Manual for intervention in humanitarian crises

Imprint

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II Abbreviations

AA	Federal Foreign Office
ASEAN	Association of South East Asia Nations
BEH	Alliance "Development Works – Together for People in Need"
BMU	Federal Ministry of Environment, Nature Conservation and Nuclear Safety
BMZ	Federal Ministry of Economic Cooperation and Development
CAP	Consolidated Appeal Process
CERF	Central Emergency Response Fund
COM	Chief Officer Membership Development of tdh
CHAP	Common Humanitarian Action Plan
CHF	Common Humanitarian Fund
CRC	Convention on the Rights of the Child
DP	Disaster Preparedness
DRR	Disaster Risk Reduction
DWHH	Deutsche Welthungerhilfe
ECB	Emergency Capacity Building Project
ERC	Emergency Response Coordinator
ERF	Emergency Response Fund
FAO	Food and Agriculture Organization of the United Nations
GALS	Gender Action Learning System
GBV	Gender-based Violence
IASC	Inter-Agency Standing Committee
IDMC	Internal Displacement Monitoring Centre
IDP	Internally Displaced Person
IFRC	International Federation of Red Cross and Red Crescent Societies
INGO	International Non-Governmental Organization
LRRD	Linking Relief, Rehabilitation and Development
NFI	Non Food Item (also often NFRI – Non Food Relief Item)
NGHA	Non-Governmental Humanitarian Agency
NGO	Non-Governmental Organization
PTSD	Post-Traumatic Stress Disorder
RBM	Results-Based Monitoring
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UN-OCHA	United Nations – Office for the Coordination of Humanitarian Affairs
TDHIF	International Federation of terre des hommes
tdh	terre des hommes Germany
WFP	World Food Programme

III   Preface

Seventy-five per cent of the world's population lives in regions that are affected by natural disasters at least once a year. In the period 2000–2005, an average of 117 countries were affected by disasters each year; almost 82,000 people died every year and 250 million suffered from the aftermath of a disaster.[1]

The majority of natural disasters take place in newly industrialised and developing countries. Human losses are much higher than in developed nations. Poor countries lack sufficient resources to protect themselves from extreme natural phenomena. On the contrary, natural phenomena destroy houses, infrastructure and production structures, generating even more poverty. Disasters not only interrupt development but can cause severe setbacks in the development process.

The poor suffer the most. They often live on barren soil threatened by erosion and lack access to irrigation. Their settlements are often found in vulnerable locations, especially in urban settings. Moreover, the majority do not have savings to fall back upon in case of a disaster. Insurance against disaster is uncommon in many of the countries affected. In many cases, the primary concern of those affected is simply to survive. Those experiencing such extreme living conditions can hardly begin to think of long-term preventive measures. Therefore, **poverty alleviation and disaster risk reduction** are directly linked to the reduction of *vulnerability* of the population to natural disasters.

Natural disasters often combine with political, social and economic crises to form more **complex crises** for which solutions cannot be achieved by emergency aid alone. In such cases, long-term strategies to address more deep-lying and causal problems have to be found. It becomes clear that short-term reactions to disasters limited to relief aid only tend to be insufficient. A clear analysis of circumstances and a profound knowledge of the actual conditions on the ground are very important to achieving a positive impact when acting in certain scenarios.

The situation becomes even more challenging in the context of armed conflict. Sustainable development processes seem impossible and often long-term humanitarian aid is required tending to undermine self-help capacities. Those providing the aid are increasingly targeted and aid goods are at risk to be diverted by warring factions.

1   UNDP (2004): Global Report. Reducing Disaster Risk. A Challenge for Development, p. 2

Humanitarian aid has changed immensely over the last 15 years. Due to the media, the information on disasters in the world has become more comprehensive and the focus on these disasters in the public discourse has become stronger. The number of actors engaging in the field of humanitarian aid is increasing. This includes the various UN agencies, national governments, the Red Cross movement, several large international NGOs, a multitude of smaller ones, foundations and private initiatives with often limited experience and capability of implementation. In many disasters, this leads to problems in cooperation and coordination. These new developments have raised a number of questions concerning the principles and quality standards of humanitarian aid.

The manual – for which purpose and for whom?

This manual provides an overview of the basic structures of humanitarian assistance, basic trends and challenges. Given the complexity of the humanitarian system, it is obvious that it can only scratch the surface and cannot provide a comprehensive overview covering all structures and actors in detail. The same applies to the operational part and annexes provided. They can only be an introduction to the subject, providing basic coverage of the aspects to be considered during the stages of assessment, project planning and monitoring. This manual makes no claim to completeness and does not preclude its reader from adapting their planning and response to the specific situation.

The first part of the manual provides an overview of the structures of humanitarian assistance by introducing basic terms and definitions (chapter 1), current trends, challenges and dilemmas in providing humanitarian assistance (chapter 2) and humanitarian principles and standards governing the work of relief agencies (chapter 3). Chapters 4 to 6 provide basics on practical issues including target groups, fields of intervention and coordination in emergencies. Chapter 7 provides specifics on terre des hommes (tdh), while chapter 8 goes into detail regarding emergency assessment and outlines the basic principles of project planning and monitoring.

The chapters are complemented by practical annexes providing guiding notes and basic guiding questions. These annexes are designed to provide tdh staff and tdh project partners with guidance in assessing the situation and the needs of the population. A thorough assessment can support and guide project planning. Representing an entry-point to initiate local participation, this is a first step towards making those affected feel less helpless.

For whom is this manual intended? This manual is designed both for tdh staff deployed in an emergency situation and partner organizations needing to familiarise themselves with the basic standards of humanitarian assistance. On the very practical side, it aims to guide your needs-assessment and project planning and suggests some tools with which to gather information or monitor project progress.

1 Terms and definitions

Emergency assistance

Emergency assistance[2] describes short-term assistance granted to victims of natural disasters or violent conflicts. The aid provided seeks to save lives and alleviate the suffering of a population affected by crisis. Humanitarian assistance must be provided in accordance with the basic humanitarian principles of **humanity**, **impartiality** and **neutrality**.

After a disaster the majority of those affected are not in a position to help themselves sufficiently. Although immediate relief is very much in the foreground of all those involved – for example, through the distribution of food, non-food items, tents, provision of drinking water and medical care – emergency assistance should not be allowed to prolong a state of dependency artificially. Rather, it should mobilise and strengthen self-help at the earliest possible stage. An essential precondition is the participation of the beneficiaries during the planning and implementation of activities.

Reconstruction and rehabilitation

The term reconstruction and rehabilitation describes the general attempt to rebuild after the onset of a natural disaster or a violent conflict. While the term reconstruction describes the restoration of material damages (especially infrastructure), the term rehabilitation focuses on the physical and psychological well-being of the victims and the operational capability of institutions.

Development cooperation

Development cooperation aims to achieve long-term goals and focuses on the increased use of local means to support sustainable improvement of economic, social, political and ecological living conditions and rights.

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2   Often this term is used synonymously with 'relief', 'emergency aid' or 'humanitarian aid'.

Basic definitions

Disaster
A serious disruption of the functioning of society, causing widespread human, material or environmental losses which exceed the ability of an affected society to cope using only its own resources. Disasters are often classified according to their cause (natural or manmade) (ReliefWeb 2008: Glossary of Humanitarian Terms).

Emergency
An emergency is a sudden and usually unforeseen event that calls for immediate measures to minimise its adverse consequences (ReliefWeb 2008: Glossary of Humanitarian Terms).
[An Emergency describes] any situation in which the lives and well-being of [people] are at such risk that extraordinary action, i.e. urgently required action beyond that routinely provided, must be mobilised to ensure their survival, protection and well-being (UNICEF).

Complex Emergency
A multifaceted humanitarian crisis in a country, region or society, currently experiencing a 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 on-going UN country programme. In particular, such emergencies have a devastating effect on children and women, and call for a complex range of responses.
A complex emergency is often characterised by intensive violence and loss of lives, massive displacement, immense social and economic damages, the necessity of humanitarian aid on a large scale as well as an attempt to prevent this aid because of political or military reasons and risks for humanitarian helpers.

Protracted crisis
"Protracted crises [refer to] those environments in which a significant proportion of the population is acutely vulnerable to death, disease and disruption of their livelihoods over a prolonged period of time. The governance of these environments is usually very weak, with the state having a limited capacity or willingness to respond to or mitigate the threats to the population, or provide adequate levels of protection" (ODI (2004): Beyond the continuum-The changing role of aid policy in protracted crisis, HPG Report 18, July 2004)

	Emergency assistance	Reconstruction and rehabilitation	Development cooperation
Preconditions	Acute emergency through natural disaster or violent conflict. Humanitarian principles: • Impartiality • Independence • Neutrality	Improved basic conditions: • Cease-fire • Security situation • Political will for reconstruction	Favourable conditions: • Stable economic-political conditions • Rule of law • Government supports development processes
Time frame	Short-term	Medium-term	Long-term
Objectives	• Secure survival • Save human lives	• Restoration of political and social stability • Ensure survival on a medium-term basis	• Sustainable development processes • Structural changes • Strengthen self-help capacities • Improve living conditions on a long-term basis
Activities	• Distribution of food, non-food items, tents • Provision of drinking water • Medical care • Basic education and protection	• Reconstruction of basic infrastructure • Distribution of means of production (e.g. seeds, equipment) • Rehabilitation of institutional structures • Repatriation of internally displaced persons (IDPS), refugees • Mental health care	• Livelihood support • Rural/urban development • Political advocacy • Human rights promotion • Education/capacity building • Consultancy
Similar terms	Relief, emergency aid, humanitarian aid, emergency response		Development aid

TAB. 1

Overview about emergency assistance, reconstruction and rehabilitation and development cooperation

modified Deutsche Welthungerhilfe (DWHH), 2009, p. 6

In theory, while emergency assistance is generally temporary, lasting from three to six months, reconstruction and rehabilitation activities can demand several years paving the way for long-term development cooperation. This assumption of a linear sequence of the phases emergency aid, reconstruction/rehabilitation and development cooperation is called a continuum.

The reality is very different. In the majority of contexts a clear distinction between the different phases is difficult as demonstrated by recent sudden onset disasters such as the 2010 earthquake in Haiti and the 2010 floods in Pakistan or conflicts in South Sudan or the Democratic Republic of Congo. The three phases tend to co-exist: while in some areas it is still necessary to distribute food, in others it is already possible to provide support through the provision of agricultural inputs and reconstruction. The term 'contiguum' was coined to describe this parallel existence of phases. This change from the continuum to the contiguum concept is also reflected in the Nexus approach (please refer to chapter 3.2.1).

2 Trends and challenges in humanitarian assistance

Crisis in child protection

In 2017 alone, estimated 201 million people in 134 countries were dependent on humanitarian aid. Frequently, children account for up to 60 % of those affected by disaster. In addition, 1.5 billion children currently live in conflict-ridden or fragile states, 357 million of them in immediate conflict and war regions.[3]

Disasters, conflicts and insecurity contribute to a worldwide continuing crisis in child protection. UNICEF described 2017 as one of the worst years for children in armed conflicts.[4] They are affected in several ways and have become a major target of violence and abuse. In times of crisis, for example, they are separated from their families. Due to the impact of disasters and conflicts on household poverty and livelihood, they are exposed to violence, abuse and child labour and often forced to join armed forces or groups. These experiences of violence and loss have long-term effects on the mental and physical health and development of children, which can take on intergenerational dimensions.

Against this background, **child protection** is still not given adequate priority. After the education sector, child protection is one of the most underfunded humanitarian aid sectors.

Flight and expulsion

Since the armed conflicts in the Middle East (Syria, Iraq, Yemen, etc.), **flight and expulsion** have moved increasingly into the global focus. The past 5 have seen more people fleeing than ever before. Because of violence and conflicts, approximately 68.5 million people are displaced. These include about 25.4 million refugees and 43.1 million Internally Displaced Persons (IDPs). The year 2018 was left with the highest number of internally displaced persons (IDPs) ever recorded.[5] Half of all forcibly displaced people are children and adolescents under the age of 18.[6]

In addition to the migratory movements towards Europe, the majority of the refugees are located in neighbouring states of the conflict zones. In the case of Syria these are, for example, Turkey or Lebanon. Countries such as Pakistan and Uganda also harbour high

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3   Global Humanitarian Assistance programme (Development Initatives) (2018): Global Humanitarian Assistance Report 2018, http://devinit.org/wp-content/uploads/2018/06/GHA-Report-2018.pdf

4   www.dw.com/en/unicef-2017-a-nightmare-year-for-children-caught-in-war-zones/a-41951890

5   IDMC (2019): Global Report on Internal Displacements, p. v

6   UNHCR

numbers of refugees.[7] Overall, 85 % of the refugees live in the respective neighbouring countries. The UN estimates that at least 10 million people are stateless because of their refugee status. 44,400 people are displaced from their homes every day as a result of armed conflict and persecution.

Such dimensions make it difficult to meet the basic needs of displaced people, such as basic food supplies, access to adequate health care, or educational opportunities. This problem is exacerbated when sufficient resources are lacking in the host countries and conflicts arise with the local population. Although governments hold responsibility for providing internally displaced persons (IDPs) with protection and assistance, the extent of the displacement often overburdens their capacities if they are willing to ensure the care of the displaced at all.[8]

In the refugee context, there is a lack of adequate protection mechanisms for children. They are often defenceless in the face of sexual abuse, physical maltreatment, human trafficking or child labour. Traumatic experiences, persistent insecurities, separation from family and caregivers and an uncertain perspective pose a threat to the emotional well-being and development of children and can impair societal development across generations.

Climate change

Triggered through climate change, hydro-meteorological disasters have increased in recent years, in frequency as well as in their impact on societies. This includes less predictable monsoons, changing rainfall patterns, significant temperature rises, droughts, and more intense tropical cyclones leading to floods and landslides. The increase in natural disasters hits communities that are increasingly vulnerable and prone to disaster. Although the number of deaths due to natural disaster has declined, the number of people affected is constantly increasing, especially putting children at risk. More people are at risk due to poverty, powerlessness, population growth and migration/displacement of people to marginal areas.

In 2018 alone 17.2 million people were newly displaced through natural hazards[9] not including displacement related to slow-onset disasters or environmental degradation (e. g. drought), which might increase the number significantly. In recent years, Asian countries have suffered the most from these phenomena: Alone the Philippines, China and India counted for 60 % of all new displacements associated with disasters.[10]

Climate change not only triggers the increase in natural hazards, it also weakens communities suffering from poor living conditions and their capacities to cope with disasters. It increases the spread of diseases, causes additional water shortage or reduces the capacity of poor rural communities to provide for their own sustenance. Additional effort therefore

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7   Turkey hosts the largest number of refugees in the world (4 million, 3.6 million from Syria).
     Other receiving countries are Lebanon (1.9 million), Pakistan (3.4 million mainly from Afghanistan) and Uganda
     (1.7 million mainly from Sudan and DRC). These figures include only the number of international refugees,
     https://migrationdataportal.org/data?i=stock_abs_&t=2017
8   IDMC (2012): Global estimates 2011. People displaced by natural hazard-induced disasters, Geneva p. 4
9   IDMC, 2019, p. 6, 7
10   IDMC, 2019, p. 7

needs to be put into reducing vulnerability and disaster risk, strengthening resilience[11] and supporting and utilising local practices of climate change adaptation.

These developments underline the significance of measures to link humanitarian assistance with development cooperation as well as disaster risk-reduction and climate change adaptation to increase the resilience of people towards climate change and natural disasters.

Forgotten humanitarian crises

Forgotten humanitarian crises are usually complex, persistent crises calling for a high degree of humanitarian assistance. They are characterised by difficult socio-structural and political basic conditions, which mostly stand in the way of conflict resolution in the long term, low media attention and coverage as well as a lack of resources and funds. These are usually armed conflicts or long-lasting or recurring natural disasters. Fleeing and displacement are a central element of forgotten crises and are often accompanied by massive and far-reaching human rights violations. People who live in the context of forgotten crises require increased attention and publicity. The poor and marginalised population are hardest hit, i. e. people who are already disadvantaged by their social position or impediments and whose resilience to crises is very low.

Forgotten crises are identified by the European Community Humanitarian Office (ECHO) as part of the annual *"Forgotten Crisis Assessment",* depending on vulnerability of the affected population, the level of media coverage and the actual aid provided or funds covering the identified needs.[12] In 2019, a total of 15 forgotten crises were recorded with 25 countries involved.

The World Humanitarian Summit – The Grand Bargain

At the World Humanitarian Summit in Istanbul in 2016, the largest donors and a large number of humanitarian organisations signed the "Grand Bargain", a commitment to transform their work in 10 areas ("Work Streams"). The aim is to make the humanitarian system more efficient, effective and people-centred. In general, this process can be seen as a positive development: For the first time, donors and implementing organisations commit to common objectives and are responsible and accountable for them.

Within the framework of the WHS and the Grand Bargain, the localization of humanitarian aid was taken up as one of the 10 main topics. Aid organisations from the global South had taken the initiative and questioned the dominance of Western aid organisations.[13] This discourse has the potential to strengthen the role of local civil societies as key humanitarian actors and reduce the power gap between international and local actors. Nevertheless, there is still a tendency to treat local organisations more as implementation partners

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11   The ability of people/communities to withstand the effects of disasters and recover from them.

12   https://ec.europa.eu/echo/what/humanitarian-aid/needs-assessments_en

13   NEAR Network: We are a movement of Civil Society Organisations (CSOs) from the global south rooted in our communities who share a common goal of promoting fair, equitable and dignified partnerships in the current aid system. Our vision is to ensure genuine local participation at all levels of development and disaster management, and that effective aid is delivered to people in need, http://www.near.ngo/

than as decision-makers in their own right, with planning competence and methodological expertise.

At the Summit the issue of an improved transition between life-saving humanitarian aid and longer-term, structurally oriented development cooperation was discussed as well.[14] The dimension of peacebuilding work was added. Some humanitarian actors justifiably fear that the Humanitarian Development Peace Nexus (HDP-Nexus) could lead to an over-burdening of humanitarian aid and an increased blurring of the humanitarian principles. Nevertheless, a long-term view is necessary when working in a crisis context, as humanitarian actors increasingly operate in contexts leading to a parallelism of stabilisation and escalation, and thus of humanitarian aid, development cooperation and peace work, eliminating the ideal chronological sequence.[15]

Coordination of humanitarian assistance

The humanitarian sector has grown dramatically over the last years. The increasing number and variety of actors active in this field poses a growing challenge in terms of the coordination of response and the quality of the assistance provided. For example, in Haiti it was estimated that 3,000 NGOs were operating shortly after the 2010 earthquake. A lack of coordination can lead to inappropriate and rushed projects as well as duplication. The 'oversupply' and/or hasty supply of aid in the context of protracted crises and natural disasters often leads to dependency, undermining the potential for self-help and solidarity amongst the affected population. Years after the tsunami in Sumatra, Indonesia a woman said: *"the aid poisoned the people."*

The scale of certain disasters and the uncoordinated nature of the relief efforts present a serious challenge to local initiatives, NGOs, and international agencies, thus hampering an effective response. Local NGOs often serve as the first point of contact for international agencies and donors seeking to gather information and plan assistance projects. However, rather than restricting themselves to a coordinating role, local NGOs compete with international agencies but possess less organisational capacities and experience regarding donor requirements, approaches and tools. Few established and experienced local NGOs can fulfil these requirements. The majority of local actors have only limited access to international coordination mechanisms. Their integration in the international relief system is inappropriate. A major goal should be to enable local structures, including civil society actors, to respond to disasters in the most effective and appropriate manner possible.

Quality, efficiency, accountability

The increasing complexity of man-made and natural disasters requires thorough project planning and implementation in terms of quality, efficiency, transparency and accountability to both donors and beneficiaries. Major common initiatives to cover the issues of quality, efficiency and accountability and to develop standards and ensure their application are:

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14   Before the World Summit, this was still referred to as LRRD (Linking Relief, Rehabilitation and Development).

15   Generally, this means providing **humanitarian assistance** in response to a disaster, which is followed by **reconstruction** and **transition assistance** as stability increases and paves the way for long-term development cooperation, which can include **human rights and peace work** where appropriate.

- Sphere Standards and Core Humanitarian Standards
- Active Learning Network for Accountability Performance in Humanitarian Action (ALNAP)
- CHS Alliance (Core Humanitarian Standard Alliance)
- Groupe urgence réhabilitation développement (Groupe URD)
- Good Humanitarian Donorship Initiative (GHD)[16]

The application of basic standards and the structured utilisation of both 'good practices' and 'lessons learned' are essential to an effective organisational learning process, and can contribute to improving project quality and effectiveness. This is of great importance at a time in which aid organizations are required to demonstrate accountability to a growing number of stakeholders.

There is however, more to achieving accountability than merely demonstrating the impact and financial efficiency of project activities to donors. Accountability to the people affected (downwards accountability) is even more important but also difficult to achieve given the contexts of humanitarian assistance and the power imbalance between agencies and the beneficiaries. *"[Aid] [...] organizations exercise significant power in their work to save lives and reduce suffering. In contrast, crisis-affected people have no formal control, and often little influence, over these organizations. As a result, it is difficult for those people to hold organizations to account for actions taken on their behalf."*[17] Therefore, the institutionalisation of **complaint mechanisms** is of increasing importance to give people the opportunity to give active feedback on aid measures. The participation of the target groups in the planning and implementation phases should be of similar importance.

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16   For further information on the respective initiatives see following web pages: www.sphereproject.org, www.alnap.org, www.hapinternational.org/default.aspx, www.urd.org/?lang=en, www.peopleinaid.org, www.ghdinitiative.org/ghd/gns/home-page.html

17   HAP (2010): The 2010 HAP Standard in Accountability and Quality Management, Geneva, p. 5

3 Basic principles and standards of humanitarian assistance

A number of normative and humanitarian principles exist to guide those working in the field of emergency assistance and rehabilitation. They include the Geneva Conventions of 1949 and the Additional Protocols of 1977,[18] International Humanitarian Law in general, the **Code of Conduct** *for the Red Cross and Red Crescent Movement and NGOs in Disaster Relief,*[19] The European consensus on humanitarian aid[20] and the Sphere Project *("Humanitarian Charter and Minimum Standards in Disaster Response").*[21] In Germany the Federal Foreign Office formulated the *"twelve basic rules of humanitarian assistance abroad"*[22] to act as the guiding principles for German aid organizations participating in the Coordinating Committee of the Federal Foreign Office of Germany (AA). All of these standards are based on the following basic humanitarian principles:

Humanity – The centrality of saving human lives and alleviating suffering wherever it is found.
Impartiality – The implementation of actions solely on the basis of need, without discrimination between or within affected populations.
Neutrality – Humanitarian action must not favour any party to an armed conflict or other dispute.
Independence – The autonomy of humanitarian objectives from the political, military or other objectives pursued by any actor within the areas experiencing a humanitarian response.

Despite wide-spread acceptance of these principles, their practicability has become a matter of frequent dispute. Often, reality appears to be so complex that such basic principles might seem blurred by the context of the situations in which NGOs and other actors find themselves. Especially complex crises and violent conflicts have proven to be contexts in which those principles are challenged. Nevertheless, they constitute a fundamental framework to and set of guidelines for all undertakings of humanitarian assistance. They should be followed in every phase of project planning and implementation.

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18   www.icrc.org/ihl.nsf/CONVPRES?OpenView
19   www.ifrc.org/publicat/conduct/code.asp
20   http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2008:025:0001:0012:EN:PDF
21   www.spherestandards.org
22   The Federal Government's Humanitarian Aid,
       www.auswaertiges-amt.de/blob/254382/82022a521266b5bb15e392c992e8f8d5/grundregeln-der-huhi-data.pdf

3.1   Overall standards

3.1.1   The Code of Conduct

The code of conduct was initiated by the Red Cross and Red Crescent Movement in 1994 and signed by terre des hommes Germany e.V. Its ten guidelines provide a more comprehensive description of the internationally recognised principles of emergency assistance.

BOX 2

Code of Conduct of the Red Cross and Red Crescent Movement

1. **The humanitarian imperative comes first**
   The right to offer and receive humanitarian assistance is a fundamental humanitarian principle which should be enjoyed by all citizens of all countries. As members of the international community, we recognise our obligation to provide humanitarian assistance wherever it is needed. Hence the right of unimpeded access to affected populations is of fundamental importance in exercising that responsibility. The prime motivation of our response to disaster is to alleviate human suffering amongst those least able to withstand the stress caused by disaster. When we give humanitarian aid it is not a partisan or political act and should not be viewed as such.

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**
   Wherever possible, we will base the provision of relief aid upon a thorough assessment of the needs of the disaster victims and the local capacities already in place to meet those needs. We undertake to reflect considerations of proportionality throughout the entirety of our programs. Human suffering must be alleviated whenever it is found; life is as precious in one part of a country as another. Thus, our provision of aid will reflect the degree of suffering it seeks to alleviate. In implementing this approach, we recognise the crucial role played by women in disaster prone communities and will ensure that this role is supported, not diminished, by our aid programs. The implementation of such a universal, impartial and independent policy can only be effective if we and our partners have access to the necessary resources to provide for such equitable relief, and have equal access to all disaster victims.

3. **Aid will not be used to further a particular political or religious standpoint**
   Humanitarian aid will be given according to the need of individuals, families and communities. Notwithstanding the right of non-governmental humanitarian agencies (NGHAs) to espouse particular political or religious opinions, we affirm that assistance will not be dependent on the adherence of the recipients to those opinions. We will not tie the promise, delivery or distribution of assistance to the embracing or acceptance of a particular political or religious creed.

4. We shall endeavour not to act as instruments of government foreign policy
NGHAs are agencies which act independently from governments. We therefore
formulate our own policies and implementation strategies and do not seek to
implement the policy of any government, except in so far as it coincides with our
own independent policy. We will never knowingly – or through negligence – allow
ourselves, or our employees, to be used to gather information of a political, mili-
tary or economically sensitive nature for governments or other bodies that may
serve purposes other than those which are strictly humanitarian, nor will we act
as instruments of foreign policy of donor governments. We will use the assistance
we receive to respond to needs and this assistance should not be driven by the
need to dispose of donor commodity surpluses, nor by the political interest of any
particular donor. We value and promote the voluntary giving of labour and finances
by concerned individuals to support our work and recognise the independence of
action promoted by such voluntary motivation. In order to protect our independ-
ence we will seek to avoid dependence upon a single funding source.

5. We shall respect culture and custom
We will endeavour to respect the culture, structures and customs of the
communities and countries we are working in.

6. We shall attempt to build disaster response on local capacities
All people and communities – even in disaster – possess capacities as well as
vulnerabilities. Where possible, we will strengthen these capacities by employing
local staff, purchasing local materials and trading with local companies. Where
possible, we will work through local NGHAs as partners in planning and
implementation, cooperating with local government structures where appropriate.
We will place a high priority on the proper coordination of our emergency
responses. This is best done within the countries concerned by those most directly
involved in the relief operations, and should include representatives of the relevant
UN bodies.

7. Ways shall be found to involve program beneficiaries in the management of relief aid
Disaster response assistance should never be imposed upon the beneficiaries.
Effective relief and lasting rehabilitation can best be achieved where the intended
beneficiaries are involved in the design, management and implementation of the
assistance program. We will strive to achieve full community participation in our
relief and rehabilitation programs.

8. **Relief aid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs**

   All relief actions affect the prospects for long term development, either in a positive or a negative fashion. Recognizing this, we will strive to implement relief programs which actively reduce the beneficiaries' vulnerability to future disasters and help create sustainable lifestyles. We will pay particular attention to environmental concerns in the design and management of relief programs. We will also endeavour to minimise the negative impact of humanitarian assistance, seeking to avoid long term beneficiary dependence upon external aid.

9. **We hold ourselves accountable to both those we seek to assist and those from whom we accept resources**

   We often act as an institutional link in the partnership between those who wish to assist and those who need assistance during disasters. We therefore hold ourselves accountable to both constituencies. All our dealings with donors and beneficiaries shall reflect an attitude of openness and transparency. We recognise the need to report on our activities, both from a financial perspective and the perspective of effectiveness. We recognise the obligation to ensure appropriate monitoring of aid distributions and to carry out regular assessments of the impact of disaster assistance. We will also seek to report, in an open fashion, upon the impact of our work, and the factors limiting or enhancing that impact. Our programs will be based upon high standards of professionalism and expertise in order to minimise the wasting of valuable resources.

10. **In our information, publicity and advertising activities, we shall recognise disaster victims as dignified humans, not hopeless objects**

    Respect for the disaster victim as an equal partner in action should never be lost. In our public information we shall portray an objective image of the disaster situation where the capacities and aspirations of disaster victims are highlighted, and not just their vulnerabilities and fears. While we will cooperate with the media in order to enhance public response, we will not allow external or internal demands for publicity to take precedence over the principle of maximizing overall relief assistance. We will avoid competing with other disaster response agencies for media coverage in situations where such coverage may be to the detriment of the service provided to the beneficiaries or to the security of our staff or the beneficiaries.

