |
| ODG | Office of the Director-General |
| PBE | Office of Programme, Budget and Evaluation |
| RAF | Regional Office for Africa |
| RAP | Regional Office for Asia and the Pacific |
| REU | Regional Office for Europe and Central Asia |
| RLC | Regional Office for Latin America and the Caribbean |
| RNE | Regional Office for the Near East and North Africa |
| SAA | Multidisciplinary Team for Eastern and Southern Asia |
| SAP | Subregional Office for the Pacific Islands |
| SEC | Subregional Office for Central Asia |
| SEU | Subregional Office for Central and Eastern Europe |
| SFC | Subregional Office for Central Africa |
| SFE | Subregional Office for Eastern Africa |
| SFS | Subregional Office for Southern Africa |
| SFW | Subregional Office for West Africa |
| SLA | Subregional Office for the Caribbean |
| SLC | Subregional Office for Central America |
| SLS | Multidisciplinary Team for South America |
| SNG | Subregional Office for the Gulf Countries |
| SNN | Subregional Office for North Africa |
| SNO | Multidisciplinary Team for Oriental Near East |
| TC | Technical Cooperation Department |
| TCA | Policy Assistance and Resources Mobilisation Division |
| TCAP | Field Programme Development Service |
| TCAS | Agricultural Policy Support Service |
| TCD | Office of the Assistant Director-General |
| TCE | Emergency Operations and Rehabilitation Division |
| TCEO | Emergency Operations Service |
| TCER | Rehabilitation and Humanitarian Policies Unit |
| TCES | Special Emergency Programmes Service |
| TCI | Investment Centre Division |
| TCO | Field Operations Division |
| TCOT | SPFS Monitoring and Coordination Service |