3.1.2   Minimum Standards – The Sphere Project

Further principles of humanitarian assistance are humanitarian standards, of which the Sphere Standards have become common principles subject to wide application. *"The [Sphere] initiative was launched in 1997 by a group of humanitarian NGOs and the Red Cross and Red Crescent movement, who framed a Humanitarian Charter and identified Minimum Standards to be attained in disaster assistance, in each of five key sectors (water supply and sanitation, nutrition, food aid, shelter and health services)."*[23]

The handling of the SPHERE handbook is intuitive and provides important hints for assessment, project planning and implementation as well as monitoring and evaluation. The book is divided into the following main chapters:

1. What is Sphere?
2. The Humanitarian Charter
3. Protection Principles
4. Core Humanitarian Standards
5. Water Supply, Sanitation and Hygiene Promotion
6. Food Security and Nutrition
7. Shelter, Settlement and Non-Food Items
8. Health [24]

The Humanitarian Charter, the Protection Principles and the Core Humanitarian Standards outline the very basic rights of those affected and the commitments and preconditions informing all humanitarian action. The chapters 5–8 cover technical areas in various sectors of disaster response. The Sphere minimum standards are widely accepted as a major source of reference. Minimum standards are qualitative in nature and specify the minimum levels to be attained in the provision of services and humanitarian response.

Each chapter covering the minimum standards for each sector is divided into sub-sections. For example, the chapter on water supply, sanitation and hygiene promotion is divided into the following sub-sections: hygiene promotion, water supply, excreta management, vector control, solid waste management and drainag and WASH in disease outbreaks and healthcare settings. These sub-sections list in detail key indicators as signals showing whether a standard has been attained. *"They provide a way of measuring and communicating the processes and results of key actions."*[25] These indicators can be qualitative or quantitative. Guidance notes help to identify specific aspects to be considered when applying standards and indicators in different situations and provide guidance on how to deal with technical problems and what may be priority issues. These notes often focus on critical aspects, dilemmas, controversies or gaps in the respective sector/section.[26] Each chapter provides basic references and general literature. The handbook index helps to search for specific terms. The entire handbook, including a selection of training materials, is available on the internet in a variety of languages.[27]

23   Sphere Project (2004): Humanitarian Charter and Minimum Standards in disaster Response, London/Aosta
24   Sphere Project, 2018 Edition
25   Sphere Project, 2011, p. 80
26   Sphere Project, 2011, p. 82
27   https://spherestandards.org/handbook/editions/

Although providing practical guidelines for fieldwork, the standards have to be handled sensitively. A major and general critique of minimum standards is their propensity to become regarded as a default standard, the maintenance of which prevents operators from striving for an optimum standard. It has to be made clear that the Sphere Standards represent a tool for ensuring a minimum of dignity for the affected people. Often, the standards are misunderstood as universally applicable, rather than requiring adaptation to specific national or even regional cultural, social and economic standards. Thus although the Sphere handbook states that *"[...] foods must conform to the food standards of the host country's government [...]"*[28] and *"all complaints [about food quality] are regularly monitored and quickly to respond to"*[29] inadequate food items can be distributed without taking nutritional customs into account as often people are not *"[...] consulted during assessment or programme design on the acceptability, familiarity and appropriateness of food items [...]."*[30]

3.1.3 Minimum Standards for Child Protection in Humanitarian Action

"The Minimum Standards for Child Protection in Humanitarian Action follow the structure of the Sphere Standards. Each standard is accompanied by key actions, measurements (including indicators and targets), and guidance notes. Child protection in emergencies includes specific activities by child protection actors, whether national or community-based, and/or by humanitarian staff supporting local capacities. It also includes activities in other humanitarian sectors. The Minimum Standards therefore contain 26 standards"[31]:

1. *Standards to ensure a quality child protection response*
2. *General standards to address child protection needs*
3. *Standards to develop adequate child protection strategies*
4. *Standards to ensure mainstreaming of child protection in other sectors.*

The Minimum Standards for Child Protection in Humanitarian Assistance is a so called companion minimum standard and can be used in conjunction with the SPHERE Standards to provide a complementary set of minimum norms specifically relating to child protection work in a humanitarian setting. The Minimum Standards for Child Protection in Humanitarian Assistance are available online.[32]

Other companion minimum standards include: (1) Minimum standards for market analysis, (2) Humanitarian inclusion standards for older people and people with disabilities, (3) Minimum economic recovery standards, (4) Livestock Emergency Guidelines and (5) Minimum standard for education: preparedness, response, recovery[33]

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28   Sphere Project, 2018, p. 202
29   Sphere Project, 2018, p. 202
30   Sphere Project, 2004, p. 158
31   Child Protection working Group (CPWG), 2012, http://cpwg.net/minimum-standards/
32   https://spherestandards.org/resources/minimum-standards-for-child-protection-in-humanitarian-action-cpms/
33   https://spherestandards.org/resources/?category=humanitarian-standards-partnership-en&lang=all&years=all&postTag=all&pages=1

3.2 Further principles and concepts

3.2.1 Humanitarian-Development-Peace Nexus (HDP Nexus)

Humanitarian actors are increasingly confronted with severe and frequent natural disasters as well as protracted man-made humanitarian crises that arise from escalating social exclusion, economic inequality, conflict and forced displacement of people. This creates new and complex challenges that can only be addressed through improved connectivity between the different sectors of humanitarian aid, development aid and peace work to improve the preconditions for sustainable development and long-term solutions. The humanitarian-development-peace nexus puts forward the interlinkage between the different actors and builds on existing concepts such as LRRD (linking relief, rehabilitation and development). There are three major phases within the field of relief and development: (a) relief aid, (b) rehabilitation and reconstruction and (c) development. This does not mean that those phases follow a strict succession (**continuum**). In fact, in most scenarios the phases exist at the same time (**contiguum**) and should be linked. They need to prepare people for future disasters and conflicts. This can only happen if people´s vulnerabilities are addressed coherently, from saving lives to stabilising political situations to promoting sustainable improvements and securing people's rights. Including peace in the nexus acknowledges the importance of conflict resolution and prevention in ending humanitarian need, reducing poverty and ensuring sustainable development.

Relief is characterised by a high degree of improvisation and the necessity to make quick decisions. Indeed, projects often need to be implemented on the basis of incomplete information. This usually affects the process of project planning but should not be understood as providing justification for the omission of an initial assessment and proper project planning. In principal, participatory processes and sustainable assistance can be applied during the relief phase. Shortcomings in the project implementation resulting from difficult conditions require constant monitoring and adaptation. The relief phase is usually said to last a period of anything up to several weeks and to several months. During chronic crises, this period can last even longer and includes conceptual and operational challenges.[34]

The phase of **rehabilitation and reconstruction** usually starts simultaneously with relief activities and can last a period of between one to several years. It is characterised by the comprehensive participation of target groups and local authorities in planning and decision making. In comparison to the relief phase, assessments and situation and risk analyses can be more comprehensive in scope, taking advantage of greater levels of information. It is also possible to integrate case components and development cooperation objectives such as sustainability, self-help promotion and conflict and gender sensitivity. The aim of this phase is to continue or enter the phase of development cooperation interrupted at the time of the disaster or which needs to be initiated. Measures of disaster prevention should be incorporated during or even before this stage.[35]

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34 VENRO (2006): Linking Relief, rehabilitation and development. Ansätze und Förderinstrumente zur Verbesserung des Übergangs von Nothilfe, Wiederaufbau und Entwicklungszusammenarbeit, VENRO-Arbeitspapier Nr. 17, p. 3
35 VENRO, 2006, p. 3 ff.

A smooth transition between, or linkage of, the different phases can only be achieved if measures are taken during the relief phase to provide support to local attempts to develop independent survival strategies and recover livelihood assets. However relief and reconstruction often has the potential to develop into a permanent condition, especially in the context of protracted crises and violent conflicts. Moreover, the mandate of agencies or funds earmarked for special purposes can prevent the implementation of long-term measures.

FIG. 1

Classification of
intervention areas
in the field of
rehabilitation

modified DWHH, 2007, p.13
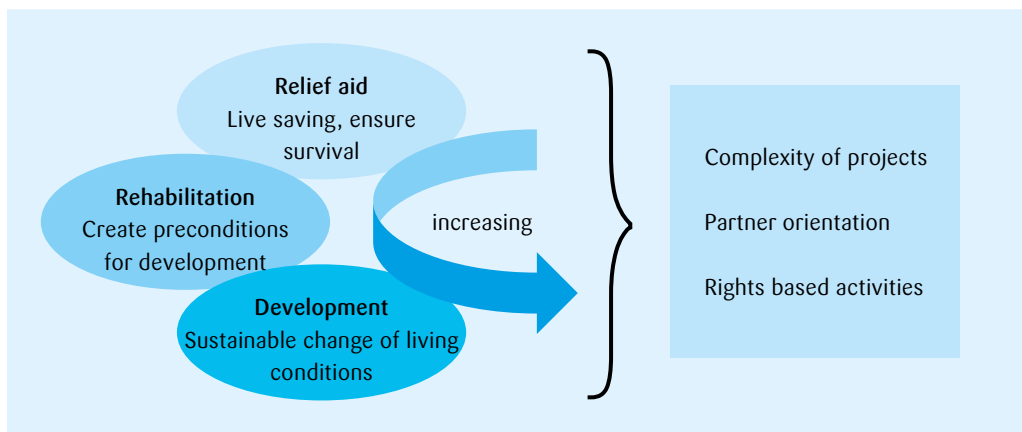
The Nexus approach focuses not only on a conceptual and programmatic approach but also on ongoing structural shifts throughout the aid system and therefore requires changes how aid is planned and financed. While relief organisations face a contiguum on the practical level they are confronted with a funding continuum which hampers thorough project planning and implementation in the sense of the Nexus concept. Another obstacle to the operationalisation of the approach is the fact that relief, rehabilitation and development partly are subject to specific conceptual and operational requirements and quality standards, which makes it difficult to coordinate activities.[36]

The following criteria should be taken into account when implementing Nexus projects:

- Reconstruction aims not only at restoring the status quo ante and the support of existing potentials, but also seeks to effect a qualitative and sustainable improvement of living conditions.
- The implementation and monitoring of different project phases should not be divided among different actors; individuals should work across those different phases. Where this is not possible, complementary expertise should be pursued.
- Participation of target groups is ensured from the beginning, including assessment, planning and implementation.
- Structures and self-help capacities are involved, strengthened and developed in relief and rehabilitation.
- The relief is initiated and carried out through local partner organizations and their networks and capacities are strengthened.
- No isolated measures (e.g. the reconstruction of houses) are supported but integrated programmes aiming at the improvement of living conditions are.

36 VENRO, 2006, p.2

- The measure contributes to disaster preparedness (DP) and disaster risk reduction (DRR).[37]
- 'Peace' interventions should be understood along the spectrum of conflict sensitivity, enhancing local capacities for peace, peacebuilding, peace processes and preserving peace through peacekeeping.[38]

3.2.2   Disaster Risk Reduction

Disaster risk reduction (DRR) comprises a number of activities and covers several fields far beyond immediate relief or rehabilitation. In fact, DRR has to be seen in the wider context of poverty alleviation. DRR is more effective if it is embedded in accompanying measures to reduce poverty and the vulnerability of communities. Vulnerability is not only a key concept in broader development cooperation but also in the context of DRR. In both contexts *"vulnerability denotes the inadequate means or ability to protect oneself against the adverse impact of external events on the one hand and on the other to recover quickly from the effects of the natural event. It is caused by a broad range of political, institutional, economic, environmental and socio-cultural factors such as insufficient knowledge, organizational gaps, lack of personal and financial resources, inadequate legislation, etc. Changes in these factors can increase or reduce vulnerability."*[39]

The concept of **vulnerability** includes people's coping capacities, meaning how people use the existing resources to sustain their lives in general and/or during conditions of disaster. The term **resilience**, on the other hand, refers to the ability of people to cope with slow or sudden changes in their environment. Both terms need to be added to the concept of vulnerability to add adaptive capacities instead of just perceiving people as vulnerable victims.[40]

Contrary to the term 'poverty,' the term vulnerability describes a process and does not imply that 'poverty' follows the same pattern all over the world. Poverty is determined by a comprehensive set of factors beyond pure statistics and quantitative data such as the Human Development Index (HDI).[41]

Sustainable Livelihood Approach

A tool required to effect a thorough examination of the vulnerability of people, communities, regions, etc. is the sustainable livelihood approach. The term 'livelihood' is much broader than the term 'coping strategy'. A person, household, community, etc. has a **set of assets/resources** (material and immaterial) to sustain its livelihood (Fig. 2):

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37   VENRO, 2006, p. 6
38   OXFAM (2019): The Humanitarian-Development-Peace Nexus. What does it mean for multi-mandated organisations?, p. 11
39   GTZ (2005): Linking Poverty Reduction and Disaster Risk Management, Eschborn, p. 13
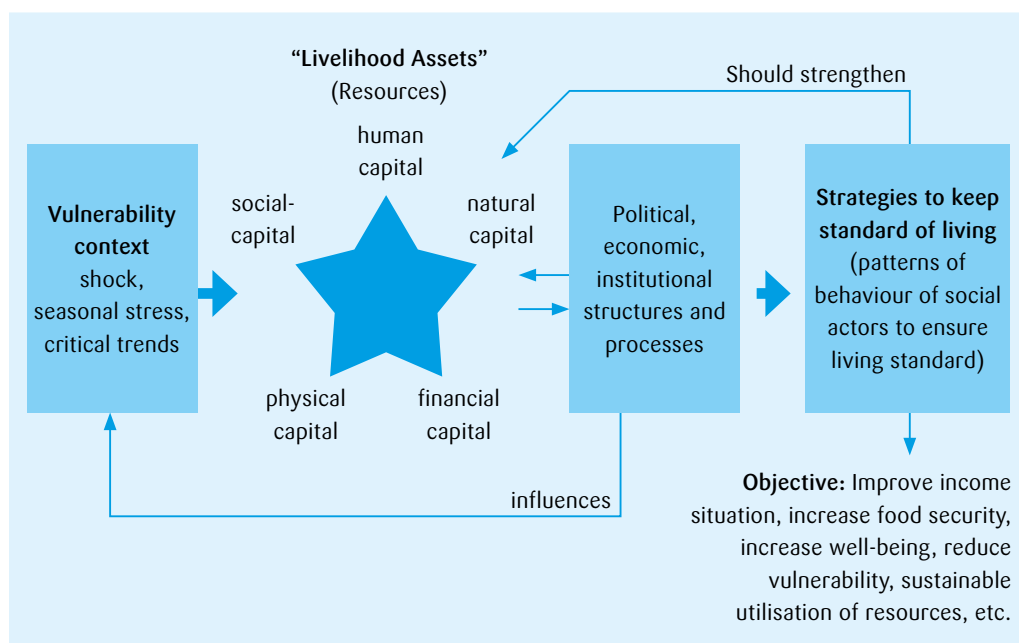40   GTZ, 2005, p. 13
41   The HDI is an index to measure the human development in the countries of the world solely based on the gross domestic product (GDP), life expectancy, level of education through the literacy rate and enrollment rate

- Physical capital (e. g. basic infrastructure such as transport, shelter, water and energy supply, etc.).
- Human capital (e. g. skills, knowledge, ability to labour, health, etc.).
- Social capital (e. g. social network, family structures, membership of groups, access to institutions, etc.).
- Financial capital (e. g. savings, credits, remittances or pensions).
- Natural capital (e. g. land, water, biodiversity, environmental resources).

This set of assets is determined and influenced by the **political, economic and institutional structures** and vice versa. Thus, on the one hand, institutions and government policies can influence the standard of education in a country and, on the other people with a higher level of education are likely to be more knowledgeable regarding the ways in which to urge institutions or government structures to provide services or adapt their policies and indeed, are more likely to do so. This complex of assets and external structures determines the strategies people should or can take to keep or improve their living standards with regard to income, food security, general well-being, strengthening their set of assets, etc.

FIG. 2

Basic model of the Livelihood Approach

adapted from Krüger, 2003, p. 10; Twigg, 2001, p. 9

"Livelihood Assets" (Resources)

human capital

social-capital

natural capital

physical capital

financial capital

Should strengthen

Vulnerability context
shock, seasonal stress, critical trends

Political, economic, institutional structures and processes

Strategies to keep standard of living (patterns of behaviour of social actors to ensure living standard)

influences

Objective: Improve income situation, increase food security, increase well-being, reduce vulnerability, sustainable utilisation of resources, etc.

This structure can be disturbed severely by shocks, seasonal stress and critical trends. The term **shock** usually encompasses acute crises such as natural disasters and acute violence (displacement, ethnic conflict, civil war) but also epidemics, HIV/AIDS and sudden economic crises. Such shock situations can destroy the assets of a household or community at once or strain or overstrain assets in an attempt to cope with the situation. The aspect of resilience is important in this context, as it also defines the state of vulnerability of people to a disaster and livelihood sustainability.

Seasonal stress describes phenomena/crises appearing on both a regular and irregular basis. This can include economic development such as changes in price levels or changes in the availability of certain means of production. Seasonal stress can also include recur-

ring diseases (e.g. Cholera or Malaria esp. during rains seasons) and seasonal small scale disasters such as monsoon rainfalls, flooding, regionally restricted landslides, etc.

Critical trends describe long-term, usually large-scale and spacious developments including population development, utilisation of resources, ecological trends, technological and economic developments, etc. All this can have a considerable influence on strategies directed at maintaining standards of living.

The livelihood model goes beyond a purely disaster related analysis yet still provides a **general framework in which to view both disaster prevention and LRRD**. *"Development processes that reduce poverty enable people to build up assets that can provide security during times of emergency."*[42] On the other hand, misguided development initiatives can increase vulnerability. For example, the shift from food crop production to short term profitable cash crop production can increase food insecurity, soil degradation and make people dependent on external price fluctuations. This unstable situation can be further weakened by negative external factors or either sudden or slow-onset disasters.

Disaster Risk Management

Although poverty alleviation in general can contribute to increasing people's resilience towards disaster, it is still necessary to include specific measures directly linked to disaster prevention and preparedness, especially in areas in which disasters occur on a regular basis. **Disaster Risk Management (DRM)** is an appropriate tool in order to identify potential risks and possible measures. DRM encompasses the following components:

- **Risk assessment or risk analysis** analyses the vulnerability of a community towards identified risks and existing coping strategies, self-help resources and capabilities.
- **Disaster prevention and mitigation** includes measures to prevent or reduce the negative effects of a disaster and focuses primarily on the political, legal, administrative, planning and infrastructural level, e.g. land-use planning, town planning, sustainable resource management, promotion of sustainable agriculture, establishment of organizational structures for DRM.

- **Disaster preparedness** aims at reducing the loss of life and damage in case of sudden onset disasters. Communities and institutions should be prepared to manage post-disaster situations. Different measures can be applied in this context: emergency and evacuation plans, provision of relevant training (e.g. first aid, mock drills), provision of emergency shelters, food and drug storage, the establishment of early warning systems, the organization of disaster management structures and rescue services on different levels (local, regional, national).[43]

42   GTZ, 2005, p. 20
43   GTZ (2004): Guidelines: Risk analysis – A Basis for Disaster Risk Management, Eschborn, p. 20 f.
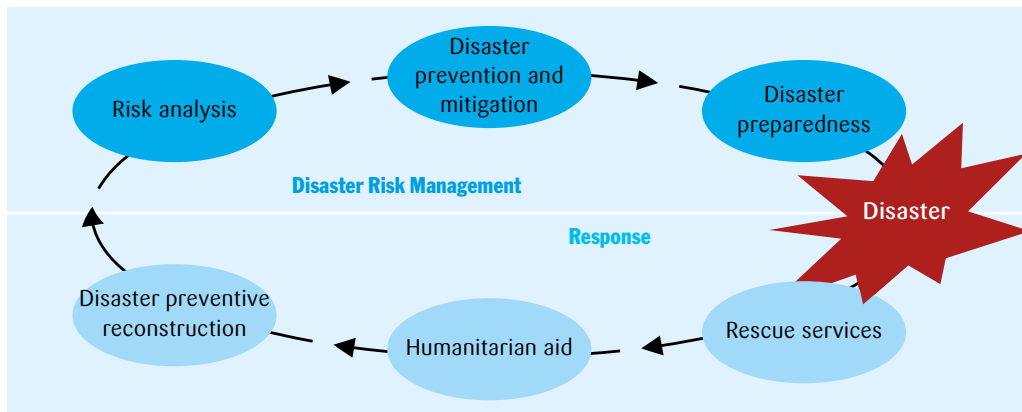
Community-based disaster risk management (CBDRM) addresses communities at risk through mobilising self-help resources and capabilities. The Asian Disaster Preparedness Centre defines a resilient community as a community that has

1. The ability to absorb the shocks of hazard impact, so that they do not become disasters (thus to reduce the probability of failure)
2. The capacity to bounce back during and after disaster (thus to reduce the consequences of failure)
3. The opportunity for change and adaptation following a disaster (thus to reduce the time needed for recovery as well as patterns of vulnerability)[44]

The following indicators can demonstrate the resilience of a community but are by no means comprehensive and need to be adapted to the respective local contexts:

- A Community organisation.
- A DRR and DP plan.
- A Community-based Early Warning System.
- Manpower trained in: risk assessment, search and rescue, medical first aid, – relief distribution, masons for safer house construction, fire fighting, etc.
- Physical connectivity: roads, electricity, telephone, clinics.
- Relational connectivity with local authorities, NGOs, etc.
- Knowledge of risks and risk reduction actions.
- A Community Disaster Reduction Fund to implement risk reduction activities.
- Safer house to withstand local hazards.
- Safe source/s of livelihoods.[45]

DRR needs to be mainstreamed, meaning to become an **integral part of development cooperation and poverty alleviation** where communities face the risk of severe sudden onset disasters, periodic small scale disasters or chronic environmental changes. Although the importance of disaster risk-reduction has been recognised by the Hyogo Framework of Action,[46] donors lack consistent funding instruments. It is still the case that more funds are allocated for disaster relief than for DRR.

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44   ADPC (2006): Community-Based Disaster Risk Management, Bangkok, p. 22
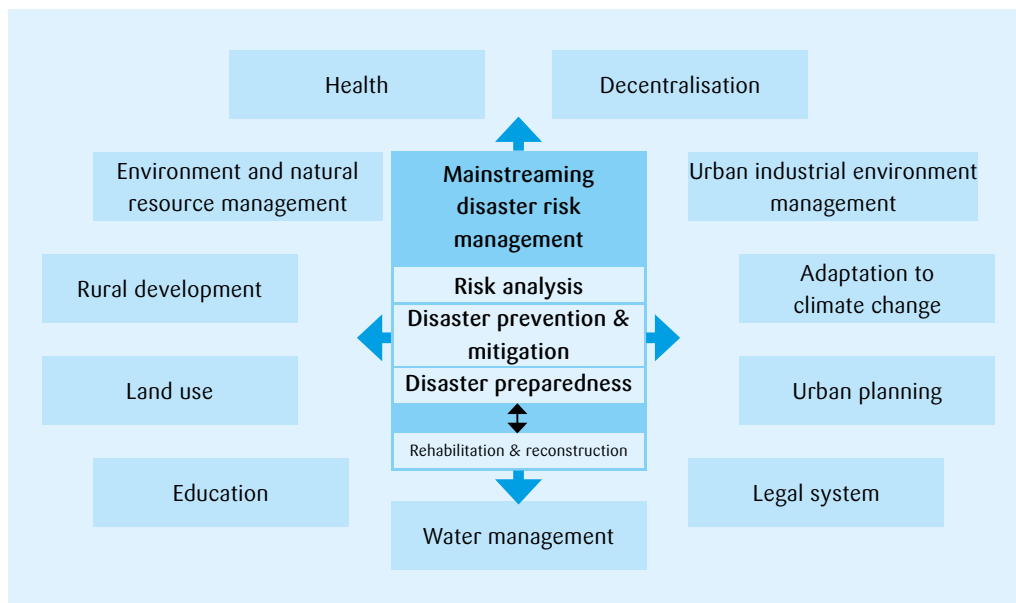45   ADPC, 2006, p. 25
46   www.unisdr.org/2005/wcdr/intergover/official-doc/L-docs/Hyogo-framework-for-action-english.pdf

The World Risk Report is published annually by the Alliance Development Works, a fundraising alliance of five German NGOs including terre des hommes.

"The main focus of the report is on exposure to natural hazards and climate change, as well as social vulnerability. Social vulnerability can be seen as vulnerability of the population, its susceptibility as well as coping and adaptation capacities. The report's focal topic is 'governance and civil society.' Aspects of government failure and on-site risk management are analysed, as well as government accountability.

The concept of the World Risk Index (WRI) is based on the understanding of risk that evolved in natural hazards and disaster research. In this context risk is defined as interaction between a natural hazard and vulnerability of societies. Vulnerability includes social conditions and processes that are reflected in susceptibility, coping capacity and adaptive capacity. While adaptation refers to the society's long-term strategies for change in anticipation of negative impacts of climate change; coping refers to the immediate response to existing natural hazards. Unlike similar research that assumes that a natural hazard and climate change affects a well-ordered society, the WRI takes into account not only the natural hazard, but also the social, economic and ecological factors as well as governance aspects characterizing a society. These factors are crucial to the question of whether a natural hazard or a natural event (flood, earthquakes, storms) turns into a disaster or not." (BEH/UNU/EHS (2011): Fact Sheet World Risk Report 2011, p. 1).

World Risk Report 2019: https://weltrisikobericht.de/english-2/

Climate Change Adaptation

Climate Change Adaptation (CCA) describes the adjustment in human and natural systems, in response to actual or expected climate stimuli or their effects that moderate harm or exploit beneficial opportunities. Mitigation and adaptation are complementary strategies addressing climate change. Mitigation reduces emissions that are causing climate change. Adaptation reduces vulnerability to climate change impacts. There exist a number of **commonalities between DRM and CCA**:

1. DRM and CCA have different political goals but ultimately point in the same direction.
2. There are overlaps because of the concrete action taken in relation to extreme weather events (flood, storm, drought, landslides).
3. CCA takes into account all impacts caused by climate change, negative and positive
4. CCA and DRR always coincide where climatic changes have an effect on extreme natural events and influence the risk of disaster.
5. DRR and CCA have to consider the future scenarios to justice their mandate to efficiently and effectively minimising the negative impacts.
6. DRR is also focussing on geophysical hazards whereas CCA is heading to a longer-term, gradual and step-by-step adaptation to climate risks.

3.2.3   Do no harm

Since the publication of Mary B. Anderson's book *Do no harm: How Aid Supports Peace – Or War* (1999) the term *"do no harm"* has become a synonym for the dilemmas faced by humanitarian agencies when working in the context of violent and armed conflict. It refers to the ways in which international and humanitarian and/or development assistance given in conflict settings may be provided without worsening and fuelling the conflict. The question is how the assistance provided interacts with the conflict.

Especially when the situation of warring parties is complicated, the misuse and diversion of aid to gain political and military advantages and the interaction of aid and conflict is very likely. Aid can contribute as a source of supply for the warring factions and refugee camps can serve as hideouts for members of armed groups. Moreover, basic principles of practical work and programming such as participation are at risk of misuse by parties to the conflict and/or (local) authorities. The concept of "Do no harm" attempts to address these problems and gives hints on how to analyse the ways in which project activities can contribute to conflict and undermine initial objectives.

The **Collaborative for Development Action (CDA)**[47] collected experiences, identified common patterns and established developed guidelines on how to analyse the interaction of aid and conflict in order to find methods and examples of prevention. Nevertheless, the complicated and multi-faceted nature of such crisis situations means that there are no simple solutions to the problem. Every context needs to be analysed individually regarding possible negative effects.

The "Do no harm" context analysis[48] serves as a planning instrument for organizations. Starting from the project environment, the analysis can show the extent to which various

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47 www.cdacollaborative.org
48 Do No Harm Context Analysis: http://forumzfd-akademie.de/files/va_media/nid1398.media_filename.pdf

project or programme measures contribute to the establishment of peace or whether they are intensifying the conflict.

The idea of "Do no harm" should not be restricted to violent/armed conflicts. In the context of post disaster situations, the negative effects of inappropriate aid can worsen the situation of people affected and actors can try to gain advantage from aid provided. The provision of aid can even lead to conflict situations itself. Short-sighted measures can increase vulnerability and thus do harm to livelihood assets and/or coping strategies, increasing the level of exposure to risk.

3.2.4   Partner based humanitarian assistance

Both international non-governmental organizations (INGOs) and organisations of the Western media often promote the myth of the helpless survivor in dire need of immediate life-saving support. However, humanitarian assistance does not start with the arrival of teams of international agencies. It begins almost immediately after the disaster. The very first actors engaged in this process are the survivors, local civil society and national institutions. Communities affected by disaster initiate their own recovery with the resources available almost immediately after its incidence, even before international decisions to help have been made. The right to humanitarian assistance of the people affected is increasingly being reinterpreted as the right of aid workers to provide assistance where they think it is required.[49] This point of view also implies that those deciding where to help are the sole providers of assistance.

In the aftermath of cyclone Nargis (Burma 2008), many INGOs were denied access to the affected regions. At the same time, an improvised network of national NGOs, local self-help initiatives including Buddhist monks, businessmen, travel agencies and other actors on the local level provided support to the affected communities. Although this approach may not conform to the paradigm of 'professional emergency aid,' for a certain period, these groups were the only actors able to reach the affected areas. These initial kinds of local self-help initiatives and coping mechanisms are hardly recognised by international actors and therefore undervalued.

Although a considerable challenge in post-disaster situations, the strengthening of local civil society and the participation of the affected communities should be an aim wherever possible. Cooperation with local organizations and initiatives offers a good starting point to address people's needs. Already on-site, local organizations can provide support almost immediately. Furthermore, they are familiar with cultural specifics and needs and speak the local language. The familiarity of local partners with local structures is relevant not only in the context of immediate relief but also when seeking to link relief, rehabilitation and development.

The potential of local organizations is usually ignored by INGOs and they are rarely involved in bilateral or international efforts at cooperation. Local organizations tend to be perceived as mere implementers of INGO concepts – rather than autonomous agents with their own useful ideas and expertise. *"Local organizations often feel that INGOs show a*

49   Munz, Richard (2007): Im Zentrum der Katastrophe, p. 75

lack of respect for their contribution and speed." [50] Local structures are usually marginalised in decision-making and implementation once international agencies become involved.

While international aid agencies tend to leave after their funds have been exhausted, local organisations stay behind. They can ensure the provision to local communities of sustainable and long-term post-disaster support. Their continuous presence on the ground enables them to identify risks and plan activities in order to prevent disaster. This refers to both large-scale and small-scale disasters. Thus, since the World Humanitarian Summit 2016, the focus in the international debate has shifted towards promoting and strengthening local actors e.g. through direct funding, and by this towards a **localisation** of the humanitarian system.

Collaboration with the organization of local civil society enables the community needs to be addressed on a long-term basis beyond pure survival. This requires consideration of the following aspects:

- A general developmental orientation as the basis for long-term development processes.
- The support and protection of the ability of the affected population to self-organization.
- Strengthening and participation of local societies, their networks and local economies.
- The empowerment of people to participate in and demand political, social and economic processes, changes and rights.
- The long-term decrease of vulnerability towards crises and disasters.

However, a lack of resources and knowledge of international standards and requirements means that not all local organizations are equally capable of responding to emergencies and providing humanitarian assistance. Capacity building of local civil society should become an integrative part of (inter-) national humanitarian assistance.

Finally, it is not only incumbent upon local and international civil society to respond to disaster: governments and, where they exist, regional organizations also carry responsibility. (e.g. the Association of South East Asia Nations [ASEAN], the South Asian Association for Regional Cooperation [SAARC], etc.). For example, Indonesia invested substantially in disaster response and preparedness *"recognising its responsibility to prepare for the continuing floods, volcanoes, and earthquakes that never hit the international headlines."* [51] However, not all governments are capable or willing to take on this responsibility.

3.2.5   A rights based approach to humanitarian assistance

"The core of a rights based approach is to enhance the rights, dignity and resource base of vulnerable communities or sections of vulnerable people so that these become secure and permanent, and make the communities/groups and their future less dependent on external support. [...]. A rights based approach transforms relations that are based on need and charity to those based on rights and entitlements thereby guaranteeing dignity." [52]

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50   OXFAM (2012): Crises in a New World Order. Challenging the humanitarian project, p. 12

51   OXFAM, 2012, p. 9

52   tdh/TISS (2005): UMAG: Rights of Children in Disaster Situations, Mumbai

At its core, humanitarian assistance is governed through the humanitarian imperative. People affected have the right to assistance based on their needs. The foundation is the Code of Conduct. It is complemented by the Sphere Project's Humanitarian Charter, emphasising the right to life with dignity. These principles become most relevant in the context of armed conflict and protracted crises where the lines of civil and military actors are blurred and aid workers increasingly become victims of the warring factions.

The phase of immediate relief allows fulfilment of the right to assistance of those affected by conflict and disaster. This includes basic rights such as the right to food, health or even education. Beyond the provision of basic survival needs (and rights), the rights dimension is much more complex. Most often, poverty is the root cause behind an inability to respond adequately to emergencies and a disaster can expose *"layer upon layer of injustice and human rights violations."*[53] Such injustices include:

1. The increased vulnerability of poor people to disaster.
2. The increasing tendency to deny individual rights in emergency situations.
3. Some people's rights are violated more than others especially referring to vulnerable groups such as children, women and the elderly.[54]

This means that a *"[...] humanitarian response is no longer simply a question of providing humanitarian assistance."*[55] For many multi-mandated NGOs,[56] a rights based approach represents the necessary link between humanitarian work and development as it addresses *"[...] root causes and structural issues of marginalisation and poverty"*[57] and provides a wider range of activities such as the promotion of legal and policy reform, community assistance, the strengthening of an institutional human rights framework, legal assistance or education and training initiatives.[58] Especially in the framework of rehabilitation, a rights based approach can increase ownership of the measures on the part of the target groups and empower them to claim their rights from national and international actors utilising their own capacities and initiatives.

Advocacy can be an appropriate tool at later stages of assistance to put a rights based approach to emergencies into practice. The key is to raise awareness amongst affected people about their general rights and their rights in emergencies. In addition, the participation and empowerment of communities enables them to secure their rights and claim services either from the respective government or international actors. This approach transforms those affected from helpless victims and beneficiaries of charity into rights-holders claiming their legal entitlements.

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53   Action Aid (---- a): A rights based approach to emergencies, London, p. 1
54   Action Aid (---- a): A rights based approach to emergencies, London, p. 1
55   Danish Refugee Council (2008): Chapter 4. The Rights-Based Approach, Copenhagen, p. 1
56   The term "multi-mandated actors" refers to organizations implementing projects of humanitarian assistance as well as development cooperation.
57   Cotterrell, L. (2005): Human rights and Poverty Reduction. Approaches to human rights in humanitarian crises, London, p. 6
58   Action Aid (---- b): Rights-Based Emergency Work. Analysis and Practice, London, p. 10

Organizations implementing both humanitarian principles and a rights based approach face a number of difficulties, especially when a rights based approach goes beyond advocating for the right to humanitarian intervention/the right to relief. Although both agendas overlap, relief is provided according to need rather than on the basis of social and economic rights. The tension between the advocacy of human rights and the neutral and impartial provision of relief is obvious. This means that a rights based approach to humanitarian assistance and showing solidarity with the most vulnerable, poor and marginalised people and their support in order *"to exercise their rights and redress power inequalities [...] [has to] "vary depending on the levels of social and political violence prevailing in each particular context."*[59]

Despite its dilemmas *"a rights based [approach] advances the integration of emergencies and development practice"*[60] and recognises the critical issue of reducing vulnerability to disaster and the neglect of children's and women's rights in the context of humanitarian responses. It can provide an opportunity to raise structural and rights based issues related to disaster in order to enable both the actors of civil society and ordinary citizens to act as agents of change and address the underlying root causes and man-made dimensions of disaster.

59 Action Aid (---- c): The Convergence of Humanitarianism & Human rights. Assorted Principles for a Common Project, London, p. 20
60 Action Aid (---- b): Rights-Based Emergency Work. Analysis and Practice, London, p. 9

4 Target groups in emergency

Disasters do not distinguish between rich and poor. Their vulnerability to disaster, however, is different. Indeed, certain groups within society are even more vulnerable to the consequences of natural and man-made disasters. These groups have specific needs which need to be addressed after a disaster. The careful and participatory selection of the recipients of aid is at the core of any assessment in order to address needs effectively.

4.1   Children in disaster

The prescriptions of the UN Convention on the Rights of the Child (CRC) seek to guarantee children their inalienable rights in all circumstances. As mentioned in the preamble, this also applies during natural disasters during which children number amongst the most vulnerable groups. In general, these rights need to be enforced by the respective state and other actors in the context of emergency assistance.[61]

The Sphere Standards define the framework for addressing children as follows: *"Special measures must be taken to **ensure all children are protected from harm and given equitable access to basic services.** As children often form the larger part of an affected population, it is crucial that their views and experiences are not only elicited during emergency assessments and planning but that they also influence humanitarian service delivery and its monitoring and evaluation. Children and young people are prone to the harmful impact of vulnerability in certain situations, such as malnutrition, exploitation, abduction and recruitment into armed groups and fighting forces, sexual violence and lack of opportunity to participate in decision-making. The Convention on the Rights of the Child states that a child is considered to be an individual below the age of 18 years. This definition can differ depending on cultural and social contexts. A thorough analysis of how an affected population defines children must be undertaken, to ensure that no child or young person is excluded from humanitarian assistance."*[62]
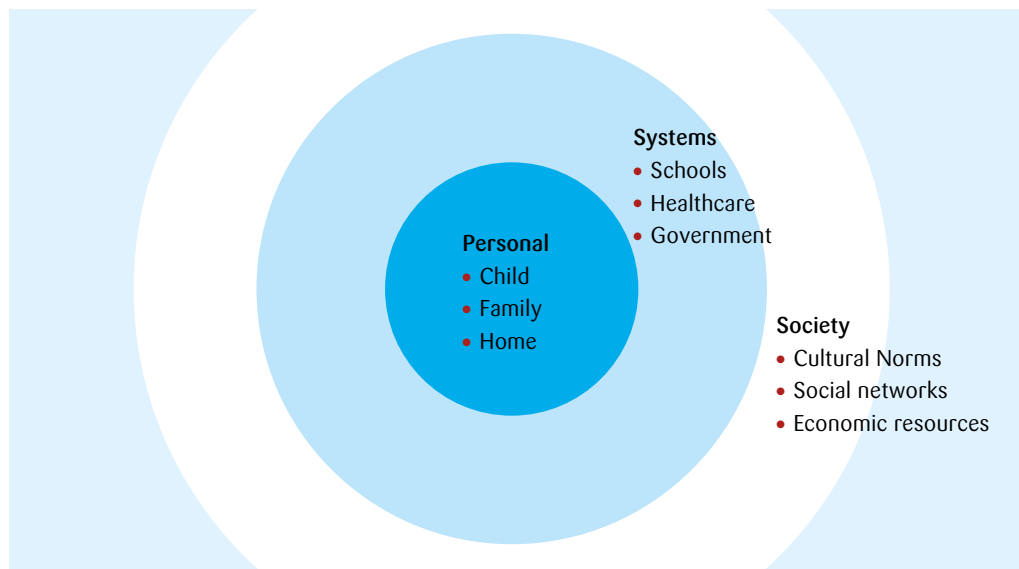
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61   Penrose, A.; Takaki, M. (2006): Children's rights in emergencies and disasters; In: The Lancet, Vol. 367, No. 9511, Feb. 2006, p. 698–699

62   The Sphere Project (2011): Humanitarian Charter and Minimum Standards in Humanitarian Response, Northampton, p. 14

FIG. 5

How does a crisis affect a child

Save the Children, 2003, p. 20

As a child's rights organization, terre des hommes focuses its efforts on providing disaster relief to children and addressing their specific needs, concerns and problems. Accordingly, additional standards should be applied to **ensure the participation of children** during the implementation of relief activities and to **meet their rights** in the context of disaster. Emergencies influence all aspects of a child's life. Three major levels to be taken into account are the personal, the systematic and the social (see figure 5). All three levels encompass several specific aspects and respective stakeholders to be taken into consideration during the project planning and implementation phases. While the personal level deals with the child's day-to-day life, the impact on the system level can affect those organizations important to or responsible for children. Even changes on the macro level (societal impacts) can affect children's lives and might need to be addressed.[63]

Within this **holistic context**, children should be viewed and respected as important actors and sources of information regarding the identification of needy persons in their community as well as capable of expressing their own specific needs (e.g. items needed and suitable for children, school materials, food items, etc.). The general *"[...] failure to adequately promote accountability of humanitarian programmes to beneficiary populations"*[64] is even worse with regard to children. Due to society's views regarding their status, they are often perceived as needy and voiceless recipients.

A child-centred community approach

The Human and Child Rights Based Approach forms the basis of the work of terre des hommes Germany by meeting the concerns of children and their rights in the context of general project activities and children's rights to participation in accordance with the following principles:

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63   Save the C hildren, 2003, p. 20

64   Mc Ivor, C./Myllenen, K. (2005): Children's feedback committees in Zimbabwe: An Experiment in Humanitarian Accountability, p. 6

- Putting children at the centre of development, recognizing them as rights holders and social actors.
- Recognizing governments as primary duty-bearers accountable to their citizens' including children, and to the international community.
- Recognizing parents and families as care-givers, protectors and guides and supporting them in these roles.
- Giving priority to children and creating a child-friendly environment.
- Being sensitive to all forms of discrimination focusing on children who are at risk and who are discriminated against.
- Addressing unequal power structures (class, sex, ethnicity, age, caste, religion, etc.).
- Holding a holistic vision of the rights of the child while making strategic choices and taking specific action.
- Setting goals in terms of the fulfilment of rights.
- Aiming for sustainable results for children by focusing not only on the immediate, but also on the root causes of problems.
- Using participatory and empowering approaches, in particular with regard to children.
- Building partnerships and alliances for promotion of children's rights.[65]

These principles govern the work of terre des hommes in general and in the context of disaster response.

Common to all approaches related to children in disaster is the recognition of their status as an especially vulnerable group with specific needs. Such needs include: shelter, clothing, food, health care, education, recreation and play, psycho-social care and protection from exploitation and abuse. It is understood that love and affection as well as emotional support and understanding should always accompany work with children, whatever the context. While emotional support is usually a responsibility of the family, adults are often themselves traumatised in the aftermath of a disaster and concerned most with ensuring the physical survival of their family. Key activities in the work with children therefore encompass **community-based participatory approaches that include children in decision making processes and providing (psycho-social) care and education** as the very first step towards restoring a minimum of social "normality".

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65   terre des hommes (2006): Human and Child Rights Based Approach within terre des hommes, Internal position paper

The conditions prevalent in disaster contexts undermine the physical, psychological and cognitive development of children in addition to the general poverty situation. Insufficient nutrition and sanitation can lead to dangerous disease patterns especially affecting children under five years through diarrhoea, respiratory infections or other diseases. The phase of early childhood is critical for children's immunity to disease as well as their cognitive development.

Usually, child access to basic services (e.g. health, education, etc.) is interrupted. Children's lives after a disaster are much too often *"[...] characterized by denials of adequate nutrition, health care, a clean environment, emotional attention and education. [...]. All this implies that children bear a disproportionate burden of poverty and a denial of their rights."*   UNICEF, ----, p.2.

A child centred approach puts children's rights and needs at its focus, considering the systems that children are part of (e.g. families, communities, cultures, nations). All of those systems include relevant stakeholders in creating a protective environment for children. The following critical types of protection are required by children:

1. Protection from physical harm
2. Protection from exploitation and gender-based violence
3. Protection from psychological distress
4. Protection from recruitment into armed groups
5. Protection from family separation
6. Protection from abuses related to forced displacement
7. Protection from denial of children's access to quality education

(Save the Children, 2006, p.3)

This array of protection issues suggests that children are included and involved in community-based measures related to disaster relief and prevention. Basic principles of a child centred approach can be summarised as follows:

- Activities guided by the CRC and the Convention on the Elimination on All Forms of Discrimination against Women (CEDAW)
- Child participation as far as possible
- Strengthening of integrated community-based basic social services
- Focus on early childhood care and basic primary education
- Strengthening of families, and the social and biological status of women

UNICEF, ----, p.10

According to the CRC, children need to be considered holistically. That means children have to be viewed as members of society who are able to express their opinions, capable of participating in decision making processes and acting as partners in the process of social change and democratisation. Therefore tdh sees children as both beneficiaries, whose basic survival needs should be secured, and actors contributing to disaster relief, recovery and disaster preparedness linking them with the community as a whole.   tdh/TISS, 2005, p.9ff.

Child participation

From a legal standpoint, children have the right to participation according to the CRC. Nevertheless, while the Geneva Conventions and the CRC specifically mention children in the context of armed conflict and children with special needs (e.g. children with disabilities, refugee children, unaccompanied children, etc.) those affected by natural disasters also require consideration, as they usually make up a considerable proportion of those affected by disaster.[66] Save The Children suggests seven basic standards for child participation:

- Standard 1 – An ethical approach: transparency, honesty and accountability
- Standard 2 – Children's participation is relevant and voluntary
- Standard 3 – A child-friendly, enabling environment
- Standard 4 – Equality of opportunity
- Standard 5 – Staff are effective and confident
- Standard 6 – Participation promotes the safety and protection of children
- Standard 7 – Ensuring follow-up and evaluation

Generally, children are overlooked as relevant stakeholders by aid agencies and communities. Yet at the same time they are important actors with regard to providing information and contributing knowledge in communities. Children should be involved on different levels of emergency relief, rehabilitation and reconstruction measures including processes of project planning, implementation, monitoring and evaluation according to their capacities and age group.

4.2   Women

Gender is an important theme in the context of humanitarian assistance. The Sphere Standards draw up the framework clearly: *"Gender refers to the fact that people experience a situation differently according to their gender. [...] The equal rights of women and men are explicit in the human rights documents that form the basis of the Humanitarian Charter. Women and men have the same entitlement to humanitarian assistance and protection, to respect for their human dignity, to acknowledgement of their equal human capacities including the capacity to make choices, to the same opportunities to act on those choices and to the same level of power to shape the outcome of their actions. Humanitarian responses are more effective when they are based on an understanding of the different needs, vulnerabilities, interests, capacities and coping strategies of women and men, girls and boys of all ages and the differing impacts of disaster or conflict upon them. The understanding of these differences, as well as inequalities in women's and men's roles and workloads, access to and control over resources, decision-making power and opportunities for skills development, is achieved through gender analysis. [...] Women and girls are typically more disadvantaged than men and boys. However, increasingly, the humanitarian community recognises the need to understand what men and boys face*

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66   "The average number of people affected by natural disasters each year is currently 250 million [2007]. That number is likely to increase – Save the Children estimates that up to 350 million people will be affected by natural disasters per year in the next decade, and that 175 million of those affected will be children." (Save the Children, 2007b, p. 4)

in crisis situations."[67] The following gender-related aspects should be taken into account during project implementation:

- After disaster and during armed conflict, the number of **female-headed households** increases through either the absence or death of the male head of household. They now have to take over the responsibilities of the males. The special needs female-headed households and the challenges which they face require consideration.
- The **specific needs** of women have to be taken care of such as reproductive health measures (e.g. the provision of hygiene items, the care of pregnant and lactating mothers, contraceptives, etc.) appropriate clothing, privacy and protection needs.
- In particular, the **protection needs** of women have to be addressed as they are exposed to gender-based violence (sexual harassment and abuse, domestic violence, etc.). Such measures must consider the security dimension of the logistics of distribution (e.g. access and distance) or the construction of sanitation facilities and shelters.
- **Structural discrimination** against women in many societies is characterised by their low economic and social status, inadequate rights, restricted mobility, a high workload and a lack of, or limited access to education resulting in limited participation.[68]

Rights based humanitarian assistance should consider not only the specific immediate survival and livelihood needs of women but also needs to address their often disadvantaged position within society and their increased vulnerability. Any **approach to addressing women's needs should be empowerment-oriented**, raising awareness among women about their rights in such a fashion as to enable them to claim those rights. This requires a comprehensive understanding of the pre-disaster position and role of women in society and the impact of the respective disaster. This should be considered during needs assessment and programming.

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67   The Sphere Project (2011): Humanitarian Charter and Minimum Standards in Humanitarian Response, Northampton, p. 15
68   Deutsche Welthungerhilfe (2009): Orientierungsrahmen Nothilfe. Überlebenshilfe für Opfer von Naturkatastrophen, Bonn

BOX 5

Gender based
violence (GBV)

Officially, gender based violence is defined as *"an umbrella term for any harmful act that is perpetrated against a person's will, and that is based on socially ascribed (gender) differences between males and females. [...]. The term highlights the gender dimension of these types of acts; in other words, the relationship between females' subordinate status in society and their increased vulnerability to violence"* (GBV Area of Responsibility Working Group (2010): Handbook for Coordinating Gender-based Violence Interventions in Humanitarian Settings, p.10). Although this definition includes boys and men, who also can become victim of certain types of GBV, women are most in danger of becoming victims of GBV. The most common forms of GBV are:

- Sexual violence
- Sexual exploitation and/or abuse
- Domestic violence
- Trafficking
- Forced and/or early marriage
- Other traditional practices that cause harm, such as female genital mutilation, honour killings, widow inheritance

The incidence of GBV is not limited to specific kinds of emergency. While GBV is wide-spread in the context of armed conflict, the chaotic situation after natural disasters can also put women and girls at risk of suffering different forms of violence. *"Norms regulating social behaviour are weakened and traditional social systems often break down. Women and children may be separated from family and community supports, making them more vulnerable to abuse and exploitation due to their gender, age, and dependence on others for help and safe passage."* (IASC (2005): Guidelines for Gender-based Violence Interventions in Humanitarian Settings, p. 4).

Most of the cases in emergencies go unreported due to the stigma connected to GBV as well as the lack of health and legal services. Survivors/victims of GBV are at risk of suffering from long-lasting health problems such as deaths from injuries or suicide, unwanted pregnancy, unsafe self-induced abortion, infanticide and sexually transmitted diseases including HIV/AIDS. GBV affects the individual, family, community and society. In addition to measures of GBV prevention, immediate responses to it should be taken through the provision of health care, psychological and social support, security and legal support. This requires the actors from different sectors to work together.

4.3 The elderly

The specific needs of older people are very often neglected in the context of humanitarian assistance. Despite their status as one of the most vulnerable groups, and increasing number (the over 80s is one of the fastest growing age groups), needs-assessments seldom reflect their needs sufficiently. Even outside disaster situations, older people are increasingly found to live on the fringes of society. *"When disaster strikes, [...] the most affected are the elderly as they are often physically frail, making it difficult to run to safety or even in accessing relief material where they often get sidelined by younger and fitter individuals."*[69] On a long-term basis, disaster can aggravate the situation of older people and disrupt their livelihood strategies through loss of family and/or community support structures, chronic and mental health problems and a lack of mobility and/or income.

As with children, it would be mistaken to perceive them as only weak and needy beneficiaries. In many cases, older people take over the care of surviving family members and orphans and can play a vital role as carers for children. They can make significant and key contributions to recovery, rehabilitation and disaster preparedness through their experience and knowledge of community coping strategies and preservation of cultural and social habits and identity. Moreover, their status as a social authority can exercise a positive influence on processes of conflict resolution.[70]

4.4 Persons with physical and psychological disabilities

As the elderly, those with physical and psychological disabilities live predominantly on the fringes of society and are hardly recognised in post-disaster/conflict contexts. The UN Convention of the Rights of Persons with Disabilities (CRPD) states that attitudinal and environmental barriers prevent persons with disabilities from benefiting from full meaningful participation and mainstream humanitarian assistance programmes. Recognising them as one of the most marginalised populations in crisis-affected communities the UN Security Council adopted a resolution on the situation of person with disabilities in armed conflict and humanitarian crisis in 2019.[71] An inclusive disaster response aims to address the needs of people with disabilities at every stage from planning to implementation. The following key inclusion standards for older people and people with disabilities have been identified:

1. **Identification** – Older people and people with disabilities are identified to ensure they access humanitarian assistance and protection that is participative, appropriate and relevant to their needs.
2. **Safe and equitable access** – Older people and people with disabilities have safe and equitable access to humanitarian assistance.
3. **Resilience** – Older people and people with disabilities are not negatively affected, are more prepared and resilient, and are less at risk as a result of humanitarian action.
4. **Knowledge and participation** – Older people and people with disabilities know their rights and entitlements, and participate in decisions that affect their lives.

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69   www.suryakheetra.org/relief-activities-during-natural-calamities
70   The Sphere Project, 2011, p. 16; Deutsche Welthungerhilfe, 2009, p. 21
71   UN Security Council (2019): Resolution 2475

5. **Feedback and complaints** – Older people and people with disabilities have access to safe and responsive feedback and complaints mechanisms.
6. **Coordination** – Older people and people with disabilities access and participate in humanitarian assistance that is coordinated and complementary.
7. **Learning** – Organisations collect and apply learning to deliver more inclusive assistance.
8. **Human resources** – Staff and volunteers have the appropriate skills and attitudes to implement inclusive humanitarian action, and older people and people with disabilities have equal opportunities for employment and volunteering in humanitarian organisations.
9. **Resources management** – Older people and people with disabilities can expect that humanitarian organisations are managing resources in a way that promotes inclusion.[72]

4.5   Minorities and marginalised groups

Many people do not benefit from emergency assistance as a result of their religious beliefs, social status, ethnicity or political opinions. This process of marginalisation weakens the resilience of those affected, limiting their access to relief services. Lacking a voice and thus often unable to make themselves heard, needs-assessments should always consider the specific needs of these minority and marginalised groups and methods of improving their position.[73] Again, adopting a rights based approach can improve the situation of minorities on a long-term basis. Terre des hommes criteria also prioritises the support of projects for *"[...] indigenous peoples and rural inhabitants whose social and political rights are violated."*[74]

4.6   IDPs and refugees

In most cases natural and man-made disasters lead to the displacement of people. When people flee a natural disaster or armed violence within their country of origin they are described as internally displaced persons (IDPs), while those who have crossed an international border during their flight in search of refuge are called refugees.

The 1951 UN Convention Relating to the Status of Refugees constitutes the major framework for ensuring the protection and assistance of refugees under the mandate of the United Nations High Commissioner for Refugees. Refugees also enjoy protection under general human rights law and, in the case of states involved in armed conflict, are covered by the provisions of international humanitarian law.

72   Humanitarian inclusion standards for older people and people with disabilities, 2019, p.16f
73   Deutsche Welthungerhilfe, 2009, p. 23
74   Terre des hommes (2000): General project criteria for Terre des homes projects, Osnabrück, p. 3

BOX 6

Guiding Principles
on Internal
Displacement

First and foremost, the state is responsible for protecting the rights of the internally displaced as they are still under the jurisdiction of their government. Not only the lack of capacity and commitment of many governments but also the respective national legislation hardly cover the special rights and needs of the internally displaced exhaustively.

As IDPs are highly vulnerable and lack a profound protection of their rights the Guiding Principles on Internal Displacement were formulated. The principles outlined in the document relate to protection from displacement, protection during displacement, humanitarian assistance and finally return, resettlement and reintegration covering all phases of the displacement.

A few governments have incorporated the GPs into national law such as Angola, Colombia, Peru, Uganda, the Philippines or Sri Lanka.

There is no special convention for IDPs as their protection and well-being is still the responsibility of the relevant state government. Theoretically, IDPs are citizens entitled to the provision of domestic law. However, in many cases, the government responsible for IDP protection is responsible for the displacement itself – or does not have the capacity or political will to provide sufficient care for the IDPs. Nonetheless, IDPs are protected under international human rights law, international humanitarian law in situations of armed conflict and the Guiding Principles of Internal Displacement.[75]

Although IDPs and refugees have different statuses, they share a number of basic needs such as food, shelter, health services and clean water as well as education or income-generating activities. In addition, protection is one of the most neglected but crucial aspects in providing assistance to refugees and IDPs. The longer people are displaced, the longer it will take them to recover and rebuild their lives. The IDMC outlines the vulnerabilities (and therefore needs) of IDPs, which also apply to refugees as follows:

- IDPs/refugees *"[...] may be in transit from one place to another, may be in hiding, may be forced toward unhealthy or inhospitable environments, or face other circumstances that make them especially vulnerable.*
- *The social organization of displaced communities may have been destroyed or damaged by the act of physical displacement; family groups may be separated or disrupted; women may be forced to assume non-traditional roles or face particular vulnerabilities.*
- *Displaced populations, and especially groups like children, the elderly, or pregnant women, may experience profound psychosocial distress related to displacement.*
- *Removal from sources of income and livelihood may add to physical and psychosocial vulnerability for displaced people.*
- *Schooling for children and adolescents may be disrupted.*

- *Internal displacement to areas where local inhabitants are of different groups or inhospitable may increase risk to internally displaced communities; internally displaced persons may face language barriers during displacement.*
- *The condition of internal displacement may raise the suspicions of or lead to abuse by armed combatants, or other parties to conflict.*
- *Internally displaced persons may lack identity documents essential to receiving benefits or legal recognition; in some cases, fearing persecution, displaced persons have sometimes got rid of such documents."*[76]

Even despite the prevalence of armed conflict and sudden onset natural disasters, the greatest single factor causing internal displacement is the increasing number of changing environments resulting from the effects of climate change. This kind of forced displacement additionally affects people's vulnerability and coping capacities.

Displacement results not only in massive disruption and a loss of current livelihood assets; it also affects the future development of the affected people. If return or resettlement is possible, an array of issues needs to be addressed. In addition to the provision of infrastructure (e.g. housing, water and sanitation facilities, public building, etc.) structural issues are highly relevant. Which conditions led to poverty, reducing the resilience and, in the end, forcing people to move? A sudden onset disaster can lead to conflict over land and land titles, limited access to compensation, insufficient governmental support and preparedness, etc. Providing relief without addressing the long-term political and economic context will fail to address the underlying causes of disaster and forced displacement.

76   IDMC, www.internal-displacement.org/internal-displacement

5 Fields of intervention

The following chapter provides an overview of the major fields of intervention of humanitarian assistance to cover basic needs most relevant to terre des hommes partner organizations. The basis of each and every activity addressing the different fields is a thorough needs-assessment and planning. The annexes supplement the description with guidance notes and basic checklists for the identification of needs on the ground.

5.1 Mental health and psychosocial support

The concept of *psychosocial support* reflects the dynamic relationship and interplay between psychological and social issues. Emergencies create a wide range of problems experienced on the individual, family, community and societal levels. At every level, emergencies erode normally protective support mechanisms, increase the risks of diverse problems and tend to amplify pre-existing problems of social injustice and inequality. Psychological and social problems in emergencies are highly interconnected, yet may be predominantly social or psychological in nature.

BOX 7

Psychological and social problems in emergencies

Significant problems of a predominantly social nature include:

- Pre-existing (pre-emergency) social problems (e.g. extreme poverty; membership of a discriminated or marginalised social group; political oppression).
- Emergency-induced social problems (e.g. family separation; disruption of social networks; destruction of community structures, resources and trust; increased gender-based violence).
- Humanitarian aid-induced social problems (e.g. undermining of community structures or traditional support mechanisms).

Similarly, problems of a predominantly psychological nature include:

- Pre-existing problems (e.g. severe mental disorder; alcohol abuse).
- Emergency-induced problems (e.g. grief, non-pathological distress; depression and anxiety disorders, including post-traumatic stress disorder (PTSD)).
- Humanitarian aid-related problems (e.g. anxiety due to a lack of information about food distribution)

Thus, mental health and psychosocial problems in emergencies encompass far more than the experience of PTSD.[77]

As outlined in the Sphere Standards and in the relevant guidelines of the Interagency-Standing Committee (IASC) one has to consider **psychosocial cross cutting aspects in all relief activities**: *"In each humanitarian sector, the manner in which aid is administered has a psychosocial impact that may either support or cause harm to affected people. Aid should be delivered in a compassionate manner that promotes dignity, enables self-efficacy through meaningful participation, respects the importance of religious and cultural practices and strengthens the ability of affected people to support holistic well-being."*[78]

As an ideal, psychosocial assistance is part of a multi-pronged approach that also covers issues as shelter, paralegal aid, medical care, compensation, self-care and livelihood assistance.[79]

Predominantly psychosocial programming

In many disaster situations, children and adolescents make up more than 50 % of the population affected. Not all children are affected by a disaster and its aftermath in the same way. Through individual differences in character, social networks, age, pre-existing stress experiences, coping responses and education, some children are more resilient while others might be more vulnerable.

Depending on the nature and preconditions of the disaster, usually approximately **60 % of children are "less affected"** and might already benefit from measures restoring normalcy to their life, developing their life skills and meeting basic needs. Interventions aimed at this group are often not labelled as psychosocial interventions. Nevertheless, for example, income generation for parents or projects of vocational training can have a positive influence on psycho social well-being as they reduce daily levels of stress.

The initial point to begin psychosocial support in a post-disaster situation is the establishment of (relative) security. The basis for this purpose is the provision of basic physical needs such as sufficient food and sleep and external security (e.g. the respect of property, space of privacy, etc.). Important in establishing security is the development of future prospects. Hope generally encourages mental growth. It can grow by gaining access to information, attending meetings and events, engaging in discussions on how things can continue and through receiving guidance and encouragement. Psychosocial support aims at activating the capacities and abilities of those affected in order to provide them with the potential to develop their own initiatives and ideas.
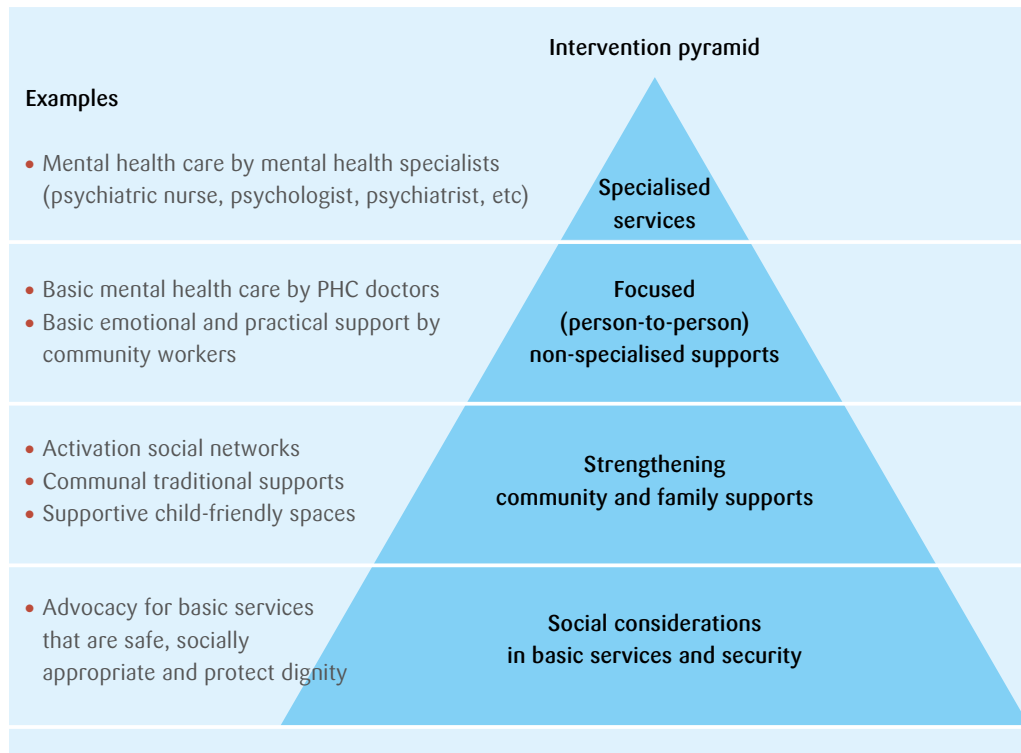
77   IASC (2007): Guidelines on Mental Health and Psychosocial Support in Emergency Settings, p. 3
78   Sphere Project, 2011, p. 17
79   NIMHANS (2005 b): Psychosocial care for survivors of natural disasters, p. 4

Intervention pyramid

Examples

- Mental health care by mental health specialists (psychiatric nurse, psychologist, psychiatrist, etc) → **Specialised services**

- Basic mental health care by PHC doctors
- Basic emotional and practical support by community workers → **Focused (person-to-person) non-specialised supports**

- Activation social networks
- Communal traditional supports
- Supportive child-friendly spaces → **Strengthening community and family supports**

- Advocacy for basic services that are safe, socially appropriate and protect dignity → **Social considerations in basic services and security**

Projects with a main focus on psychosocial activities are often suitable for **children at the lower levels of the pyramid**. Examples include recreational activities, art therapy, or various community-based interventions that promote positive cognitive, emotional, and educational development and functioning. Predominately psychosocial projects are likely to target their activities toward generally affected and at-risk populations, and provide screening and referral (to individualised mental health services or counselling programs) for those more severely affected by conflict or violence.[80]

Child-friendly areas are often established in refugee camps and are also referred to as Emergency Spaces for Children. Recreational activities carried out in a safe and structured environment help children to recover, continue to develop and socialise. Paramount in all activities, child-protection should not be limited to the child-friendly space but encompass the whole community. In child friendly spaces children can:

- Relax physically, mentally and emotionally.
- Express feelings and thoughts.
- Restore a sense of safety and security.
- Restore normal life routines.
- Recover confidence and explore new things.
- Have fun.
- Learn social skills.
- Learn social rules, norms and values.[81]

80 Save the Children (2004): Children in crises: Good practices in evaluating psychosocial programming, p. 21
81 Terre des hommes Lausanne (2006): Child Protection: Manual for Intervention in humanitarian crisis, Lausanne, p. 62

Regular recreation, structured learning, play, sports, drama, art, music and educational activities foster critical thinking, problem-solving skills and cognitive development, preparing children to re-enter formal education.[82]

Such activities foster resilience and can only address and reach less- and perhaps moderately-affected children. They should not seek to address complicated issues such as integrating divided communities, challenging gender roles or trauma counselling.[83] Nevertheless, equipped with social workers to follow up on more severe cases, interventions aiming to reach a large number of children can help to identify those in need of further attention. Psycho-education (learning about shock, normal reactions to an abnormal situation) and simple stabilisation or self-soothing techniques (e.g. ventilation) can also be applied to smaller groups in recreational centres or in schools.

Only a minority of children has usually been affected so severely that they require intensive care and psychological intervention. Such children present trauma, depression or other forms of mental illness. They are unable to manage their daily lives or integrate into the community. Symptoms of PTSD might not be immediately apparent after the disaster but can appear after 6 months or even longer.

The following list from the IASC Guidance Note for Mental Health and Psychosocial Support Haiti Earthquake Response – January 2010[84] gives examples of reactions after a disaster. **Normal reactions** to the crisis include, but are not limited to:

- Grief, sadness, hopelessness and a sense of being overwhelmed.
- Emotional difficulties including anxiety, fear, anger, guilt.
- Behavioural problems such as lack of concentration, risk of increased use of violence or alcohol and drug use within communities.
- Social problems such as isolation, tension or violence in families, increased collective fear, anger and frustration regarding humanitarian aid.
- Increases in social tensions and violence in communities due to basic needs going unmet, the lack of law and order, or difficulties in ensuring assistance is provided in timely and fair manner.

Those presenting the following **severe reactions** require immediate response:

- Disorientation (e.g., not knowing where they are).
- Unresponsive to conversation.
- Put themselves or others in danger.
- Threatening to harm themselves or others.
- An inability to perform the basic activities of daily life (i.e., walking, talking, grooming, eating).

82   INEE Good practice guide on Emergency spaces for children, p.1
83   INEE Good practice guide on Emergency spaces for children, p.1
84   These lists vary from cultural context and form of disaster, more comprehensive list for natural disaster e.g. NIMHANS (2005): Facilitation Manual for Trainers of Trainers in Natural disasters, https://resourcecentre.savethechildren.net/sites/default/files/documents/India-TOT-Psychosocial-Care-Manual-ENG.pdf

Community-level workers engaged in relief, rehabilitation and reconstruction should have basic skills to perform the essentials of psychosocial care as part of the overall rebuilding process.[85] Communities should be provided with clear messages about positive coping strategies, such as spending time with family, returning to normal routines, eating and sleeping and avoiding excessive use of alcohol or drugs.

BOX 8

Psychological first aid

Psychological first aid is simple, easily taught and involves a practical and compassionate approach based on the following points:

A = Assess (assess for safety, obvious urgent physical needs, persons with serious reactions, and a person's needs and concerns)

B = Be (be attentive, respectful and aware)

C = Comfort (Comfort through your presence, through good Communication and by helping people to Cope)

D = Do (do address practical needs, do help problem solve, do link people with loved ones and supports)

E = End/Exit strategy (End your own assistance by referring the person to other supports as needed, End by yourself taking time for self-care)

IASC (2010): Guidance Note for Mental Health and Psychosocial Support Haiti Earthquake Response, p. 7

To **support the resilienc**e it is important to consider the chronologically changing needs after a disaster. Immediate post-disaster assistance encompasses meeting basic needs such as protection, medical care, shelter, food and water. Information is also an immediate need, which should not be restricted to adults. Children need to know what happened and where to access resources. Psychological first-aid also falls into the time-span of immediate activity. Not limited to professional psychologists, such assistance can encompass active listening, the provision of social support or merely showing empathy - some manuals refer to "hand-holding".

In the immediate phase after a disaster **child protection** is a necessity. Apart from the danger of children being trafficked, children recover best when engaged with their caregivers. In view of this, it is important to support parents and encourage them to stay together and thus contribute to the psychosocial well-being of the child. Child protection work aims at the prevention, response to and prevention of abuse, neglect, exploitation and violence. Thus, most psychosocial emergency projects can also be classified as 'child protection projects.'[86]

85 Psychosocial care for survivors of natural disasters, NIMHANS, p. 4
86 Child Protection in Emergencies; Save the children 2007, p. 7

The first urgent 'rescue phase' lasting about 2 weeks is followed by the 'relief phase,' itself lasting around 6 months. Community-based activities such as child recreational centres, makeshift schooling and self-help groups will take time in the assessment of needs and establishment. The most important question to be addressed during this phase regards the existence of a protective environment in which children can return to normalcy and routine and whether the community is able to provide the requisite emotional support.

FIG. 7

Psychosocial care for survivors of natural disasters
NIMHANS, p. 2
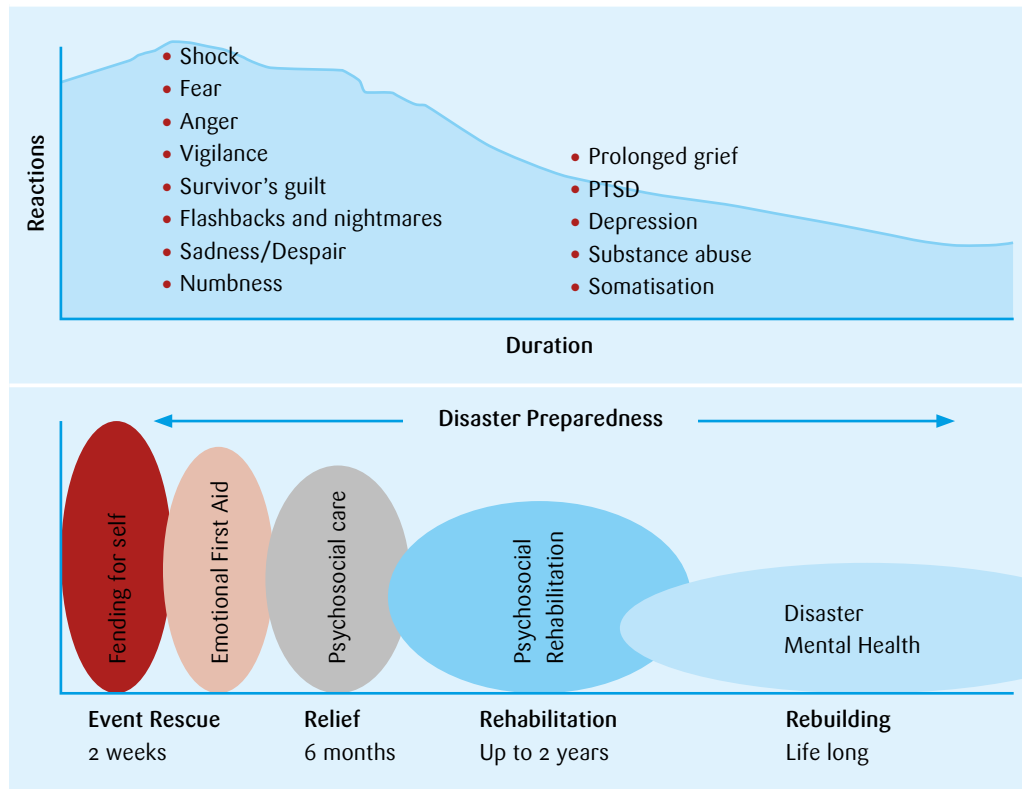
During the acute disaster phase, the emphasis should be placed on **social interventions. Specialised services** require training and are most useful after a certain time. Usually, depending on the nature and preconditions of the disaster, 10 % of children are affected in a manner requiring focused support or specialised services (see Fig. 6 the intervention pyramid). If the symptoms of PTSD persist after 6 months, it is diagnosed as chronic. Nevertheless, for people that need more specialised help, referral to mental health professionals should be envisaged at an earlier stage.

- People have access to an on-going, reliable flow of credible information on the disaster and associated relief efforts.
- Normal cultural and religious events are maintained or re-established (including grieving rituals conducted by relevant spiritual and religious practitioners). People are able to conduct funeral ceremonies.
- As soon as resources permit, children and adolescents have access to formal or informal schooling and to normal recreational activities.
- Adults and adolescents are able to participate in concrete, purposeful, common interest activities, such as emergency relief activities.
- Isolated persons, such as separated or orphaned children, child combatants, widows and widowers, older people or others without their families, have access to activities that facilitate their inclusion in social networks.
- When necessary, a tracing service is established to reunite people and families
- Where people are displaced, shelter is organised with the aim of keeping family members and communities together.
- The community is consulted regarding decisions on where to locate religious places, schools, water points and sanitation facilities. The design of settlements for displaced people includes recreational and cultural space.

Sphere Handbook, 2004, p. 291

5.2   Education

The often unstable nature of a conflict and post-disaster situation means that the highest priority of both the local population and local and international organisations is accorded to pure survival. After addressing these immediate needs, educational activities have to be resumed as quickly as possible as disaster and conflict can disrupt the learning process significantly. The abrupt interruption should not lead to the denial of knowledge and development to children. As well as other interventions – in the fields of food, health, water and sanitation and shelter – education supports the well-being of children and meets their needs on a long-term basis. Furthermore, education makes a contribution to reducing child vulnerability to disaster and improves their mental health. Education is a fundamental right to which all children are entitled.[87]

This right is highlighted in the United Nations' Convention on the Rights of the Child, adopted by the United Nations General Assembly in 1989. Article 28 of this Convention proclaims education as a basic right, and one that should be "free and compulsory" as a matter of urgent priority. It argues for the promotion of "international cooperation in matters of education" (Article 28); a "holistic approach to child development" which incorporates, among other things, "the national values of the country in which children are living [and] the country from which they may originate" (Article 29); and for "the treatment,

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[87]   Nicolai, S. (2003): Education in Emergencies. A toolkit for starting and managing education in emergencies, London, p. 6ff

recovery and social reintegration of children who are victims of conflict" (Article 39), something that organised education can directly address.

Three core principles for education efforts in emergencies can be identified:

1. The child's right to education
2. The child's need for protection
3. A community's priority of education[88]

Providing education in an emergency setting involves much more than their return to a school environment Ensuring dignity and providing respite from and protection against the dangers of a crisis environment, such an environment facilitates learning. Offering educational services can be an entry point for the provision of essential support such as protection, nutrition, water and sanitation and health services.[89]
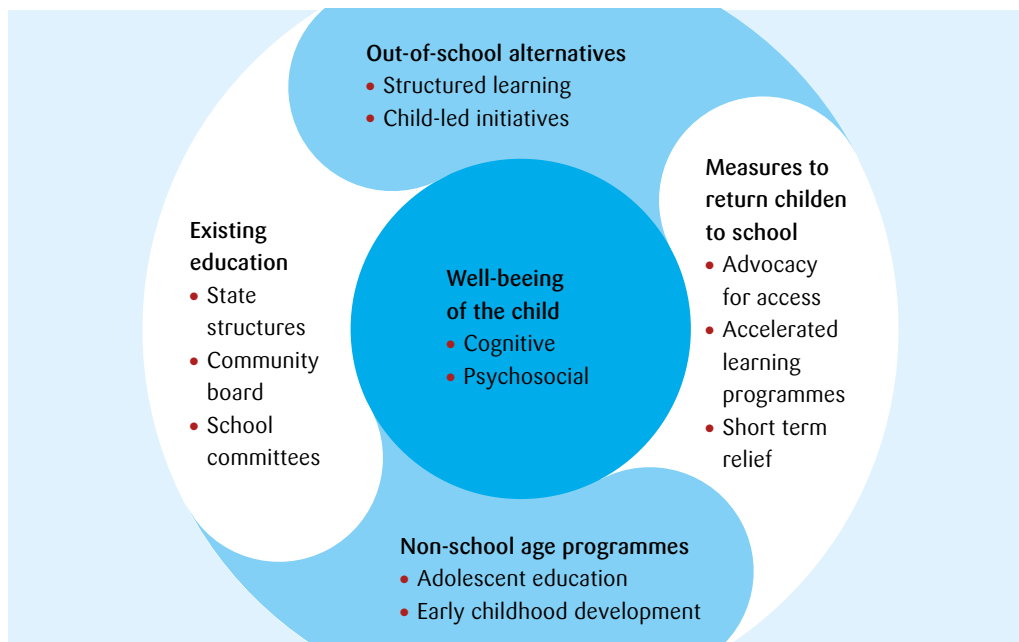
Teaching basic literacy and numeracy skills in combination with life skills and rights education does not only *"[...] mitigate the psychosocial impact of conflict and disaster through providing a sense of routine, stability, structure and hope for the future. In addition, education can convey life-saving information to strengthen critical survival skills and coping mechanisms."*[90]

Education should adopt a child-centred approach i.e. placing children *"[...] at the centre of the decisions determining the response,"*[91] best represented by the 'circle of learning' showing approaches for the provision of basic education. This could include the provision of support for existing educational structures, measures to return children to school, the provision of extra-school learning alternatives (e.g. life skills training) and non school-age

88 Nicolai, 2003, p. 6
89 INEE (2010): Minimum Standards for Education: Preparedness, Response, Recovery, New York, p. 2
90 INEE, 2010, p. 2
91 Nicolai, S./Triplehorn, C. (2003): The role of education protecting children in conflict, HPN Network Paper
    No. 42, March 2003, p. 17

programmes (e.g. vocational training). A child-centred approach to education enables children to develop their own solutions and, life-skills as well as capacities of self-organisation enabling them to become responsible people capable of self-empowerment. Education in emergencies can encompass early childhood development, primary, secondary, non-formal, technical, vocational, higher and adult education.

5.3 Protection of target groups in emergencies

Protection has become an integral part of humanitarian assistance. The context of violent conflicts and increasingly targeted attacks and atrocities against civilians raises the question of how humanitarian agencies can protect their target groups from violence and any form of rights violations to ensure their safety, dignity and integrity as human beings. Protection concerns do not only apply to civilian populations affected by armed conflict but equally to contexts of natural disaster, famine or protracted social conflicts including consistent abuses of human rights.[92] According to the Sphere Standards, **four basic protection principles** apply to humanitarian actions:

1. Avoid exposing people to further harm as a result of your actions ("do no harm")
2. Ensure people's access to impartial assistance in proportion to need and without discrimination
3. Protection of people from physical and psychological harm arising from violence and coercion
4. Assist people in claiming their rights, accessing available remedies and recovering from the effects of abuse.[93]

Four levels of action can be defined for protection:

1. **Preventive action** aims at prevention of physical threats and/or rights abuses. Preventive measures develop an environment that protects the rights of affected populations, as women, men, girls and boys irrespective their age and in accordance with international law.
2. **Responsive action** describes the immediate action to protect the target group to stop on-going violations, for example, through child protection programmes, psycho-social support, protection of women as victims of sexual and gender-based violence, etc.
3. **Remedial action** provides remedies to on-going or past abuses by offering legal assistance and support for people in claiming their rights but also through the rehabilitation of infrastructure, health care or education.
4. **Environment-building** lays the structural foundations to address and prevent future threat scenarios and, therefore, closes the circle to preventive action. Activities include the improvement of the legal system, training of police forces, strengthening governmental institutions and civil society and supporting processes of conflict resolution and civil conflict transformation.[94]

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92   Slim, Hugo; Bonwick, Andrew (2005): An ALNAP guide for humanitarian agencies, p. 22
93   The Sphere Project, 2001, p. 29
94   Sphere Project: 2011, p. 32; Deutsche Welthungerhilfe 2009, p. 24ff; Inter-Agency Standing Committee (IASC) (2002): Growing the Sheltering Tree. Protecting Human rights through Humanitarian Action, Geneva, p. 11ff

- Deliberate killing, wounding, displacement, destitution and disappearance.
- Sexual violence and rape.
- Torture and inhumane or degrading treatment.
- Dispossession of assets by theft and destruction.
- The misappropriation of land and violations of land rights.
- Deliberate discrimination and deprivation in health, education, property rights, access to water and economic opportunity.
- Violence and exploitation within the affected community.
- Forced recruitment of children, prostitution, sexual exploitation and trafficking (including by peacekeepers and humanitarian staff), abduction and slavery.
- Forced or accidental family separation.
- Arbitrary restrictions on movement, including forced return, punitive curfews or roadblocks which prevent access to fields, markets, jobs, family, friends and social services.
- Thirst, hunger, disease and reproductive health crises caused by the deliberate destruction of services or the denial of livelihoods.
- Restrictions on political participation, freedom of association and religious freedom.
- The loss or theft of personal documentation that gives proof of identity, ownership and citizen's rights. Attacks against civilians and the spreading of landmines.

Slim, Hugo; Bonwick, Andrew (2005): An ALNAP guide for humanitarian agencies, p. 23

Child protection in emergencies

Children represent the most vulnerable group in emergency settings, especially when they are on the move. They are at risk of becoming victims of exploitation, violence, sexual abuse and child labour. *"The goal of child protection is to promote, protect and fulfil children's rights to protection from abuse, neglect, exploitation and violence as expressed in the UN Convention on the Rights of the Child and in other human rights, humanitarian and refugee treaties and conventions, as well as national laws."*[95]

States are legally obliged to provide protection and basic services for all children, including those who are on the move and do not have a resident permit of the respective country. Policy makers and stakeholders who are involved in child protection should protect them from any form of violence and abuse. In cases of displacement they should care for safe movement and create an environment to ensure that children can participate in educational activities, receive health-care, adequate food, etc.

Child protection is closely connected to other sectors such as education and health and therefore requires a multi-sector approach. It involves working with a wide range of formal and informal stakeholders, including governments, donors, communities, carers and

families. It also requires close partnership with children, including initiatives to strengthen their capacities to protect themselves.[96]

Children usually constitute the majority of those affected by armed conflicts and natural disasters. *"[...] one in every four children in the world is living in a country affected by conflict or disaster, facing threats of violence, hunger and disease. In 2017, more than 75 million children experienced disruptions to their education because of humanitarian crises, threatening not only their present well-being, but their future prospects as well."*[97] The complexity of emergency situations increases the vulnerability of children to abuse, including the risk of family separation, the risk of recruitment into armed forces or groups, the risk of exploitation and gender-based violence, the risk of physical harm through general or targeted violence or the risk of psychosocial distress. Child protection is, therefore, an important component of wider protection activities in the aftermath of disasters.[98]

The Minimum Standards for Child Protection in Humanitarian Action provide a set of standards to address child protection needs (see chapter 3.1.3). In addition to the four basic protection principles of the Sphere Standards (see above) they add two child specific principles:

1. Strengthen child protection principles
2. Strengthen children's resilience in humanitarian action[99]

Keeping children safe – Organisational child protection

Child Safeguarding refers to organisational child protection. Any organisation that comes into contact with children has a responsibility to keep those children safe and promote their welfare. Keeping Children Safe provides standards and guidance to international development organisations to help them prevent the risk of abuse and exploitation of the children they work with. This also refers to activities in the context of emergencies. Six basic principles provide the basic framework to guarantee child safeguarding:

Standard 1: Addressing the risk and ensuring that the appropriate child safeguarding measures are developed.

Standard 2: Clear segregation of responsibilities among staff.

Standard 3: Dissemination and understanding of child safeguarding measures in place at all levels.

Standard 4: Safe recruitment processes are developed and implemented at all levels.

Standard 5: Mainstreaming of Child Safeguarding Measures by all sectors in the organisation.

Standards 6: Monitoring and Evaluation process.

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96   Save the Children, 2007a, p. 7
97   OCHA (2019): Global Humanitarian Overview 2019, p.13
98   Save the Children, 2007a, p. 8f.
99   Child Protection Working Group (2011): Minimum Standards for Child Protection in Humanitarian Action, p. 30ff

Practical toolkits provide further details, guidance and tools on how to implement child safeguarding measures in your organisation to ensure that children are treated according to their basic rights:

- Keeping Children Safe: A Toolkit for Child Protection[100]
- Safeguarding children in emergencies – A pocket guide[101]

5.4   Cash-based and voucher assistance

"Cash-based assistance, a form of market-based programming, is increasingly used to meet humanitarian needs".[102] In many humanitarian crises, goods and services are still available on local markets. Instead of distributing "hardware" in form of pre-packed and ready-made packages *"cash transfers provide people in need with wider and more dignified assistance, giving them the flexibility to choose what to purchase based on their preferences. Finally, cash assistance supports local markets, lays the foundations for communities' recovery and resilience, and can complement existing social safety protection systems."*[103] Through vouchers people can access pre-defined goods or services while cash transfers are unrestricted and allow people to meet their basic needs independently.[104] In order to effectively implement cash-based programmes or activities, the following aspects must be considered:

1. Consult with the target groups
2. Analyse the markets
3. Gather knowledge of the ways services are provided
4. Understand the supply chain
5. Consider logistic capacities[105]

Cash-based assistance can be used to address needs in several sectors (e.g. WASH and hygiene as both are interlinked) as well as individual sectors (e.g. food assistance). In addition, cash based interventions indirectly contribute to protection concerns. People receiving cash are *"[...] less likely to resort to harmful practices such as survival sex, child labour, family separation or forced marriage".*[106] For example, cash based assistance can be used to address discriminatory practices that restrict access to assets and related decision making for vulnerable groups.

The Sphere standards offer comprehensive checklists for cash-based assistance, supply chain management and logistics.[107] The Cash Learning Partnership (CaLP), a global partnership of humanitarian actors involved in policy, practice and research in the field of cash and voucher assistance (CVA) offers a range of fruther tools and resource around CVA.[108]

100   Full document in different languages under: http://www.keepingchildrensafe.org.uk/toolkit
101   Full document in English language: http://www.keepingchildrensafe.org.uk/emergencies-toolkit
102   The Sphere Project, 2018, p. 9, accessed 05.06.2019
103   ECHO, https://ec.europa.eu/echo/what/humanitarian-aid/cash-transfers-and-vouchers_en accessed 05.06.2019
104   ECHO, https://ec.europa.eu/echo/what/humanitarian-aid/cash-transfers-and-vouchers_en accessed 05.06.2019
105   The Sphere Project, 2018, p. 9ff accessed 05.06.2019
106   UNHCR, www.unhcr.org/cash-based-interventions.html accessed 05.06.2019
107   The Sphere Project, 2018, p. 22ff accessed 05.06.2019
108   CaLP, www.cashlearning.org/ accessed 05.06.2019

5.5   Food Aid

Food aid can become necessary following a break-down in local supply structures or immediate short-term needs necessitate short-term assistance. This may be required to sustain life, protect or restore people's self-reliance or reduce the probability of people adopting damaging coping strategies. Food aid should contribute to meeting short-term needs but it should not adversely affect long-term food security. It should be restricted in time as much as possible. Food distribution is a sensitive issue especially regarding methods of distribution and the selection of beneficiaries.

Important benchmarks are as follows: the initial assessment of needs, to identify those who are most in need; the kind of food provided; and the methods of distribution. Assessment should be conducted with the participation or at least the intensive consultation of, the local population. Even if the situation is chaotic this is an essential factor for humane food distribution. A basic indicator is the minimum nutritional requirement of a human being, which amounts to 2,100 kilo calories per person per day. It is assumed that in some contexts people obtain certain (but insufficient) amounts of food through their own means which are supplemented with food rations. Any food aid planning needs to consider the acceptability and appropriate nature of food. This includes cultural specifics, national or regional standards, eating habits, etc. The preparation of rations should follow the necessary basic standards regarding nutritional requirements and food safety. Any specifics mentioned by beneficiaries should be considered in order to guarantee acceptance.

It is essential to address the question of how to distribute food. There are several methods of distribution including cooking food on the spot, fresh food supply, monthly rations of dry food, supplementary food, etc. Some feeding programmes focus on especially vulnerable groups such as children, the elderly or the disabled. Food aid programme should include proper consultation of beneficiaries, transparency and proper information about distribution modes (e.g. via ration cards, time of distribution, responsibilities, nutritional quality of food, requirements for handling food, etc.), revision of food rations (again in consultation with beneficiaries) or proper information on the rations provided.[109]

In many cases, food rations are prepared and distributed in an unsuitable manner. The composition of food baskets is not transparent or rations distributed are not sufficient as they are calculated on the basis of minimum standards only. In other cases, the details of logistics are unclear, meaning that the time and/or date of distribution has not been properly communicated to the recipients and result in chaotic situations or people missing food distribution. This might be affected by the security situation and/or access to a certain area but should be avoided. Another problem often communicated by beneficiaries is the provision of culturally unsuitable food. Too often, the failure to consider specifics results in people selling rations in order to get the food they are used to and like. It is still the case that beneficiaries are not sufficiently consulted in the whole process of food distribution.

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109 For further information on food distributions please see The Sphere project, 2018, p. 157 ff.

5.6   Non-Food/household items

Those affected by a disaster are not only in need of food and drinking water; but often have suffered the loss of most of their belongings. According to the Sphere Project, the term *non-food items* (NFIs) describes household items such as dishes, stoves, fuel or light, sanitary items, bedclothes, clothing, mosquito nets, tools, cleaning utensils, agricultural items (including seeds) or fishing nets. The same standards as applied to food distribution should govern the assessment, planning and distribution stages, including the thorough participation of recipients.

Both cultural and climatic aspects have to be taken into account when assembling NFI packages. Often, clothing is distributed which is not climatically or culturally appropriate. For example, women may need to dress with a veil. If possible, two sets of clothing should be distributed per person so they possess a spare whilst the other is being washed.

The specific needs of women and girls have to be taken into consideration when distributing hygiene articles. The special hygienic needs of other groups (e.g. people suffering from HIV/AIDS, handicapped, elderly) must also be addressed. In general, feeding bottles for babies should be avoided since they represent a potential source of infection. In many of the countries affected by disasters, vector diseases such as malaria are a big problem. Preparation of a disaster response in such countries should consider the distribution of mosquito nets.

Household items should enable people to prepare and eat food under appropriate hygienic conditions. Containers for fetching and storing water should be distributed if applicable these might require thorough explanation regarding water treatment and proper storage and use.

The distribution of NFIs considers the most important basic needs and convenience goods. NFIs such as seeds, (agricultural) tools or fishing nets go beyond the immediate impact and can contribute to income generation. Not all donors are willing to consider these items as appropriate to immediate relief but prefer to view them as a part of rehabilitation.[110]

All distribution requirements outline above should be conducted with the participation or consultation of the recipients. Methods of distribution have to be explained and agreed upon with beneficiaries.

The distribution of NFIs should always be considered in conjunction with the sector in which the distribution takes place, e.g. WASH, food distribution or health. Through needs assessment and market analysis, cash-based assistance should be considered as possible alternative or supplement to NFI distributions.

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110   The Sphere Project, 2018, p. 89 ff.; Deutsche Welthungerhilfe 2009, p. 32 ff.

5.7   Water, sanitation and hygiene

Water, sanitation and hygiene are critical post-disaster factors in the prevention of water and excreta-related diseases. Most importantly, a suitable water supply needs to be available within the shortest time possible. Even if not perceived as such, this is more important than the supply of food. Water and sanitation are critical determinants for survival in the initial stages of relief aid. The aim is the reduction of diseases transmitted by the faeco-oral route or by vectors. In addition to improving the water supply, appropriate hygiene (hand washing, tooth brushing, body hygiene, etc.) and sanitation (excreta disposal, vector control, drainage, etc.) practices need to be promoted. The absolute minimum standard for water supply is 5 litres for consumption per person per day. This might be appropriate in the very first days after a disaster but should be improved as soon as possible to reach a standard of 15-20 litres/person/day (inc. water for drinking, cooking and personal hygiene). In the initial phase of a disaster, the quantity of water might be more important than the quality in order to meet minimum standards. Nevertheless, water supply interventions must not occur in isolation and should be accompanied by sanitation and hygiene components subject to regular monitoring and improvement.

The specific context of the target group is crucial when supplying drinking water. Relevant factors to be considered are: a) the size of the target groups, b) the kind of accommodation of the target group (refugee/IDP camp, host communities, etc.), c) the condition of the nearest water source (quantity and quality), d) the distance to the water source and e) the kind of disaster (acute, chronic). The scenario determines the provision of drinking water. Possible interventions can include:

- Immediate life-saving measures without the provision of technical inputs (e.g. through the protection of existing water sources).
- Decentralised measures at household level (e.g. provision of chlorination tablets/liquid).
- Bowsering/delivery of water (e.g. through water trucks).
- On-site water treatment (e.g. water purification plants, sedimentation tanks/basins).
- The rehabilitation of existing water supply systems and/or wells.
- New construction of drinking water supply system for medium and long-term use.[111]

Several technical standards regarding water sources – distance to the source, yield of the source, etc. – need to be adapted to the context in which the facilities are used (e.g. hospital, refugee camp, feeding centres, etc.). The same applies to facilities for excreta disposal. Equally important is the distance of facilities of excreta disposal to possible water sources. The distance to water sources needs to be sufficient to prevent faecal contamination. The hygienic use of facilities needs to be promoted and, in the best cases, supported by flushing and hand washing facilities.

Certain specifics need to be considered when providing water and sanitary facilities. Some groups such as the sick, elderly, pregnant women or children present varying demands regarding the minimum amount of water needed per day. Also requiring consideration is sufficient and universal access to facilities, including disabled people. Toilets must be segregated according to sex and should protect women from sexual assaults and abuse. Secu-

rity for women and girls must be ensured at water sources as it is usually their responsibility to collect water. Any form of harassment or abuse must be prevented. Therefore, all constructions should be planned and executed with consultation and the participation of all groups concerned (inc. women, children and other vulnerable groups).

The provision of water and sanitation facilities should be accompanied by **hygiene and health promotion,** meaning systematic action to enable people to act in such a way as to prevent the spread of water-borne and sanitation and hygiene-related diseases and use of facilities. Activities should draw on local knowledge, practices and resources. Usually, hygiene and health promotion activities can be combined with the distribution of related items and services.[112]

5.8   Shelter and housing

The type and scope of the disaster/conflict mainly determines the character of shelter provided. Supplementary emergency housing may be required by those who are unable to take shelter within their own social networks e.g. at the houses of relatives, friends or neighbours (host families/communities). Any kind of shelter should provide security, personal safety, protection from climate and protection from diseases. The provision of shelter can be crucial in maintaining beneficiaries' dignity as well as helping them to sustain a minimum of family and community life.

A major problem of (emergency) sheltering is space. Both the availability of land for construction and personal space in shelters are often restricted. The absolute minimum standard requirement for a living space is 3.5 m^2 per person. Some situations may not permit the provision of this standard, especially if people start building their own shelter on an *ad hoc*, informal, basis. A lack of personal space can be highly detrimental to the dignity of a person and can contribute to the spread of diseases and stress or even lead to conflicts. All this needs to be viewed in the context of the prevailing climatic conditions.

In addition to space requirements, planning must take into account the type of construction. The planning should include the people affected in order to provide shelter appropriate to their needs. If a post-disaster situation does not allow for immediate and comprehensive local participation, the camp set-up and service-provision should be adapted retrospectively. The selection of shelter material is essential and should consider traditional ways of housing as well as environmental aspects. For example, tin sheets often used for roofing can generate unbearable heat, thus necessitating proper ventilation. Yet, tin sheets could be more effective than other materials during a wet season.

In addition to the concerns of the displaced, the **neighbouring and/or host communities** also need to be cared for. In many cases, aid provisions are restricted to the camps and the displaced population but hardly reach the host communities as they are not incorporated into the aid structures. However, it is important to to take into account the strain placed on host areas by the presence of additional people: the congested situation in host communities, the increase in competition for resources or land issues can lead to social conflict especially in the case of a long-term presence of displaced persons.

112   The Sphere Project, 2018, p. 96 ff.

Types of shelter

Different terms exist with which to describe the various types of shelter provided in disaster contexts: **Emergency shelter support** usually refers to basic short-term shelter. These consist mainly of tents, plastic sheeting and toolkits. **Transitional shelter** refers to the provision of longer-term structures until permanent shelter can be provided. They should be able to host people for up to several years, covering the period of reconstruction and the securing of land tenure. Thus, this type of housing brings its own space and material requirements. Community participation should be sought in the planning and construction of transitional shelters. They should be upgradeable and reusable e.g. in case of relocation.[113] **Permanent shelter** describes the reconstruction of permanent housing for the affected population including the reconstruction of social infrastructure, such as schools, health facilities and community infrastructure.[114]

BOX 11

Owner-driven
housing
reconstruction

The term 'owner-driven housing reconstruction' refers to a process of reconstructing permanent shelter which places the affected families / communities at the centre of the decision-making and construction process. This promotes local 'ownership' of the project and improves technical skills and self-confidence at family/household and community level. The process of reconstruction should be owned and managed by the affected people as much as possible, while external support should be restricted to the provision of technical advice and funding. In such circumstances, local people have the freedom to construct housing according to their traditions and social requirements. The availability and use of local materials and knowledge/ skills, contributions from local communities (e.g. local savings, labour, material, etc.), the generation of funds by family networks, or the release and local utilization of government compensation ensures local control over the process and its outcome.

As families do not live in isolation, and shelter is not the only requirement, provisions like water, sanitation, social infrastructure, road access, etc. should be addressed in collective efforts involving the participation local communities to ensure their ownership. Moreover, the reconstruction process should also encompass support to the community itself and its livelihoods. The following table outlines the assistance provided to households, equally transferable to the community level.

113   Shelter Centre (2011): Transitional shelter guidelines, p.12
114   For more detailed guidelines and toolkits see www.sheltercentre.org

Household	Participation	• House design and settlement planning • Construction management • House construction
	Technical support	• Construction training • Design and approvals • Quality control
	Resources	• Equipment • Cash/materials • Workforce

Kind of assistance provided for owner-driven housing IFRC, 2010, p. 15

The process of reconstruction needs to provide consideration to future disasters, and increasing disaster resilience of the local communities. When planning housing, the site selection, material-use and building design should aim at reducing household vulnerability.

Additionally, **land tenure** situations and **land use patterns** should be taken into consideration in rural and urban settings, especially regarding resettlement.

Measures to reconstructing the physical infrastructure should consider all the facilities required to improve or sustain livelihood assets such as educational and health facilities. Factors could include access to land for cultivation, pasture, fishing grounds, water sources, markets or infrastructure.

(IFRC (2010): Owner-Driven Housing Reconstruction, p.13ff)

6 Coordinating Humanitarian Assistance – The UN Cluster approach

After a disaster, a number of different actors with different mandates and interests are involved in relief efforts. These can include UN agencies, the responsible departments of the respective government, military, governmental aid agencies, international NGOs, local NGOs, foundations, etc. To ensure that aid reaches the beneficiaries, and to avoid duplication of work, coordination of different actors is important.

The Cluster approach

The Cluster approach is a **system of coordination** implemented by the UN aiming to **enhance accountability, predictability, response capacity and coordination** by strengthening partnerships in key sectors of humanitarian response. The approach is based on a lead agency system, which means the clear allocation of leadership to different sectors. For each cluster where systemic and/or critical gaps exist a **lead agency** is designated. In other words *"[...] one agency takes full responsibility for ensuring the effective delivery of humanitarian assistance for a given cluster, [...]".*[115]

The cluster approach is applied on a global, as well as the field/country level. At the global level, the approach aims at strengthening system-wide preparedness and technical capacity to respond to humanitarian emergencies. On the country level, it aims at strengthening the coordination framework and response capacity after a disaster. On both levels, a cluster comprises organizations and stakeholders working in one area of humanitarian response. Usually, UN agencies are selected to assume the lead of the clusters. The clusters identified comprise traditional relief and assistance sectors such as water, sanitation and hygiene promotion, nutrition, health, agriculture, education or emergency shelter as well as cross cutting issues such as camp coordination and camp management, early recovery and protection. In general, the cluster-lead arrangements are the same at global and country level. With the help of the cluster approach the institutional accountabilities should be defined more clearly as a single agency is responsible for ensuring that the needs of the affected people are identified and met.[116]

115   UN-OCHA (2006): Appeal for Improving Humanitarian Response Capacity: Cluster 2006, https://www.humanitarianresponse.info/sites/www.humanitarianresponse.info/files/documents/files/2006_cluster_appeal_11.pdf

116   UN-OCHA, 2006 and IASC (2006): Preliminary Guidance Note on Implementation of the Cluster Leadership Approach, www.icva.ch/doc00001792.html, accessed 28.04.2009

Cluster/sector	UN-Cluster lead
Food Security	Food and Agriculture Organization (FAO) / World Food Programme (WFP)
Nutrition	United Nations Children's Fund (UNICEF)
Refugees, protection	UNHCR
Water, Sanitation and Hygiene	UNICEF
Shelter	UNHCR, International Federation of Red Cross and Red Crescent Societies (IFRC)
Camp coordination, camp management	UNHCR, IOM
Health	WHO
Education	UNICEF, Save the Children UK
Early recovery	United Nations Development Programme (UNDP)
Agriculture	FAO
Telecommunication	OCHA, WFP, UNICEF
Logistics	WFP

In practice, the approach is implemented in different contexts but often seems laborious. Coordination is a big challenge and often the cluster approach is criticised for consisting of too many meetings with little practical outcome. Nevertheless, as the UN cluster approach cannot do without the participation and contribution of NGOs and INGOs, this criticism is not always justified. There is no point in complaining about chaos and a lack of coordination if organizations do not wish to be coordinated. Indeed, the first comprehensive evaluation of the cluster approach revealed that although coordination efforts generated additional workloads for agencies, it contributed successfully in directing agencies to fill the specific gap of activities identified by the UN cluster procedure. From the perspective of local NGOs, no significant gains were identified: they identified no increase in participation or enhanced opportunities for funding and partnership through the cluster approach.[117]

The participation of local civil society organizations in cluster coordination meetings is often neglected. This can be explained by the western dominance of **coordination meetings** in terms of both language and the technical approach and therefore reluctance on the part of local actors to participate though it is invaluable in terms of the knowledge and expertise which they can contribute. Furthermore, the meetings **serve the purpose of information exchange regarding** the activities of local NGOs, INGOs, UN and governmental actors. In addition, they can provide a good opportunity for **networking**. Therefore, partners should be encouraged to attend coordination meetings within the frame-

117 ODI (2007): Cluster Approach Evaluation final, London, www.reliefweb.int/rw/lib.nsf/db900sid/MUMA-7BT8J9/$file/IASC_Nov2007.pdf?openelement, accessed 27.04.2009

work of the cluster coordination. Partners should try to visit cluster coordination meetings relevant to their project activities insofar as capacities allow.

CAP and CHAP – the tools of planning and funding

Although not directly linked to the cluster approach, other mechanisms complement the coordination efforts as tools with which to measure the scope of a disaster and improve strategic planning, resource mobilisation, joint monitoring, reporting and evaluation. The overall frame is given by the **Consolidated Appeal Process (CAP).**[118] This *"[...] is a tool used by aid organizations to plan, coordinate, fund, implement and monitor their activities, in major sudden onset and/or complex emergencies that require a system wide humanitarian response."*[119] As a coordination mechanism, the CAP fosters cooperation between governments, donors, NGOs, the Red Cross movement and UN agencies. Together these agencies produce a so called **Common Humanitarian Action Plan (CHAP)** including the following elements:

- A common analysis of the humanitarian context, identifying the key concerns regarding humanitarian principles and violations of human rights.
- An assessment of needs, taking into consideration the capacities (ability to cope) and vulnerabilities (special needs) of the affected population.
- Best, worst and most-likely scenarios.
- Stakeholder analysis (who is doing what, where).
- A clear statement of longer-term goals and objectives.
- Prioritised response plans.
- A framework for monitoring the strategy, and revising it if necessary.

The CHAP is the foundation for developing a Consolidated or Flash Appeal but does not necessarily lead to a funding appeal. **Flash Appeals**[120] are usually set up immediately after a disaster or in case a potential disaster can be foreseen. **Consolidated Appeals**, seeking to address of the needs of continuing assistance or protracted crises, are launched globally by the UN Secretary General around the end of each calendar year. The proposals of agencies compiled in the appeals are submitted to the donor community, which can select projects to be funded according to needs but also according to donor requirements. The aim of this joint process is to present a catalogue of projects to be funded and to spend funds more strategically and efficiently and with greater accountability.[121]

The CAP is complemented by so called **pooled funds** which can be accessed through humanitarian actors managed by the United Nations – Office for the Coordination of Humanitarian Affairs (UN-OCHA). There are three types of pooled funds:

1. The Central Emergency Response Fund (CERF)
2. Common Humanitarian Fund (CHF)
3. Emergency Response Fund (ERF)

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118 For further information on the CAP see: www.globalprotectioncluster.org/_assets/files/about_us/IASCGN_using_the_Cluster_Approach_to_Stengthen_Humanitarian_Response_24NOV2006-EN.pdf
119 Reliefweb, 2008, p. 16
120 Flash Appeals are usually followed by Consolidated Appeals if the crisis persists.
121 UN-OCHA (2007): CAP Leaflet, www.humanitarianresponse.info/sites/www.humanitarianresponse.info/files/documents/files/5.%20CAP%20Leaflet.pdf

"These funds provide assistance for food, water and shelter immediately following a natural disaster; life-saving nutrition and medical care for babies born in refugee camps; and basic life necessities for those struggling to survive in many of the world's forgotten emergencies."[122]

The **Central Emergency Response Fund** is a trust fund to ensure a rapid response to crises, promoting early action and strengthen humanitarian response in underfunded crises. The CERF cannot be accessed directly by NGOs. Direct access is limited to UN organizations. Nevertheless, NGOs have indirect access as partners of UN organizations. A precondition is the requirement for partnership agreements with the respective UN organizations.

Common Humanitarian Fund (CHF) and **Emergency Response Fund (ERF)**[123] can be accessed directly by NGOs. In fact, the majority of these funds are now provided to NGOs. Both funds are country-based pooled funds. Nevertheless, these funds are not available in every country. CHFs are active in the Democratic Republic of Congo (DRC), Sudan, Central African Republic, Somalia and South Sudan, while ERFs are active in Afghanistan, Colombia, the DRC, Ethiopia, Haiti, Indonesia, Kenya, Myanmar, the occupied Palestinian territory, Pakistan, Syria, Yemen and Zimbabwe. Both funds are under the authority of the respective Humanitarian Coordinator (HC) of the UN-OCHA cluster coordination structure and are administered by Fund Managers. Contact details should be available through the respective UN-OCHA office in the relevant country.

As with cluster-based coordination, the implementation of these planning and funding tools sees a considerable discrepancy between theory and practice. Neither Flash nor Consolidated Appeal approaches ensure a sufficiently speedy rate of project funding. This is especially the case for local NGOs with no reserved funds and which rely on donations to start project implementation. The appeals hardly ensure rapid funding. In general, the process is slow, bureaucratic and not transparent in terms of the division of responsibilities on the ground, conditions for access, templates and the prospects of success. In particular, local NGOs are often unfamiliar with procedures and have limited access to information.

Despite these difficulties, local partner organizations should be encouraged to contribute to the process. Participation in the cluster coordination meetings can improve knowledge of coordination processes and enable access to pooled funds. Furthermore, local NGOs can contribute to strategic planning with their knowledge and experience and providing information on their previous activities. With partnerships with local NGOs being a declared aim of the cluster approach, this approach requires above all the participation of local actors.

122   UN-OCHA, 2012, www.unocha.org/our-work/humanitarian-financing
123   Basic facts on CHF/ERF:
      http://ochanet.unocha.org/p/Documents/CBPF%20At%20a%20Glance%20Sept12%20final.pdf

7 Humanitarian assistance at terre des hommes

Terre des hommes Germany established the humanitarian assistance desk in 1999. After Hurricane Mitch in Central America in 1998, it became apparent that project partners were increasingly affected by natural disasters and armed conflict. The increasing vulnerability of tdh partner countries to disasters triggered the institutionalisation of humanitarian work. Since then, tdh has continuously implemented humanitarian aid projects. In addition to emergency aid, disaster preparedness and prevention projects are implemented to complement the development cooperation with partners.

Since then tdh and its partner organisations have expanded their capacity and expertise in various fields. In view of to the increasing number of refugee and migration movements and the negative effects of climate change in recent years, terre des hommes has further developed its humanitarian work with regard to its own expertise and core competences and concentrated on selected thematic areas. Today, tdh´s four core areas compromise mental health, child protection, education and structural development This chapter outlines the structure of tdh's humanitarian aid at both headquarter and regional level.

7.1 Fundamentals of humanitarian aid at terre deshommes

Emergency relief and projects of reconstruction are governed by a range of norms and humanitarian principles. At the same time, **combined efforts to address the humanitarian-development-peace Nexus** as well as **disaster risk reduction** (DRR) are becoming ever-more important. This can be seen, for example, in a general focus on development, the promotion and preservation of self-organisation by those affected, the stabilisation of local economies and structures, the promotion of participation by the population and long-term preventive measures for reducing the vulnerability of populations at risk.

The overall objective of tdh is to strengthen civil society by facilitating self-help and mutual aid. We encourage the idea of disaster preparedness and prevention through promoting and qualifying local structures and potential actors. The knowledge gained and lessons learnt in this process will contribute to future preparedness, risk-analysis and very concrete measures to be implemented by our project partners. Our core task is to address the specific needs of children after a disaster or during a latent or protracted crisis. Intensive networking will contribute to the on-going qualification and development of our humanitarian assistance provision. Work in the field of emergency relief is performed on the basis of tdh's statutes and its positions concerning development policy. Tdh's work of humanitarian assistance is governed by the following principles:

- The right to help of those affected in emergency situations has to be achieved by lobbying and advocacy and underpinned by tangible assistance.
- Take into account the political, social and cultural context of crises.
- Work is to focus on strengthening the resilience of those affected (not victims, but survivors).
- Reduction of the vulnerability of at-risk populations.
- The local civil society, its networks and local economies have to be part of the process and must be strengthened.
- The existing capability to deal with crises and disasters must be strengthened (it is generally underestimated).
- The right to self-determination of those affected has to be guaranteed.
- The tendency to reduce the role of beneficiaries to that of mere recipients of aid and thus creating paralysis and dependence must be avoided.
- The appropriateness and quality of humanitarian aid must be ensured by the participation of those affected.
- The necessary combination of disaster prevention, emergency relief and development has to pursue long-term development goals (sustainability).
- Emergency relief and reconstruction efforts are aimed not only at restoring the initial situation, they are also designed to deal with existing inequalities and the search for solutions.
- The special needs of children in emergencies should be given particular emphasis in compliance with the Convention on the Rights of the Child (CRC).
- Activities in emergencies should be gender-sensitive considering the vulnerability and special needs and rights of women and girls in the aftermath of disaster.

The following approaches form the pillars of tdh humanitarian assistance:

Partner based humanitarian assistance/localisation

Cooperation and partnership with local civil society organisations represents the fundamental element of tdh's work in development cooperation and humanitarian assistance. Local actors are those who primarily act first in emergency situations. They know the local characteristics and circumstances and the real needs of the people affected. Cooperation with local partners therefore makes emergency response much more effective and targeted. In this respect, tdh differs from many other humanitarian organisations since it is not directly implementing projects but through its partners. In addition to the direct contact with local partners tdh's work is characterised by its long-term presence in the majority of regions and the resulting knowledge of social, cultural and economic conditions and access to civil society networks. Tdh pursues an integrated approach to development-oriented cooperation with the aim of continuously increasing the capacity of local structures and promoting first responders.[124] Within the framework of its work, terre des hommes strives for an exchange and dialogue at eye level with actors of local civil society. Local organisations and initiatives should be strengthened in their organisational, methodologi-

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124 This refers to local actors who are resident on site and who can provide humanitarian aid in the event of a disaster.

cal and thematic capabilities and competences. They should not rely exclusively on external concepts and approaches.

An essential element of **localisation** at terre des hommes are the existing long-term partnerships with local organisations. These allow for intensive trust and confidence-building and a common strategic orientation, which takes place independently of project cycles and project funding through regular national and regional partner meetings, continental partner platforms and international delegate conferences within the framework of the terre des hommes co-decision model.[125]

Overall, the tdh partner approach strengthens local ownership and sustainability of the projects. The promotion and capacity development of local civil society actors and the additional participation of affected communities contribute to development-oriented emergency and transitional aid.

Child-centred community approach

As a child rights and aid organisation, the interest of the child is at the centre of tdh's work. Tdh's project work, including humanitarian aid, is determined by the needs and rights of the children. According to the CRC, children's needs must be viewed holistically. In an emergency, it is not only a matter of meeting the immediate needs for their survival, but also of dealing with children as members of society who are able to express their opinions, participate in decision making processes and act as partners in the process of social change and democratisation. Depending on their age children and youth should play an active role in the aftermath of disaster, both in the reconstruction process and in disaster prevention, and become active stakeholders of the processes. Therefore, tdh regards children as beneficiaries whose basic survival and protection needs should be secured, as actors who contribute to disaster relief, recovery and disaster preparedness and as rights holders on the basis of the Convention on the Rights of the Child. This approach focuses on children as legal entities and actors, who should be involved as much as possible and contextually appropriate in project planning and implementation. Tdh places children at the forefront of its activities and connects them to the community as a whole.

Rights based approach

"The core of a rights based approach is to enhance the rights, dignity and resource base of vulnerable communities or sections of vulnerable people so that these become secure and permanent, and make the communities/groups and their future less dependent on external support."[126]

At its core, humanitarian assistance is governed through the humanitarian imperative. Those affected have the right to assistance based on their needs. The foundation is the Code of Conduct. This is complemented by the Sphere Project's Humanitarian Charter emphasising the right to life with dignity. Terre des hommes and its partners follow those basic principles during their activities of immediate humanitarian assistance.

125   See also terre des hommes framework paper localisation
126   tdh/TISS (2005): UGAM: International Workshop on rights of Children in Disaster Situations, Mumbai

People are often denied their rights both during and after emergencies. Mid- and long-term humanitarian activities should follow a rights based approach in order to empower target groups so that they can claim their rights through their own capacities and initiative. Advocacy can represent an appropriate accompaniment to a rights based approach to emergencies. The key is to raise awareness amongst affected people of their rights during emergencies and in general. In addition, the participation and empowerment of communities enables them to secure their rights and claim activities/services from their respective government as well as from international actors. This approach conceives of people not merely as helpless victims but as people claiming their legal entitlements. This makes it much more likely to ensure the sustainability of intervention in the long-term. However, participation is not only a desirable supplement to relief aid, but a fundamental right of the affected people.

7.2   Thematic core areas of humanitarian aid at terre des hommes

Against the background of developments and trends in recent years, particularly with regard to the increasing number of internally displaced persons and refugees, terre des hommes has further developed its expertise and core competences in the field of humanitarian aid, and has focused on certain thematic areas. The four core areas comprise:

1. Mental health (MHPSS – Mental Health and Psychosocial Care)
2. Child protection
3. Education
4. Civil society and structural development

Specific sub-themes were identified in each area.[127]

1. **Mental health** > (1) violence and conflict prevention, (2) psychosocial interventions, (3) trauma therapy/therapeutic interventions
2. **Child protection** > (1) participation of children, (2) community-based child protection, (3) institutional child safeguarding
3. **Education** > (1) early childhood development, (2) school as a place of learning, (3) vocational training
4. **Civil society structural development** > (1) thematic/methodological training, (2) organisational development, (3) quality structure development

In all these areas, forms of child participation (consultative, collaborative, child-led) are implemented as far as the intervention permits. Methodologically, the participation of children is based on established approaches of the partner organisations, which are supported by the terre des hommes Principles of Child Participation[128] and international standards.
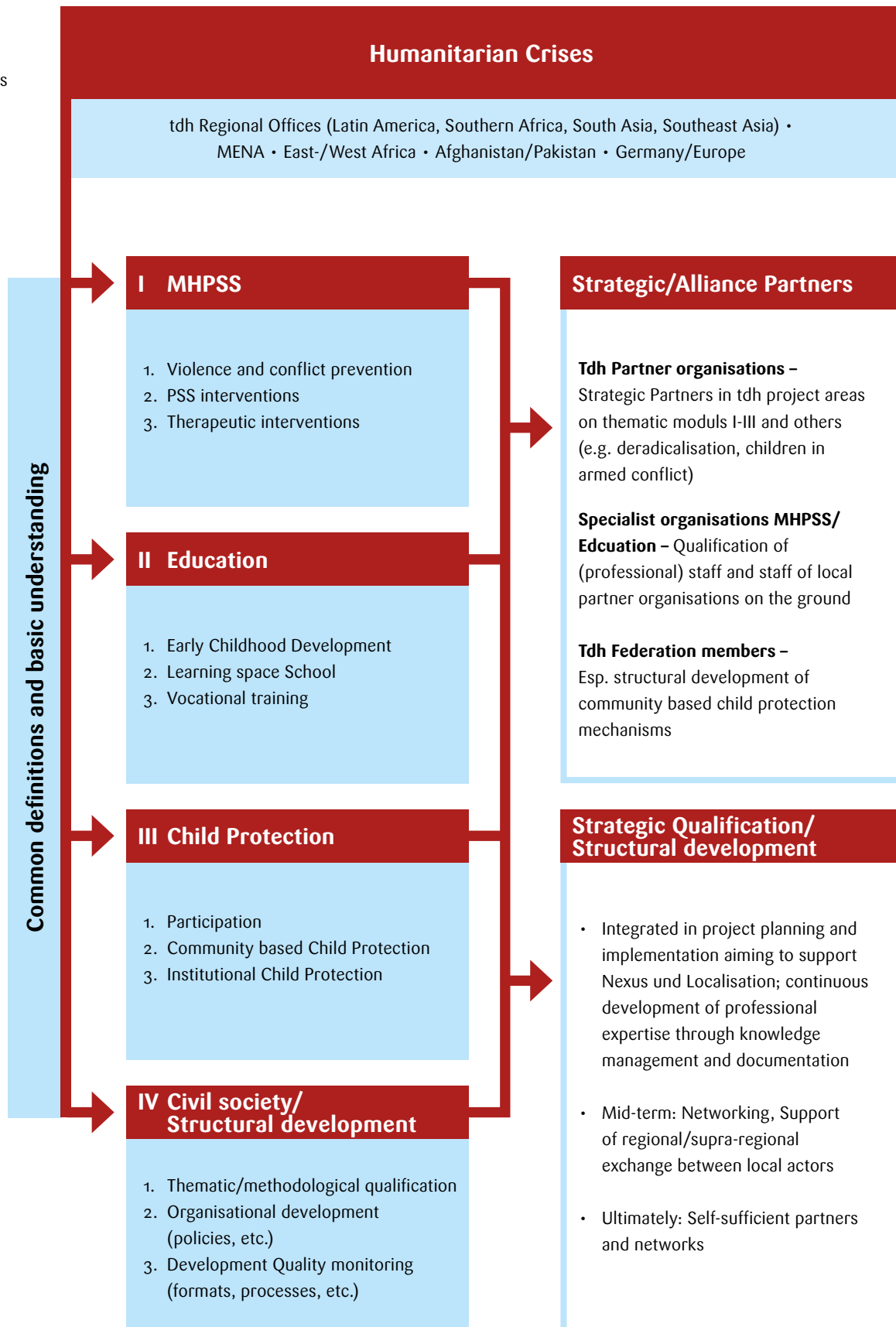
---

127   See also concept paper Flight and Migration and framework paper Localisation
128   Manual/Practical Toolkit on Child Participation:
       www.tdh.de/was-wir-tun/arbeitsfelder/kinderrechte/meldungen/manual-on-childrens-participation

FIG. 9

Thematic
core areas
own design

Humanitarian Crises

tdh Regional Offices (Latin America, Southern Africa, South Asia, Southeast Asia) •
MENA • East-/West Africa • Afghanistan/Pakistan • Germany/Europe

Common definitions and basic understanding

I MHPSS

1. Violence and conflict prevention
2. PSS interventions
3. Therapeutic interventions

II Education

1. Early Childhood Development
2. Learning space School
3. Vocational training

III Child Protection

1. Participation
2. Community based Child Protection
3. Institutional Child Protection

IV Civil society/ Structural development

1. Thematic/methodological qualification
2. Organisational development (policies, etc.)
3. Development Quality monitoring (formats, processes, etc.)

Strategic/Alliance Partners

Tdh Partner organisations – Strategic Partners in tdh project areas on thematic moduls I-III and others (e.g. deradicalisation, children in armed conflict)

Specialist organisations MHPSS/ Edcuation – Qualification of (professional) staff and staff of local partner organisations on the ground

Tdh Federation members – Esp. structural development of community based child protection mechanisms

Strategic Qualification/ Structural development

• Integrated in project planning and implementation aiming to support Nexus und Localisation; continuous development of professional expertise through knowledge management and documentation

• Mid-term: Networking, Support of regional/supra-regional exchange between local actors

• Ultimately: Self-sufficient partners and networks

The thematic priorities are complemented by the component of structural development, with the aim of strengthening civil society actors in crisis contexts and building capacities for humanitarian aid, transitional aid and development cooperation. This is done in close cooperation with international and local strategic partners and allies. Depending on the context and expertise of the project partners, humanitarian needs are also met in other areas of emergency relief and reconstruction, such as temporary food aid, medical care, the construction of emergency shelters or the improvement of livelihoods.

7.3   Structure of emergency relief at terre des hommes

7.3.1   The humanitarian assistance desk

The humanitarian assistance desk is part of the programme department of tdh. Working as a generalist unit, addressing a wide range of issues across all regions, it sometimes even addresses themes not connected to a specific project or program. This can even lead it to deal with aspects of public relations and fundraising. The unit directly coordinates project measures in all project regions in cooperation with the respective regional office so that both are responsible for planning, monitoring and evaluation. Additionally, the desk is responsible for the acquisition of funds in cooperation with the fundraising desk and assumes tasks of the co-financing desk.

7.3.2   The regional offices of tdh

Terre des hommes Germany has five regional offices in Central America, South America, Southern Africa, South Asia and South-East Asia. The different regions all face their own particular problems with regard to disasters. While some regions (as for example South Asia, Central America, and South-East Asia) are regularly hit by disasters and have implemented various projects in the past, others (Sahel, Southern Africa, and South America) have mainly dealt with slow-onset disasters such as droughts. The experiences, knowledge and approaches to the provision of humanitarian assistance of the various project partners differs according to local contexts. To enhance transfer of knowledge and experiences between the regions, Emergency Response Coordinators (ERCs) were introduced to improve the communication, project implementation and monitoring and information transfer.

7.3.3   Emergency response coordinators

Terre des hommes works with a wide range of partner organisations ranging from grassroots action groups to professional multi-mandated organisations with long-standing experience in development and humanitarian aid. The task of terre des hommes is to support the capabilities and capacities of our partners. To fulfil our role in this partnership, terre des hommes has established Emergency Response Coordinators (ERCs) in its regional offices. They are responsible for disaster-related projects, carrying out needs assessments and supporting partner organisations involved in relief activities.

ERCs contribute to the communication of basic principles and practices and the development of skills to implement effective and efficient measures of emergency assistance. Capacities are built on general structures of humanitarian assistance, needs assessments, project planning and monitoring. ERCs contribute to improving the activities of those

engaged in humanitarian assistance by collecting structural information, acting as contact-persons and multipliers for project partners on the ground and ensure criteria-based identification of capable and strategic partners. They provide an information framework that enables a rapid area-based needs assessment together with strategic partners and the wider country team and support of headquarter staff if required.

7.3.4 Strategic partners

In addition, terre des hommes cooperates with strategic partners. This term refers primarily to selected tdh partner organisations with sound experience and background in humanitarian assistance. They are aware of the respective standards and operating methods of the humanitarian system and are at the same time well-anchored and interconnected in their country. Furthermore, they have long standing specific knowledge in the three thematic core areas.

Secondly, the term strategic partners refers to specialised organisations particularly in the areas of mental health and education, which can support structure-building measures by qualifying institutional staff and staff of local partner organisations on the ground. These specialised organisations are integrated as implementing partners in on-going projects or consulted to accompany measures in support of project partners.

Thirdly, other member organisations of the Terre des hommes International Federation[129] are considered strategic partners, particularly in the field of structural development of child protection mechanisms, in which the various member organisations can pool their specific experiences and expertise. Furthermore, they can provide additional resources and access to regions where terre des hommes Germany is less established and vice versa.

Cooperation with various strategic partners at different levels offers the opportunity to document **best practices** and **lessons learned** jointly and in a targeted manner, to further develop or adapt methodological approaches and to share resources. This supports the advice provided by terre des hommes staff or external short-term consultants for humanitarian aid partners.

7.3.5 The International Federation of terre des hommes (TDHIF)

As a member of the International Federation of terre des hommes, tdh Germany cooperates with other member organisations (e.g. in Iraq, Jordan, South Sudan, Columbia, India, etc.). Where members of the Federation are present they are in the position to mobilise aid in their project countries in the event of a crises. In practice, one member of the Federation assumes the *lead* determined by the presence of the Federation members in a respective country. In case of emergency, the various TDHIF member organisations consult each other to exchange information about planned activities and cooperation. This information-sharing mechanism does not replace bilateral or multilateral exchange between the member organisations.

7.3.6   Alliance Development Works

tdh Germany has been a member of the "Alliance Development Works" (Bündnis Entwicklung Hilft, BEH) since 2005. The alliance members include: Misereor, Bread for the World, medico international, Deutsche Welthungerhilfe/German Agro Action (DWHH), Kindernothilfe (KNH), Deutsche Lepra- und Tuberkulosehilfe (DAHW), Plan International. Associated members are Oxfam Germany and German Doctors. All member organisations have specific knowledge and decades of experience in international development cooperation. All work towards both immediate relief of distress and towards long-term change. Their common objective is to fight the causes of need and conflict. In confronting disaster, members are able to pool their energies, thus providing fast and effective support. Another concern of the alliance is public relations in Germany. The alliance reports on the causes of disasters and the fight against poverty.

In an established process, the alliance decides on a joint appeal for funds in major disasters. This alliance enables tdh regional offices to cooperate with local partners from other member organisations in the planning and implementation of relief aid measures. The various members of this alliance could also combine to finance local partner organisations.

7.4   Procedures in case of a sudden-onset disaster

Decisions relating to the implementation of emergency measures in case of large scale disasters are taken as part of a joint process involving the tdh management board, the humanitarian assistance desk and the regional offices in the framework of a common task force. The press department is involved in the public relations activities. Other departments (membership development, finance, general services) are involved as required. The extent of discussion is governed by the scope of the disaster and level of impact on the affected population in the case of large sudden onset disasters such as earthquakes, floods, tropical storms, armed conflict, etc.

8 Project planning and monitoring

The following chapter provides an overview of the processes of needs assessment, planning and monitoring for projects of humanitarian assistance. The needs based nature of humanitarian assistance places the needs assessment at the core of preparatory work supporting planning, targeting and implementation. This chapter outlines a variety of different tools (chapter 8.2.2.5 and 8.2.2.6) applicable not only in the context of a needs assessment, but also for a baseline survey (chapter 8.4.1) and monitoring (chapter 8.4.2). Although the chaos prevailing after a disaster renders a number of the methods unfeasible, they can always be applied in a reduced manner or as part of follow-up projects focusing on rehabilitation and reconstruction work. The tools can also be applied within in the framework of disaster risk-reduction in supporting the information-gathering process whilst planning an intervention.

8.1 Project Cycle Management

What is Project Cycle Management?

- PCM is a method for the **programming**, **identification**, **formulation** (appraisal), **financing**, **implementation** and **evaluation** of projects and programmes.
- PCM is an instrument with which to design and to manage interventions in a more accountable way by **focusing on results and objectives** to be achieved rather than on the activities to be undertaken.
- PCM provides a **consistent approach** to all the components of the project cycle, ensuring beneficiary-orientation, a comprehensive perspective on projects and effective monitoring and evaluation.
- PCM provides a **structured framework** facilitating decision-making and corrective measures to be taken in the course of the project.
- PCM is a set of project design and management tools normally based on the **Logical Framework Approach.**

Project Cycle Management follows a basic formula:

1. **Think –** what is the current situation like, what caused it, who is involved, and what do we want to achieve?
2. **Plan** – how are we going to do it?
3. **Do** – get started!
4. **Review** – what went well, what went wrong and most importantly what can we learn for future projects?
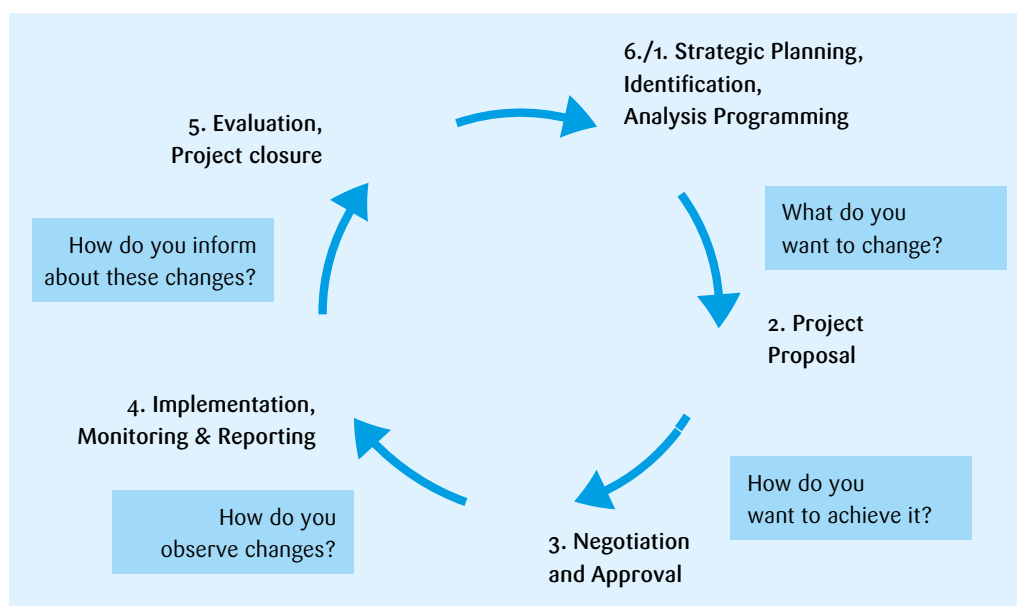
Why can and should PCM be used for humanitarian operations?

1. Not all operations funded by 'Humanitarian Aid' donors are immediate emergency operations. The greater amount of time available for some interventions (e. g. disaster prevention) mean that greater **emphasis can be placed on planning and operation design**, in order to increase the quality of the intervention and to act in a more results-oriented manner.
2. **Even emergencies require a minimum of planning**. In the short time available, greater emphasis can be placed on the PCM principles i. e. taking into account the potentials and the points of view of other stakeholders and actors. Other issues influencing the success of the operation should be analysed during the needs assessment phase.
3. The donor **is accountable for the money spent. Therefore the donor must obtain a clear overview of intended results and possible (also unforeseen) impact of the various operations**. The donor must also be clear as to the management techniques and processes employed by the project partners.
4. Most donors want **to learn from previous experiences** and to integrate these lessons into new programmes and operations.[130]

FIG. 10

The Project Cycle

Hempel / Queiroz De Souza, 2013 a, p. 3

6./1. Strategic Planning, Identification, Analysis Programming

What do you want to change?

2. Project Proposal

How do you want to achieve it?

3. Negotiation and Approval

4. Implementation, Monitoring & Reporting

How do you observe changes?

How do you inform about these changes?

5. Evaluation, Project closure

130   ECHO (2005): ECHO Manual Project Cycle Management, Freiburg, p. 1

The six phases of the Project Cycle

1. **Strategic planning, identification, analysis, programming:** every project requires the development of an agreed strategy based on:
   - The capacities of the project organisation
   - The context in which the organisation is working
   - Needs of the people the organisation seeks to assist
   - Possible or given (funding)-opportunities

   Whilst establishing a strategy, different **analyses** (stakeholder, needs, and problem analysis) are undertaken and ideas for specific actions are developed.
2. **Project proposal:** the project team formulates a specific project intervention and submits a proposal to the donor. The donor appraises the submitted documents.
3. **Negotiation and approval:** the donor decides whether to fund the proposed project. If the project gains approval, a formal agreement is signed between the applicant organization and the donor.
4. **Implementation, Monitoring and reporting:**
   - The resources agreed upon are used to *achieve the purpose of the project* and *to contribute to the achievement of the overall objective* of the project proposal.
   - Progress is subject to constant assessment (= monitoring) to enable adjustment to changing circumstances and ensure that planned results/changes are achieved *(Good monitoring can already lead to the identification of new projects/needs).*
   - Final narrative and financial reports (interim and final) are written during the course of the project implementation. The final narrative report has to point out lessons learnt.
5. **Evaluation:** The implemented project is evaluated (internal or external). This should focus on improving the agency's strategy and future performance
6. **Strategic planning, identification, programming:** The lessons learned of your project influences the planning of follow-up projects and adaptation of your strategic planning.

Every project aims to change certain conditions/situations. The change you want to achieve is the most relevant starting point for the project cycle. It guides you through the whole project cycle following the questions:

- **What do you want to change** (guiding your strategic planning and analysis processes such as needs, risk or stakeholder analysis)?
- **How do you want to achieve the change** (formulated in the planning matrix/Logframe of your project proposal)?
- **How do you observe changes** (you monitor the project implementation to allow the achievement of you project objectives and steer the project accordingly and by that observe the changes related to your project)?
- **How do you inform about changes** (you write down the progress of change in your project/progress/evaluation reports describing positive as well as negative changes and obstacles oriented towards your project planning matrix)

Applying the PCM concept, you should consider the following complementary aspects:

- Make a proper **analysis** of the problem through needs assessment, problem analysis, stakeholder analysis and obtain the status quo at the very start of a project through a baseline study. This will provide the data foundation with which to assess the before and after of your project.
- Take care that your planning matrix is logic and coherent (compare chapter 8.3.2ff.)
- **Monitor** the progress of your project and achievements of project results regularly and not only at the end of the project. That will help you to steer and adapt your project if necessary. Should the project require modification, always communicate with the respective donor.
- Develop a detailed **working plan**. Which activities need to be implemented at which time? Do certain activities need to be finished before other can begin? Do they depend on each other in order to achieve certain results, etc.?

The following chapters provide a short overview of how to focus your planning on results and monitor your activities.

8.2   Analysis

8.2.1   Stakeholder analysis

A stakeholder analysis helps to identify key actors (people, groups of people, organizations, institutions, etc.) relevant to project planning, needs assessment, baseline survey or monitoring and evaluation. A stakeholder analysis:

- Identify people, groups, organizations and institutions which could act as contact or interview partners within the framework of needs assessment, a baseline survey, monitoring and evaluation.
- Identify people, groups, organizations and institutions that will influence your project/ programme in a positive or negative way and that might be affected by your initiative in a positive or negative way.
- Anticipate the kind of project/programme (positive or negative) these groups will have on your initiative.
- Develop strategies to obtain the most effective support for your project/programme and reduce any obstacles/risks to successful implementation of your project/programme.

The stakeholder analysis can be conducted either prior to a needs assessment or in the early stages of the planning process. You might revert to your stakeholder analysis during monitoring and evaluation in order to monitor results and changes of project activities. Four steps are required to conduct a stakeholder analysis (compare figure 11)

Step 1: Identification of stakeholders	• Who is involved in and affected by the project/intervention? Which processes will be influenced?
Step 2: Representing the relationship	• Internal and external stakeholders, intensity of relationship, importance and possible influence
Step 3: Assessment of impact	• Comparison of the expectations and interests of different stakeholders
Step 4: Deriving measures	• Assessment of risks, threats and opportunities, development of implementation strategies, planning and communication, and participation in the project

A stakeholder matrix can help to structure your analysis:

Stakeholder	Stakeholder interest(s) in the project	Assessment of impact	Potential strategies for obtaining support or reducing obstacles / risks
Ministry of Health	• Keep control • Achieve government's targets	• Supportive regarding bureaucracy • Less supportive regarding data	...
Community leaders	...	...	...
Hospital	...	...	...

Within the project team you can identify people, groups, organizations and institutions that might influence or be influenced by your project and list them as stakeholders in the matrix above.

Having identified all stakeholders, you then need to identify the specific interests they might have in your project, e. g. what might be the project's benefits to the stakeholders: are there any changes the project might require the stakeholder to make; and are there activities that might cause damage or conflict for stakeholders? List all possible interests in the second column.

Consider the following questions in the third column of the stakeholder matrix: how important are the interests of the stakeholders to the success of your project? How likely is it that the stakeholder will contribute to the success of your project and what could be the impact of a negative response of the stakeholder to the project? According to this you can classify the stakeholders according to the chart below.

Classification	Management Approach Techniques
The Ally	The ally is supportive of the project. Be supportive of them in order to maintain good relations and productivity
The Instructor	The instructor has best intentions in mind but dome of their behaviour may seem over bearing and may get in the way of progress. It is best to treat them with respect while maintaining caution. You may need to check and balance their work
The Yes Man/Woman	The Yes man/woman is of little help to a project because they tend not to deliver on their commitments. it is best to have a backup plan when dealing with this behaviour as they are unreliable.
The Blocker	The blocker is dangerous when your project id dependent on their production. It is best to have a backup plan or find another individual who you can rely on. If this is not possible, use persuasive techniques to win their support.
The Fence Sitter	The fence sitter is basically useless and of no value. it is best to have a backup plan or replace this individual with someone you can rely on. it is very difficult to win their support.

Finally, discuss what you can do in order to ensure stakeholder support and reduce opposition or negative effects on your project activities. How do you need to approach the stakeholders? What kind of information do they need? How important is it to involve relevant stakeholders into the planning process? Are there third groups that might influence the stakeholders identified and by that affecting your project? After discussing these questions, draw up your strategies to get support from stakeholders and how to reduce risks to your project in the fourth column.[131]

You can also adapt the matrix according to your needs assessment and baseline survey. Which stakeholders might be relevant to talk to? What are their possible interests in humanitarian interventions in general and in a certain sector? Which tools and methods could be applied in order to gather information from certain stakeholder groups (e. g. interviews, group discussions, participatory approaches, etc.)?

Other tools with which to conduct a stakeholder analysis include the Power-Interest Matrix, the Importance-Influence Matrix or the Participation Matrix.[132]

131 www.odi.org/publications/5257-stakeholder-analysis;%20https://www.shareweb.ch/site/DDLGN/Documents/
SDC%20PED%20Network%20-%20Basic%20Tools%20No%2001%20-%20Stakeholder%20Analysis.pdf

132 DFID (2002): Tools for Development: A handbook for those engaged in development activity, London, http://web
archive.nationalarchives.gov.uk/+/http://www.dfid.gov.uk/Documents/publications/toolsfordevelopment.pdf

8.2.2   Emergency needs assessment

The following chapter focuses on the planning, performance and analysis of an emergency needs assessment including data collection. The chapter summarises major guidelines on needs assessment from the IFRC and UN[133] as well as Sphere Standards and the Good Enough Guide of the Emergency Capacity Building Project.[134] Describing an ideal situation, not all the steps outlined in this chapter are either feasible or possible in the given context.

8.2.2.1   Basic framework

Although the immediate aftermath of a disaster can be highly confusing, an immediate response is paramount. Despite the pressure of time, a thorough needs assessment represents the key to achieving a coordinated and relevant intervention. It is important to take sufficient time for a careful assessment in order to avoid poorly thought-out activities.[135]

The main objective of a needs assessment is to create a broad picture of the needs of the community, their resources and the various stakeholders present in the area. After a disaster, needs are likely to arise in following sectors:

- Protection from violence and/or harassment.
- Shelter.
- Food and fuel.
- Water and sanitation.
- Medical care.
- Social services.

Although not comprehensive, this list reflects the general sectors in which humanitarian assistance is usually implemented. Nevertheless, do not make assumptions about people's needs by yourself or your past experience. **Let the people tell you!** [136]

Always consider the resources available to cover needs. These include both internal organizational resources as well as external resources for your assessment and the resources available to local people in addressing their needs. This may include:

- Human resources.
- Natural resources.
- Infrastructural resources.
- Institutional resources.
- Financial resources.
- Information resources.

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133 IFRC (2005): Guidelines for emergency assessment, UNHCR (2006): The UNHCR Tool for Participatory Assessment in Operations, WFP (2002): Emergency Field Operations Pocketbook

134 www.acaps.org/sites/acaps/files/resources/files/humanitarian_needs_assessment-the_good_enough_guide_2014.pdf

135 Davis, J./Lambert, R. (2002): Engineering in emergencies. A Practical Guide for Relief workers, Warwickshire, p. 59

136 Davis, J./Lambert, R., 2002, p. 60

8.2.2.2 Assessment process and assessment cycle

Assessments are carried out at different stages and levels of an emergency as well as the project cycle. As the following figure would suggest, the assessment process is not always a linear progress but might be required at different stages or happen parallel.

FIG. 12

The assessment process

after: IFRC, 2005, p. 11
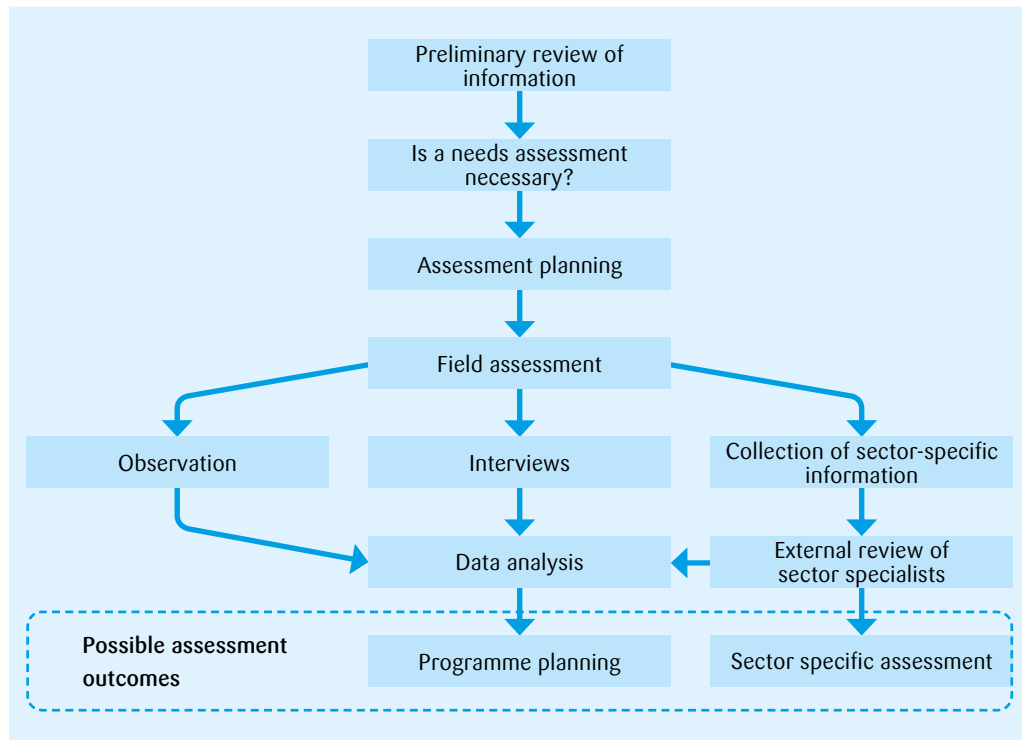
8.2.2.3 Types of emergency needs assessment

The main objective of a needs assessment is to create a broad picture of the needs and vulnerabilities of the community, their resources and their capacities. It needs to be complemented by a stakeholder analysis. The most common types of assessment are:

Rapid Emergency Assessment: conducted during the first days following the emergency (ideally during days 1–3 up to one week). This assessment should provide the basis for delivering immediate emergency assistance. Assessment and planning must be based on sex and age disaggregated data from the start. The results of the Rapid Emergency Assessment should determine the main needs, the exact nature of the intervention, whether your organization has sufficient capacity to conduct the emergency response and whether external financial resources are required.

Detailed Emergency Assessment: conducted over the next 1–3 weeks, a detailed Emergency Assessment gathers more specific and comprehensive information on the emergency and the proposed response. Depending on the scale of the emergency, the area affected, the complexity of issues and the amount of resources available, a detailed assessment could take up to several weeks or faster.

Continual Emergency Assessment: after your organization has become operational based on the results of a rapid and a detailed assessment, a continual assessment accompanies your activities as a constant process of update of information to help you to identify changes and react to them. There is no general time limit to a continual assessment. This type of assessment should be seen as a continuous process of review and update within an overall programme of overall monitoring.[137]

Usually the different types of assessment follow each other as shown in the figure below. This should illustrate that an assessment is not an end in itself and not a single event but a process.

FIG. 13

Types of assessment
Hempel / Queiroz De Souza,
2013 b, p. 15
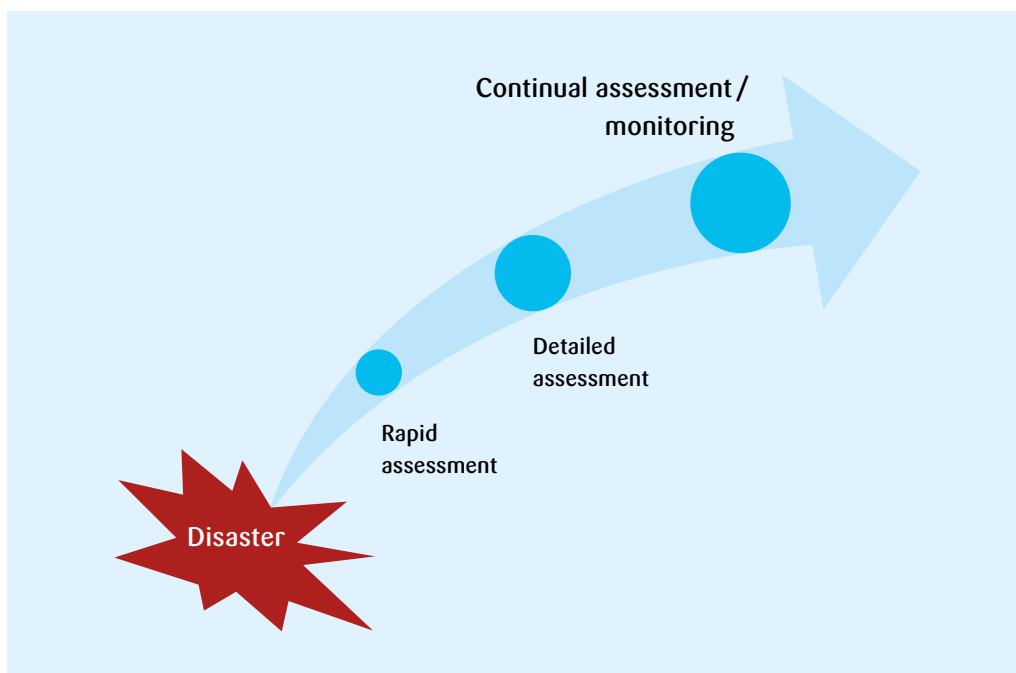
The following table illustrates the features of each of the types of assessment.

TAB. 5

Features of
assessment

after IFRC, 2005, p. 20 f.

	Rapid assessment	Detailed assessment	Continual assessment
Time	About one week	About one month	Information collected throughout the operational period
Access to information sources	Limited, No time to visit all locations and talk to full range of informants; security and/or safety limits movement and access to people	Possible to visit enough locations and interview full range of informants	Full access
Typical information sources	Secondary information, local services (e. g. health, water, etc.), NGOs, government, affected population/household visits (small sample)	Secondary information, full range of informants	Secondary information, selected informants, indicators
Importance of assumptions	HIGH Insufficient time to gather full information, need to make assumptions based on previous experiences, insight knowledge	LOW Sufficient time to interview full range of informants	MEDIUM Assumptions based on indicators and informants which can (and should) be verified by other sources
Type of assessment team	Experienced staff (with generalist knowledge), and background on emergency aid and/or a certain relevant sector (e. g. health, water, protection, etc.)	Experienced staff (with generalist knowledge), supported by specialists	Project staff performs activities

8.2.2.4 Assessment planning

Assessment fatigue describes the phenomena when many agencies conduct assessments in a disaster region. People often become frustrated as they are expected to reply to the very same questions about their needs with often no effective change to their current situation. This not only offends people's dignity and right to assistance, but means that your assessment produces are unlikely to yield useful and relevant information IFRC, 2005, p.16

Before starting a needs assessment, the following basic questions should be clarified and basic preparations made. First of all, clarify whether an assessment is needed or not. Following factors might govern your **decision to conduct an assessment**:

- A shock, sudden change has occurred (e.g. natural disaster, outbreak of violence, etc.).
- You think an emergency might occur in the future (e.g. political instability, drought, etc.).
- You need more information about an existing emergency.

On the other hand, certain factors could influence your decision not to conduct an assessment:

- Access to the affected area is impossible.
- Existing information is adequate (e.g. assessment reports from other agencies).
- The high number of agencies in the area conducting assessments raises the danger of generating "assessment fatigue" (please refer to box 12) among the affected population.

Conduct a **preliminary review of secondary information** to support your decision as to whether to conduct an assessment. Secondary information/existing data can include:

- Field assessment reports from other organizations.
- Media reports.
- Socio-political and socio-economic, historic studies and research reports.
- Technical surveys from (I)NGOs, government ministries, universities, etc.
- Census data.
- Meteorological data.
- Maps.
- Eyewitness accounts (from people who have recently come from the affected areas).
- Exchange with experts on the affected area.

Review the data defining following issues:

- Nature of the emergency.
- Urgency of the situation.
- Gaps in your knowledge.
- The capacities of your organization in the light of above issues.

If you decide to conduct an assessment, the secondary information and defined issues provide the basis for formulation of the **objective of your assessment**. The major question in this context is: "**why do you want to do an assessment?**" Then discuss the objectives of the assessment, the questions you want to answer and the activities you need to perform, e.g. for the case that you have decided to focus on a certain sector of intervention. Be realistic about your own capacities and experience. The objective of your assessment could determine the type of assessment (chapter 8.2.2) you decide to conduct.

It is important to **coordinate your activities** with other organizations, government ministries and other stakeholders in order to avoid assessment fatigue and duplication of work. Should you have limited staff capacities or expertise, you can either consider making use of external expertise and/or support or a joint assessment together with other organizations/stakeholders.

An important aspect to be considered in this context is the establishment of an **assessment team** and its exact composition. This team should be responsible for the full process of the assessment governed by terms of reference formulated according to the objectives of your assessment. A team leader should be designated. The assessment team can consist of:

- **Generalists** – one or more person(s) with experience with needs assessments (in the best case in the context of emergency assistance) but not necessarily with a specific technical background.
- **Specialists/experts** – one or more person(s) with specific experience, knowledge and skills.
- **Multi-disciplinary** – a group of generalist and specialists drawn from different relevant sectors.[138]

After defining the team there are certain basic preparations you should make:

- **Collect as much secondary information as you can** obtain and conduct a detailed review. The kind of secondary data you can gather has been outlined above
- **Make a list of people you intend to consult** such as government officials, staff of aid organizations, affected people, certain vulnerable groups (e.g. women, children, elderly, etc.)
- **Identify the areas you plan to visit**. As it is hardly possible to visit all areas after a disaster, try to use secondary information for the selection based on following criteria: (1) the area and/or population that is directly affected (e.g. through natural disaster, conflict), (2) the area and/or population indirectly affected (e.g. areas economically affected through natural disaster) and (3) the area and/or population unaffected or minimally affected (no significant impacts, helpful as comparison group)
- **Compile an initial checklist just for the assessment you conduct:** remember that every emergency and its respective context is different. The checklist should include: (1) questions to be asked, (2) methods of collecting information, (3) informants, (4) locations to be visited, (5) a clear division of responsibilities within the assessment team

138 IFRC, 2005, p. 15 ff.

In summary, consider the following preliminaries before rushing to the field for an assessment:

- Is an assessment necessary?
- Analyse secondary information/existing data.
- Define the objectives of your assessment.
- Consider your own capacities/experience with regard to your assessment planning.
- Set up an assessment team.
- Consider the use of external expertise/support (e. g. through specialists).
- Coordinate your work with other (I)NGOs, relevant government bodies / ministries; you might even think about conducting joint assessments with other organizations / stakeholders.
- Prioritise areas/locations to be visited.
- Make a list of people you plan to visit.
- Choose and design data collection methods and formats (see below section).

Consider practical requirements such as transport, accommodation, access, etc.

8.2.2.5 Methods for the collection and analysis of information

A number of different methods exist with which to collect the information needed to perform your assessment. This section outlines a selection of basic methods to this end. These methods are not only applicable to emergency assessments but can also be helpful in gathering in-depth information in the framework of planning and monitoring development interventions. Before going into detail about the different methods, we shall cover some basic principles for your field work.

Guidelines and principles for your field work

There are some basic principles you should follow during the field work:

- **Consultation with the affected people is essential** – leave people the freedom to explain the situation in their own words and time. The inclusion of local opinion is vital.
- **Always explain the objectives** of your assessment to your informants.
- **Think about the timing of field visits**, avoid times when people are busy, consider seasons (e. g. seasonal migration), celebrations or holidays.
- **Consider the needs of special groups** such as men, women, children, elderly, etc.
- **Consider the reliability of data and information**: it could prove to be highly subjective or reflective of unsubstantiated rumours.
- **Consider bias**, take into account the perspective of your informants and yourself.
- **Consider interests of marginalised groups** – whose voice is not being heard and why?
- **Look for changes and trends within the affected society** and try to understand the underlying causes for those changes.
- **Watch out for the unexpected** and be prepared that your assumptions might be challenged.
- **Consider the impact of issues on the society as a whole:** for example, HIV/AIDS can also have social and economic consequences.[139]

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139 IFRC, 2005, p. 35 f.

Whilst collecting data try to analyse, discuss and reflect on the collected data as early as possible. This helps to ensure that you focus on relevant data and at the same time, avoid collecting too much unnecessary data. Evaluate and if necessary adapt the methods you apply. You might run a pre-test for the usage of your method, even if it is only one day. Afterwards, adapt it to your needs and the reality in the field. The following guidelines can help you to organise your data during the assessment:

- **Agree on responsibilities** in the assessment team.
- **Plan together each day's activities** and distribute the tasks and roles according to the pre-agreed division of responsibilities.
- **Use and update your methods of data collection** on a regular basis and adapt the methods in case you find them insufficient.
- **Cross check you information**, i. e. compare information from different sources.
- **Stop collecting data when sufficient data has been obtained,** thereby avoiding redundancy.
- **Share your findings** with key stakeholders or even communities/target groups in order to obtain their feedback.[140]

There are several techniques you can apply in order to gather information. The following section outlines the major applicable methods.

Observation

Observation is the most basic and easy-to-use method of gathering information in a short space of time. Under certain circumstances (e. g. limited access, security reasons) it might be the only possible method. It can be easily combined with other methods such as inter-viewing. Take a walk around the area to familiarise yourself with the local context. Arrange for local people to show to you the objects of their concerns or the situation in which they find themselves e. g. let them show you the local water source or the staple food and do not rely on reports alone. Familiarise yourself with the prevailing local conditions by e. g. tasting food, spending time in communal areas (e. g. markets, shops, etc.) and talking to people informally.

Observation can help you to cross check information. If you have been told that all the livestock died during the drought and during a walk through the village you come across a large herd of livestock this might not immediately contradict the information you have gathered but leads you to follow-up questions: "to whom do these animals belong?", "Why did they survive the drought?", etc. Try to walk together with local people during your observations as informal discussions builds trust and provides information. Be curi-ous! If feasible you can take photographs and make notes of your major observations afterwards. Remain cautious during observations. Security comes first.[141]

140 Davis, J./Lambert, R., 2002, p. 72
141 IFRC, 2005, p. 41; Davis, J./Lambert, R., 2002, p. 73

Interviews

Interviewing is one of the major methods applied to obtain information. It can provide specific information relevant to the objective of your assessment. Interviews can be conducted with individuals or groups. You can focus your interviews on certain aspects, e.g. in the framework of household, livelihood or sector interviews. There are different types of interviews:

Individual or key informant interviews – three reasons can govern your decision to conduct individual interviews: (1) you are searching for specific and technical information from professionals, government employees, health workers, etc.; (2) you would like to talk about sensitive issues which are not appropriate to be discussed in groups (e.g. sexual abuse, discrimination against women, etc.) or (3) you do not have sufficient time to organise a group interview. The term 'key informant' refers to people with specific knowledge or expertise and can include farmers, community leaders, religious leaders, health workers, government officials, women, children and youth, staff from NGOs, etc. Although you might have a specific motive in talking to key informants, consider that they are not always familiar with all aspects of their subject and can also provide information beyond their specific knowledge. It might be advisable to begin the interview with a focus on general topics and go into specific details later in the interview.[142]

General group interviews/discussions – this method allows interaction within a group of people in a debate-style atmosphere. It is easy to cross check information immediately during the discussion. Group interviews/discussions are helpful if you want (1) to gather information on a wide range of topics or (2) obtain in-depth information on a certain issue. The constellation of the group depends on the kind of information you need. In case of wide-ranging topics, a heterogeneous group (people with different backgrounds), is most feasible. If you are looking for in-depth information, a homogeneous group (people with similar backgrounds) is helpful. The method requires intuition regarding the handling of groups. You may encounter a range of behaviour from shyness and silence to dominance. The art of a good group discussion is to create a relaxed atmosphere in which everybody feels free to raise his points. You need to seek the information from the more silent participants and to 'manage' dominant/talkative individuals.[143]

Livelihood group interviews – livelihood group interviews can be very helpful for your assessment, as livelihoods form the basis of the existence of people and communities. In the best case you should arrange for separate interviews with representatives of each livelihood group. You can define the livelihood groups on the basis of secondary data, observations and individual or general group interviews. Each group requires a minimum of five people, focussing on extremely poor and vulnerable groups. The objective is to gain information on the capabilities, assets and strategies of certain livelihood groups.

142 IFRC, 2005, p. 44
143 IFRC, 2005, p. 42 f.

After beginning the discussion about life in the community in general, you can continue to discuss detailed questions about their livelihood. Let them explain their livelihoods, their recent development, their sources of income (quantify as much as possible!), the reasons for changes in livelihood/sources of income. Try to ascertain and compare the past and present situation and identify gaps where people are unable to compensate for their loss of income.[144]

Household interviews – in a fashion similar to livelihood group interviews, household interviews should be part of every assessment as they provide the opportunity to gather first-hand experience the living conditions of households/families. They also provide the possibility to talk to women and children. Topics for discussion should include:

- Housing conditions.
- Diet.
- Water source and usage.
- Health issues.
- Assets sold.
- The role and responsibilities of women (> women headed households, abuse, discrimination, etc.?).
- Children's living situation (> child headed households, orphans, abuse, educational situation, etc.).
- The size and composition of a typical household (no. of children, relation male/female, total family size, elderly/relatives living in the household, etc.).

Sector interviews – sector interviews can help to gather sector-specific and technical information. In this context you can conduct interviews with key informants from a relevant sector. For example if you need information on the health sector, try to consult with the Ministry of Health, local clinics and doctors, community health workers, midwifes, traditional healers, staff of (I)NGOs working in this sector, community representatives (esp. women), etc. Try to contact as many informants from the selected sector as possible. When requiring a rapid assessment, focus on the sector information relevant to the most pressing issues. In case a respective specialist is part of your team, he/she can conduct the interviews.[145]

Questionnaire surveys – while interviews mainly follow semi-structured key questions aiming at obtaining qualitative information, questionnaires enable the collection of quantifiable data which can be analysed statistically. Questionnaires can generate a significant volume of data in a comparatively short time. It needs special expertise and skills to design a good questionnaire and analyse the collected data. A quantitative survey needs a greater number of trained staff than quantitative interviews, at least for the time of data collection. Existing guidelines usually provide sample questionnaires. Questionnaires might be also helpful in documenting the progress of your project. Some basic principles require observation while developing a questionnaire:

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144 IFRC, 2005, p. 51. Additionally you can also consult following document on how to conduct market surveys: Food Economy Group/Save the Children (2008): A Practitioners' Guide to the Household Economy Approach.

145 IFRC, 2005, p. 59 ff. Here you can find further sector checklists and suggestions for key informants.

- Questions should be easy to use/understand and easy to analyse.
- Questions should be ordered logically, try to move from the general (e.g. sex, origin, family size, etc.) to the particular.
- The layout should be clear with sufficient space for writing.
- Mix simple closed questions with few open questions for verification.[146]

Interviews represent a major tool in understanding the situation and problems that people are facing. While some problems might be obvious through observation (e.g. destroyed houses), other issues might be less obvious (e.g. land issues in case of destroyed housing, etc.).

Select your informants from different parts of the affected society including outside observers (e.g. teacher, health workers, etc. from other areas). Consider the context in which you are working. Community and information structures can differ significantly.

When conducting the interview, do not begin with questions focusing on problems. Start the conversation with general issues about the situation and life in the community. This facilitates the discovery of positive issues and generates a more trusting environment in which to conduct the conversation. Concentrating on problematic issues from the very beginning could provoke the interview partners into presenting 'shopping lists' of needs instead of reflecting on their own potential. It could also restrict the scope of information which you will gather.

It is important to reflect on local coping strategies. Integrated deeply into daily life, such mechanisms often do not appear relevant or important, and are neglected. Indeed, some coping strategies might even be illegal or be perceived as negative. This makes people reluctant to speak about them. Finally, do not rule out the possibility that people withhold information on purpose in order to receive advantages from relief activities.

The following section provides a few guidelines for conducting interviews:

146 Davis, J./Lambert, R., 2002, p. 78

Before the interview:
- Select appropriate interviewers considering age, sex, ethnicity, social status, language, etc.
- Identify key issues you want to discuss, be clear about the objective of the interview and develop guiding questions.
- Select appropriate informants representing the profile of a population/community.
- Keep low profile and act in accordance with people's schedule/emergency situation.
- Do a pre-test, conduct a few test interviews and review the approach and guiding questions.
- Try to keep interviews short (e.g. individual interviews 45 minutes, group interviews 2 hours).

During the interview:
- Start the interview with appropriate greetings, introduction and an explanation of the purpose of the interview.
- Observe both verbal and non-verbal communication.
- Start with general questions, let the informant start to describe his situation and what he feels is important.
- Use open questions (who? why? what? where? when? how?).
- Avoid questions that provoke a simple answer or lead to certain reply. Instead of asking "is the food supply adequate?" say "Tell me about your food supply."
- Avoid giving advice; you are there to learn and not to teach.
- In the best case, one team member takes the notes while the other one asks the questions. If this is not possible make notes right after the interview. A duplicate book might be helpful in note-taking, as copies might be needed.
- Use literal / verbal quotations in your notes.
- Clarify issues by paraphrasing, e.g. "Did I get it right/What you mean/What you have said – is that…", etc.

After the interview:
- Check your notes together with the other team members. In case note taking was not possible, sit together and take notes right away.
- Discuss your observations and if you have different perceptions, opinions, etc.
- Discuss the course of the interview: which questions were asked in a good way, which questions revealed interesting and relevant information?

IFRC, 2005, p. 45 f.; Davis, J./Lambert, R., 2002, p. 73 f.

8.2.2.6 Tools for assessment and monitoring

Several tools can complement the major methods of assessment. They are not only helpful in the context of an assessment but also in monitoring your project progress and activities or documenting the impact of your project. The need to identify what is working and what is not working, or the proper monitoring of project activities is often neglected during an emergency response.

The following chapter outlines a number of major tools for assessment (and monitoring). Depending on the objectives of your assessment and the prevailing circumstances (e. g. available time, contacts you could establish, etc.) you should apply certain tools in order to complement your interview and/or groups discussions.[147]

Daily calendars

The simplest method of eliciting basic information is to let people describe how they spend their day and how much time they spend on each and every activity today and in the past. Let participants describe a typical day providing as much details as possible. For example, if they spent four hours collecting water, a task which previously required two hours, this might indicate a problem of water availability. The same applies to the collection of firewood. A greater time spent collecting wood could indicate a problem of deforestation. You can conduct this exercise during household interviews trying to carry out separate exercises e. g. with men, women, children or elderly.[148]

Seasonal calendars

The preparation of a seasonal calendar aims to document certain events and/or regular patterns of life over a year. This tool can be especially informative in agricultural societies, as it helps to identify so-called hunger gaps (usually before harvest time), the timing of sowing, planting, harvesting, seasonal incidents such as monsoon rains, dry seasons, etc. It might even help to outline food availability and also provides the opportunity to discuss how people cope with such seasonal gaps. Those traditional methods could be taken up for project planning.

Seasonal calendars could also be useful in the coordination of your activities with the local schedule. For example, setting up village committees may prove impossible during the growing season, as the majority of the villagers will be working in the fields. It can also indicate the best juncture at which to distribute food or seeds in order to support village activities. Never ignore the general schedule and workload of people; to do so could jeopardise your own activities.

147 For further basic tools and details refer to the following publications, which are also available on the internet:
   – IFRC: Guidelines for emergency assessment.
   – NGO-Ideas: "Tiny Tools". Measuring Change in Communities and Groups. An Overview.
   – Emergency Capacity Building Project: The Good Enough Guide. Impact Measurement and Accountability in Emergencies.
   – WFP: Emergency Field Operations Pocketbook
148 IFRC, 2005, p. 73

You can conduct this activity during livelihood group interviews or discuss it during key informant interviews. Be sure to include agricultural, climatic and socio-cultural (e. g. religious celebrations, festivals, etc.) and political (e. g. public holidays, school holidays, elections, etc.) events in this consideration. Try to compile all information in a single calendar with an easy overview. This can be used as the basis for discussions aiming at identifying changes (e. g. in the length of planting seasons, etc.).[149]

FIG. 14

Seasonal calendar
IFRC, 2005, p. 74
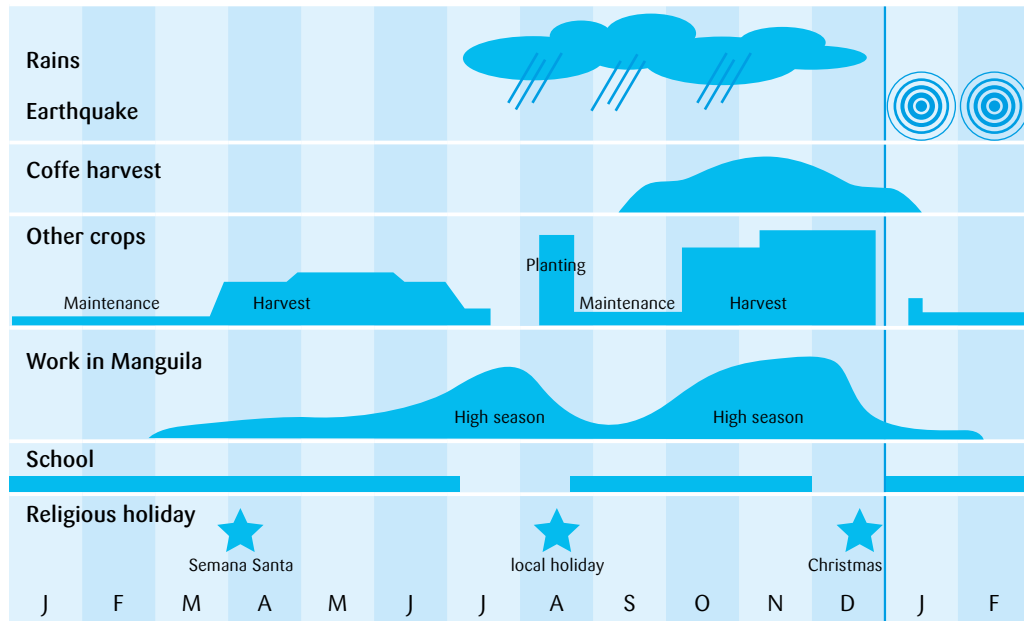
Historical timeline

The historical timeline helps to understand the recent history of a region. It permits the identification of the main events affecting people's lives which are then located on a linear timeline in chronological order. The objective of this exercise is to fill the gaps between these major events with other significant events, both positive and negative in character. It is important that discussion of these events focus on their community impact, how people coped/failed to cope with the consequences of the events and how they affected their capacities and assets. This will enable you to gather further information regarding their current level of vulnerability. This tool can be applied during general group interviews; wherever possible, with a heterogeneous audience including representatives from different groups.[150]

FIG. 15

Historical timeline
after: IFRC, 2005, p. 75
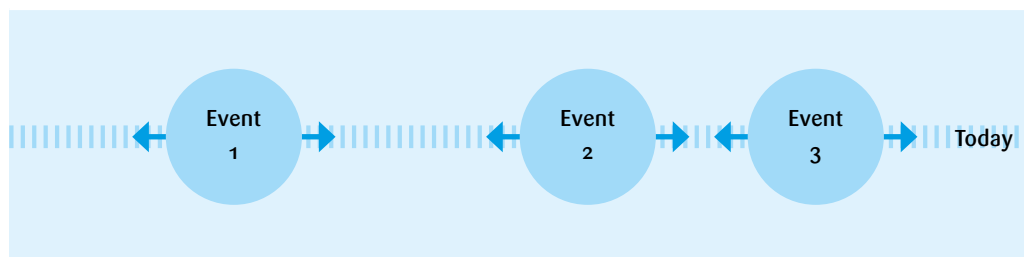
149 IFRC, 2005, p. 74 f.
150 IFRC, 2005, p. 75

Lifeline/quality of life curve

Another tool focusing on analysing trends and developments is the lifeline. In a manner similar to the historical timeline, these take a significant event as the starting point, e. g. a drought, a good harvest, violent conflicts, building of a new market, etc. Participants in the exercise are required to plot the years on the curve perceived to have been best and worst, by rating them from 1 (lowest) to 5 (highest). The descriptions are then used to generate a graph. The rating represents a clear advantage over conventional timelines and can generate discussion among the informants regarding the causes/relevance of the development but also on changes in their lives.[151]
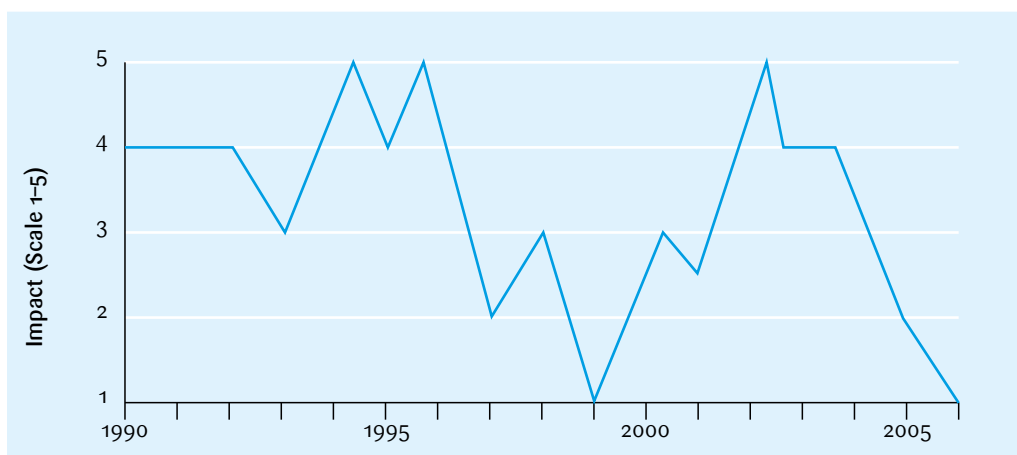
Proportional piling

The tool of proportional piling can help you to estimate quantities or proportions in communities unused to quantifying for whatever reason, or illiterate. For example, you want to identify the proportion of different income sources within the overall family income. You can take 100 beans or stones or nuts. Explain the exercise to the participants and let them explain their various sources of income. List them and ask them to divide the beans according to their importance. This exercise can be helpful in the context of livelihood group interviews. In addition to quantifying data it can also stimulate discussions and group participation.[152]

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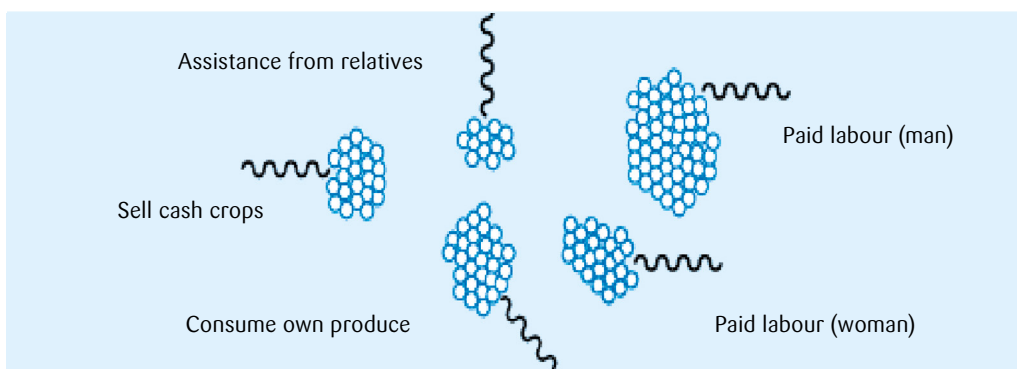
151   NGO-IDEAS (2012): "Tiny Tools" Measuring Change in Communities and Groups. An Overview, Stuttgart, p. 4
152   IFRC, 2005, p. 75 f.

Pair-wise ranking

Pair-wise ranking facilitates the identification of the relative importance and perceived relevance of different factors, identifying priorities and providing support in the planning process. For example, the participants have identified four major problems: poor health services, lack of employment, lack of interest from the local government and crime. Enter each of the identified problems in a grid (see tab. 6) and compare the problems as follows:

- Which problem is more severe, the lack of health services or lack of employment?
- If for example participants mention employment write "E" in the respective box.
- Which problem is more severe, the lack of health services or lack of interest on the part of local government?
- If for example, the participants mention local government, write "LG" in the respective box.
- And so on...

A completed table could assume the following appearance:

Pair wise ranking table				
	Health	Employment	Local government	Crime
Health		E	LG	C
Employment			LG	C
Local government				LG
Crime				

Count the results afterwards. This example indicates that 'lack of interest on the part of the local government' is the most serious problem, while a 'lack of health services' seems to be the least serious. This does not mean that it is not a problem, merely that it is perceived to be less severe in its impact than others under discussion.

Participatory mapping

Participatory mapping represents a good tool with which to gain an insight into the knowledge of a community, patterns of behaviour and the location and/or design of certain facilities (e.g. sanitary facilities in a refugee camp, social infrastructure in a village, etc.). Suited to both individuals and groups, the instrument is both quick and easy-to-use. The facilitator requires only a stick (for making marks in the soil) and stones or leaves to act as markers of specific locations. The simplicity of this method lends itself to groups with a low level of education, yet enables its operators to establish sophisticated understanding of the situation with only the most basic of equipment. It can be applied to different groupings (e.g. women, men, the elderly) in order to establish varying views of the same topic. Moreover, it can be widened in scope in order to address wider questions.[153]
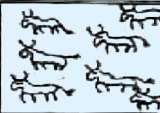
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153 Davis, J./Lambert, R., 2002, p.75
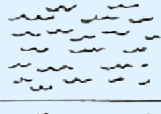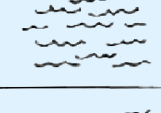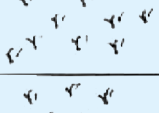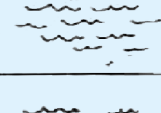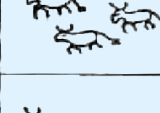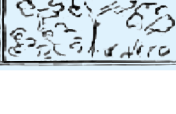
The most common mapping exercises are resource mapping and social maps. **Resource mapping** can be used to gather information on access and use of infrastructure, water points, land distribution patterns, markets, health facilities, etc. It provides an overview of both the current situation and its historical development. Begin by establishing the borders of the map, e.g. the village border, the border of water catchment areas, etc. The, let the group draw the streets, houses, fields, etc. including all aspects relevant to the group. This map serves as basis for further discussions e.g. about yields, land use, etc., according to your guiding questions. Guiding questions in this context could include:

- Which resources are easily available and which are scarce?
- Which differences exist in the access of households/certain social groups to land?
- Who takes the decisions on the access to land, water, resources, etc.?
- From where do the people get water, firewood, etc.?
- Who is responsible for getting water, collecting firewood, etc.?

If you require a historical overview, take the current situation and ask questions as to current and past resource-usage and availability patterns. The group should define the term 'past' and the relevant period. You can draw all information in a single map or draw 'before' and 'after' maps for the purpose of comparison. This mapping allows discussions of aspects of livelihood, resource availability, infrastructure and accessibility and change over time. Repeating the same exercise with different groups can help to identify differences in the local experience and perception of resource availability and access (e.g. between men and women). The tool can also serve as entrance into Gender Action Learning System/Participatory Action Learning System methods (see below) or be used in combination with social maps or seasonal calendars.[154]

FIG. 18

Sample for a resource map
Myrada, PRA-PALM
Serious No. 3 [155]

YEAR	FOREST	AGRI LANDS	WATER	LIVE-STOCK	YIELDS
1940					
1950					
1970					
1985					
1989					

154 Deutsche Welthungerhilfe (2008): Leitfaden Wirkungsorientierung in den Projekten und Programmen der Welthungerhilfe. Teil III: Instrumente und Methoden, Bonn, p. 35
155 Refer to following website for a number of examples on assessment tools:
https://myrada.org/prapalm-papers
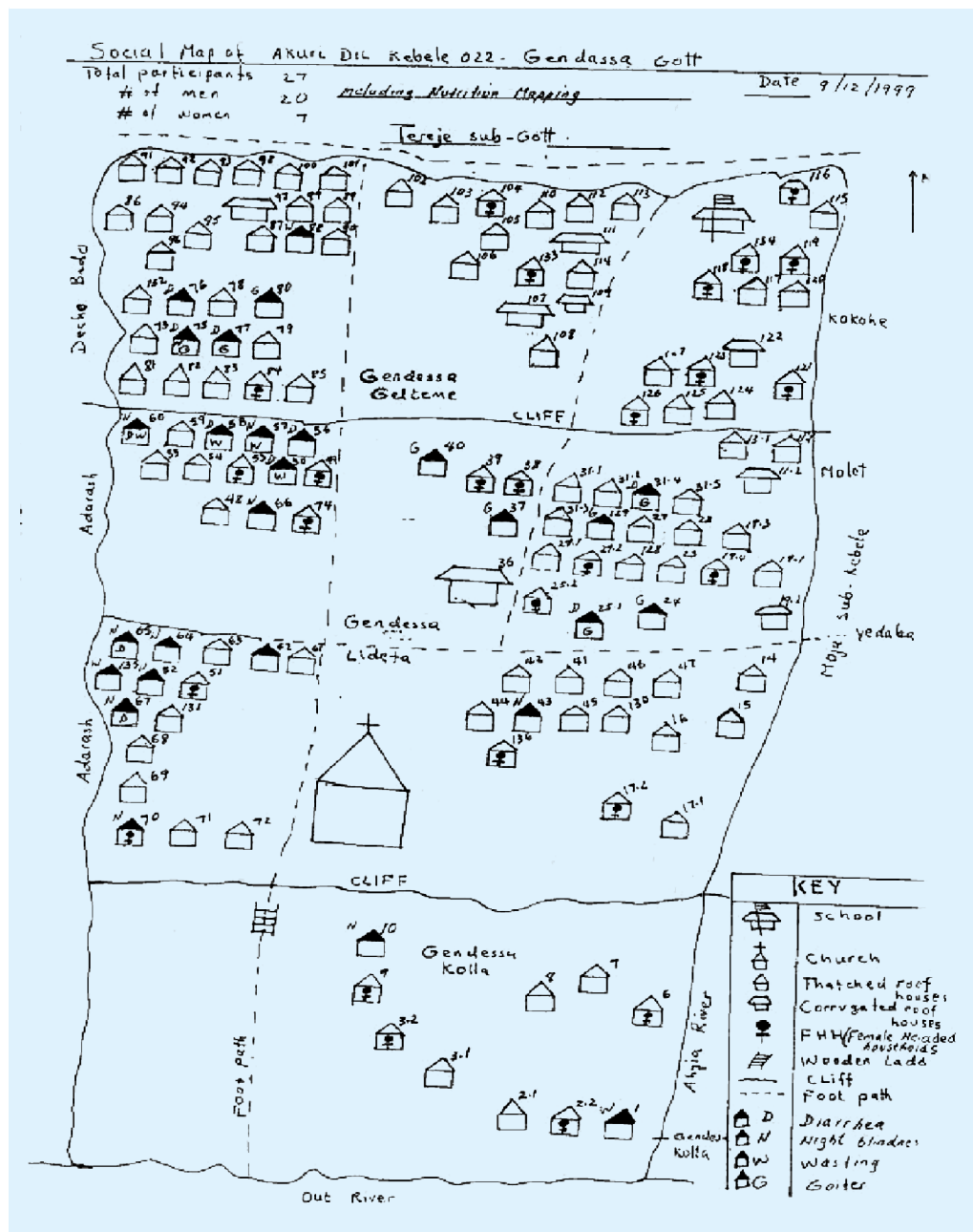
Social maps follow a similar approach, focusing on the household level to identify vulnerable groups/households. Thus, they can support targeting during the project planning phase.

Social maps can also be used to monitor poverty levels in the course of project implementation. Moreover, project teams can use social maps to assess how targeted households profited from project activities, how their situation improved/did not improve, and to identify gaps in provision and groups who did not profit.

First of all, the concept of household needs to be defined – does it mean all people living in a single house or does it comprise only parents and their children, extended families, etc. Ask the participants to draw a village map encompassing all its households. Add streets and significant places in order to enable orientation. As a next step, ask the participants to classify all households according to their wealth. This requires comparison of the

households. Selected attributes such as household income, health and/or nutrition status, education, etc. should be marked by a colour or symbols and be noted in a legend. Let the participants identify criteria but also give input on possible criteria such as food security, female headed households, member of framing groups, etc. Note that discussion about 'wealth' can be a sensitive issue. Therefore try to be clear and transparent and ensure that an experienced facilitator navigates through the various pitfalls of such an approach. The bigger the group/village the more time consuming and complex the exercise will be.

The mapping tool can serve **community-based risk assessments** e.g. within the frame-work of planning projects for disaster risk reduction. Here you can use the tool to identify households especially vulnerable to disaster, the exposure of the village/community to disaster, highs-risk locations (e.g. households located on slopes, in depressions, etc.), facilities necessary in case of disaster (e.g. health facilities, community centres/safe places for evacuation, etc.) and their accessibility and capacities, etc. Depending on the dimension of the problem, a wider map border or different thematic maps (vulnerability of households, live saving facilities, risk exposure, etc.) may be appropriate in order to cover different fields of interest.

Do not forget to record the entire discussion and save charts and drawings through photographs in order to retain all the important information. The main results (e.g. map drawings, development plans, etc.) should stay in the village.

Road journey diagram

Although requiring both more time to produce and the active participation of the target groups or individuals, a road journey diagram could prove to be helpful both during the assessment and progress monitoring phase. The method enables a comparison between the original aims and objectives of a community/group/individual (in terms of e.g. liveli-hood, family care, etc.) in relation to the actual developments. In a post–disaster context, the method can also serve to identify the degree to which the disaster has interrupted the development objectives of a community/group/family. You are free to use different design elements to symbolise key events, opportunities, achievements, problems or shocks: the road can be straight, winded, proceed diagonally upwards/downwards; you can use buildings or bridges as symbols, etc. Keep the map flexible and redraw it to incorporate significant changes during the discussion. Alternatively, you can decide to focus on certain periods/events and draw a detailed map focussing on them. The road map can look ahead for strategic planning or backward to assess major changes, successes and failures.[156] You can start the discussion and drawing by asking certain introductory/key questions such as:

- What has changed along the way?
- What were main achievements and challenges?
- Do you feel the project activities have succeeded?
- What can we do better in the future?

156 NGO-IDEAS, 2012, p. 6
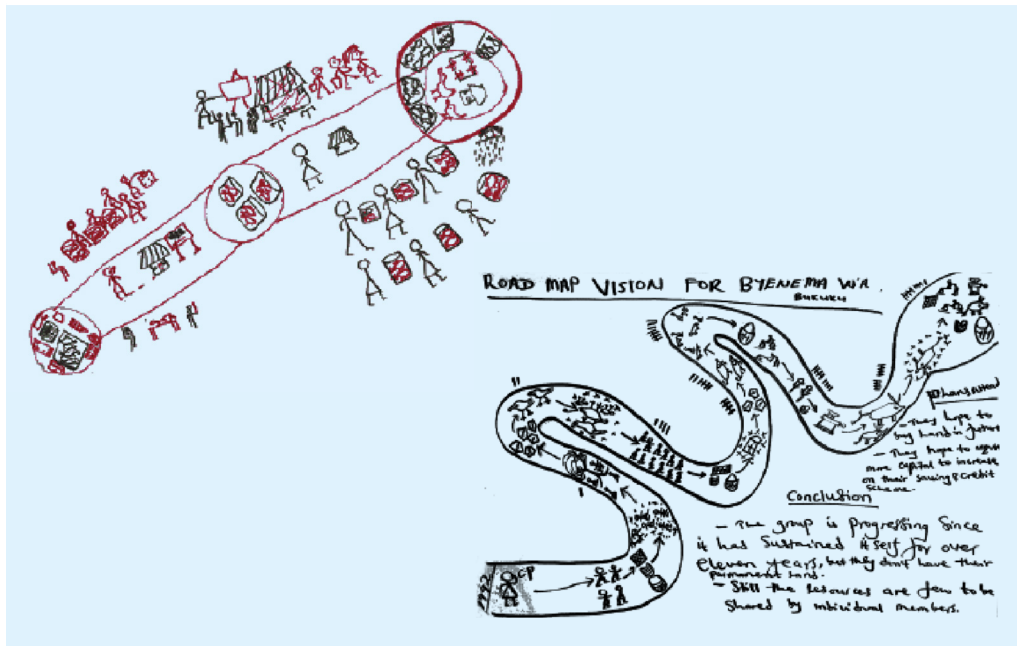
Participatory Action Learning System

The Participatory Action Learning System (PALS)[157] describes a set of inclusive and participatory principles providing a simple mapping and diagram tool used to effect life/livelihood planning for men and women especially including the illiterate. It encourages people to keep their own diaries and develop their own vision for change (especially in the field of gender relations and livelihood) and how they can achieve their goals using the resources available or to acquire further resources in order to achieve their goals or improve their situation. For example, the tdh partner organization Sungi Development Foundation conducted PALS-workshops with female community members in Balochistan, Pakistan under the heading "construction of your future." Most of the participants were able to imagine what it means to construct a house, but to construct your future? The aim was to show the participants which resources and means they have at their disposal, and those they needed to acquire in order to achieve their most pressing objectives. Such measures could include e.g. opening a small business, sending their children to school or improving the health status of their family. Enabling community members to think about future planning beyond everyday survival can act as a good entry point to development and improvement. Many people are not aware of the opportunities open to them, the resources available to them or their rights (e.g. with regard to access to government support).[158]

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157 For example the PALS approach has been used by tdh partner Sungi Development Foundation in Pakistan, PAL by tdh partner Anandi in the Indian state of Gujarat. In some cases PALS is also referred to as GALS (Gender Action Learning System) emphasizing gender related work.

158 The tool itself is rather comprehensive so that a detailed description is not possible in the framework of the manual. Please refer to the web links and literature for further read:
www.oxfamnovib.nl/donors-partners/about-oxfam/projects-and-programs/weman
www.oxfamnovib.nl/Redactie/Downloads/English/publications/150115_Practical%20guide%20GALS%20summary%20Phase%201-2%20lr.pdf
https://genderatwork.org/wp-content/uploads/2019/06/ENG-GAL-Event-MSC-Stories-report.pdf

TAB. 7

Objectives and
benefits of GALS

OXFAM Novib/Sungi
Development Foundation,
----, p. 2

Objectives of PALS	• Improved livelihoods: food security and increased control over incomes and assets for both women and men. • Increased life choices and a voice in decision-making at the personal, household and community levels for both women and men. • Increased happiness: self-respect, love, friendship, security and freedom from violence for both women and men. • To promote gender equality. • To be part of on-going development projects in the area. • To enhance cooperation and community interaction in the process of change.
What is distinctive about PALS?	• Sees women and men as partners in a process of change and pursuit of justice. • Focuses first on the individual, giving them the skills to reflect on their personal situation as the basis for collective reflection at group and/or community levels. • Every learning 'event' focuses on tangible action for change which can be taken by individuals immediately, before waiting for action on the group and institutional levels. • Builds capacities and systems for ongoing peer action learning as the basis for a sustainable process of change. • Aims to mainstream into existing activities, rather than remain a one-off exercise or extra activity.
Benefits of PALS	• Facilitates the achievement of core development goals by promoting agency, increasing self-reliance and the ownership of development activities. • Enables organizations to understand partners better and tailor interventions accordingly. • Enables the partner to develop a participatory system for tracking impact.

Although far more than a simple assessment tool and oriented towards development cooperation rather than humanitarian assistance, PALS can be helpful in assessing needs. Furthermore the tool can become relevant in assessing, planning and implementing projects of rehabilitation and reconstruction aimed at developing communities beyond the status quo ante. The tools available facilitate impact assessment through revisiting the results of the exercise (e.g. diagrams, maps, etc.) in order to track or follow-up both negative and positive changes and developments. It can therefore play a key role in participatory downward accountability.

8.2.2.7 Assessment checklists

Checklists can represent an effective tool and reference document with which to ensure examination of the key areas of emergency analysis as a primary basis for planning a response. In view of the great differences between emergencies, checklists should be adapted to fit the specific context in which tdh project partners operate. The manual annex provides basic guidance notes and checklists for each of the relevant sectors described in the narrative part of the manual. The checklists should be considered as a 'memory aid,' with which to ensure that key issues are adequately and effectively covered. They have been developed on the basis of existing manuals, guidelines and standards and can serve a Rapid Emergency Assessment as well as a Detailed Emergency Assessment.

The assessment checklists can be used by Emergency Response Coordinators (ERCs) and partner organizations. Communities should participate in the assessment as far as possible and should at least be consulted intensively. A rapid and detailed needs assessment is the basis for project and budget planning.

8.2.2.8 Data analysis

As a final step, all the information from different sources needs to be compiled and ana-lysed according to your objectives. Consider the following guiding questions:

- *"What are the main problems?*
- *Who is affected by these problems?*
- *What is the capacity of the affected population? How well can they cope with the problems?*
- *Is other assistance currently available to the affected population?*
- *Is there a need for [your organization] to intervene? If so, what kind of intervention is needed?"*[159]

This does not mean that analysis should only start at the end of the assessment. Team members should meet during the field work phase as well as on a daily basis to compare information, discuss inconsistencies, draw conclusions, compile data and/or discuss the results or progress of interviews, group discussion or use of assessment tools. This also can help you to adapt your approach and selected set of tools.

Summarising the information from different sources gathered through different methods and tools is important in order to support you in writing your proposal and targeting your activities. The following section provides two examples of how to summarise your infor-mation from livelihood group interviews and household interviews. The information from these interviews can be complemented by information gathered through other tools such as seasonal calendars, mapping, etc. Try to identify and highlight significant changes and/or trends and major disruptions through the emergency.[160]

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159 IFRC, 2005, p. 79
160 IFRC, 2005, p. 81ff.

Summary livelihood group interview
Location.
Approximate number of individuals or households.
Is this year good, bad or normal?
If this year is bad, what are the main reasons?
Main income sources in a normal year.
Effect of the emergency on income sources.
Details of coping strategies.
Could coping strategies have negative short or long-term effects?
Is current income sufficient to cover all needs?
Other important points.

Summary household interviews
Location.
Number of households visited.
Approximate number of households of this type of location.
Condition of housing (satisfactory, unsatisfactory, unacceptable). Give brief details if unsatisfactory or unacceptable.
Diet (main sources of food and changes from normal).
Use of water (adequate quantity, storage, etc.).
Health (illnesses and availability of treatment).
Asset sales Do people sell household possessions? If so, which ones?
Women's roles and responsibilities. How are these changing/are affected?
Children's lifestyles. How are these changing/are affected?
Size and composition of households (average number of men, women and children).
Other important issues.

Inconsistencies in the information can have different reasons. Three major reasons are:

- **Perception** – people interpret events and changes differently depending on their own circumstances, level of education, etc.
- **Access to information** – some groups might be better informed about certain issues than others may be based on interests/needs as well as power relations.
- **Misrepresentation** – people do provide misleading information on purpose.

Should you encounter significant inconsistencies, you can follow them up by following a few simple steps:

- Decide which of the above reasons is/are relevant.
- Consider why information differs.
- Evaluate the confidence you have in the source of information.
- Either proof the information through talking again to respective informants or cross check the information by talking to other relevant informants.[161]

Summarising information is important in order to reach a clear overview of key issues and needs in order to support the planning process and target your activities in accordance with target-group self-help capacities. As with quantitative data, you can use computer programs such as Word-Excel or SPSS to create a data baseline (see chapter 8.4.1) with which to formulate indicators and measure your project progress against these data. If your organisation lacks the requisite expertise, you can consider consulting external organisations referring to existing guidelines and tools.

8.2.2.9 Writing the assessment report

The major results of your data collection should be compiled in an assessment report even if you are only able to conduct a rapid assessment. A written report has the advantage that it helps to bring all of your colleagues and partners involved in project planning up to date in an efficient way with regard to the needs of the target group. Moreover, it reaches all staff, even those not involved in the assessment. It can serve as a source of secondary data during the planning phase of similar or related future interventions. It can be referred to during the project implementation phase. Last but not least, receiving the assessment report as an annex to the project proposal is often highly appreciated by donor agencies as you demonstrate to make logical intervention decisions on a sound basis.

Before writing the report, become clear *"who will read the report and what will it be used for."*[162] Consider the following steps in preparing an assessment report: draft, discussion, review/revision, finalisation and distribution. *"Keep the assessment report as short as possible, but make sure no important information is omitted."*[163] Wherever possible, discuss your key findings with the informants and/or assessment team members, e.g. through the draft report or community/group discussions. The annex suggests a format for an assessment report based on the "IFRC Guidelines for emergency assessment". You can adapt the format and the information you include according to the type and extent of your assessment and relevant information for the proposed project.

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161   IFRC, 2005, p. 79 ff.
162   Davis, J./Lambert, R., 2002, p. 63
163   IFRC, 2005, p. 93

8.2.3   Problem Analysis

Through a problem analysis you can identify negative aspects of an existing situation to establish a 'cause and effect' relationship between identified problems. The problem analysis is a critical stage of project planning as it guides all subsequent analysis and decision-making.

A brainstorming exercise with all relevant stakeholders (e.g. project staff, beneficiaries, local authorities) provides the best framework for a problem analysis. It is important to identify root causes and not just the symptoms of the problem(s). Problems identified are arranged in a 'problem-tree' in the best case in a participatory group event. Following steps are taken in order to come up with a problem tree[164]:

1. Collect the problems of the project area.
2. Select the 'main problem' (starter problem) and write it on the central part of a board.
3. Look for related problems to the starter problem.
4. Problems which are directly causing the starter problem are put below. Problems which are direct effects are put above.
5. If there are two or more causes combining to produce an effect, place them at the same level in the diagram.
6. Connect the problems with cause-effect arrows – clearly showing key links.
7. Review the diagram, verify its validity and completeness and make necessary adjustments.

The following figure provides a sample of a simple problem tree illustrating the connection between the causes, the problem and effects.

FIG. 21

Sample of a problem tree and 'cause effect' relations

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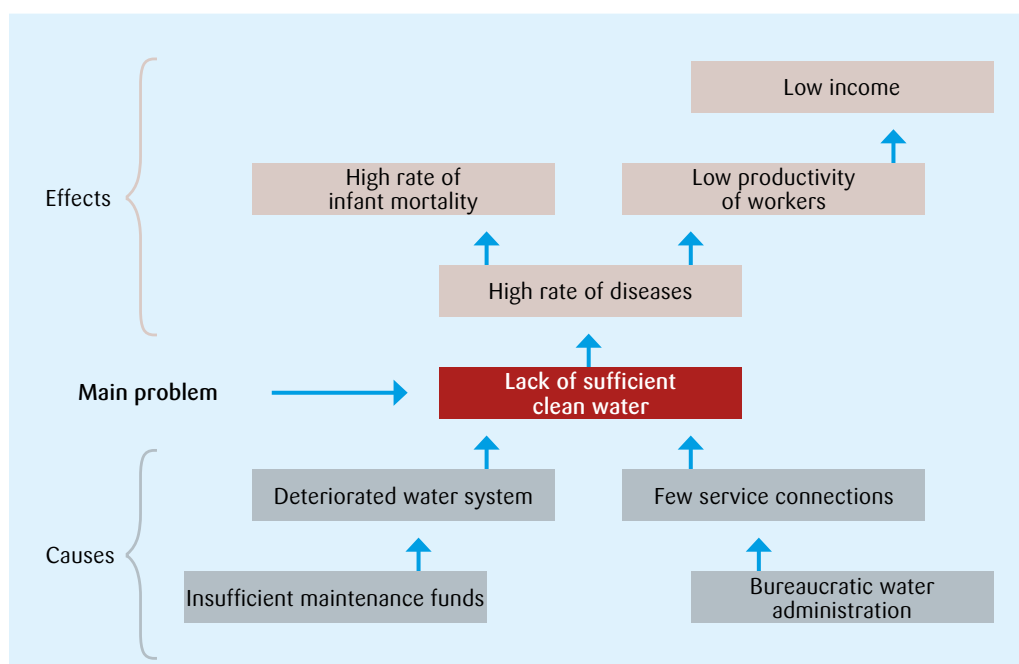
164 Government of the Republic of Serbia (2011): Guide to the Logical Framework Approach: A Key Tool for Project Cycle Management, Belgrade, p. 17 ff.

The problem tree provides the basis to formulate your project objectives/goals. The objective tree is the positive reverse image of the problem tree formulating a 'means to ends' relationship (the means by which ends can be achieved). It describes the situation in the future once the problems identified have been addressed through your project and the planned change has been achieved. The negative situations of the problem tree are converted into solutions and expressed as positive achievements (objectives) and are presented in a similar diagram as the problem tree. The analysis should be conducted with consultation of relevant stakeholders. Following steps are taken to come up with an objective tree[165]:

1. Reformulate the negative situations of the problem tree into positive situations which are desirable, realistic and achievable
2. Check the means-ends relationships. Cause effect relationships are turned into means-ends linkages
3. Draw connecting lines to indicate the means-ends relationships
4. Work from the bottom upwards and review the diagram, verify its validity and completeness and make necessary adjustments.

The following figure provides a sample of a simple objective tree illustrating the connections in relation to the above problem tree.

FIG. 22

Sample of an objective tree
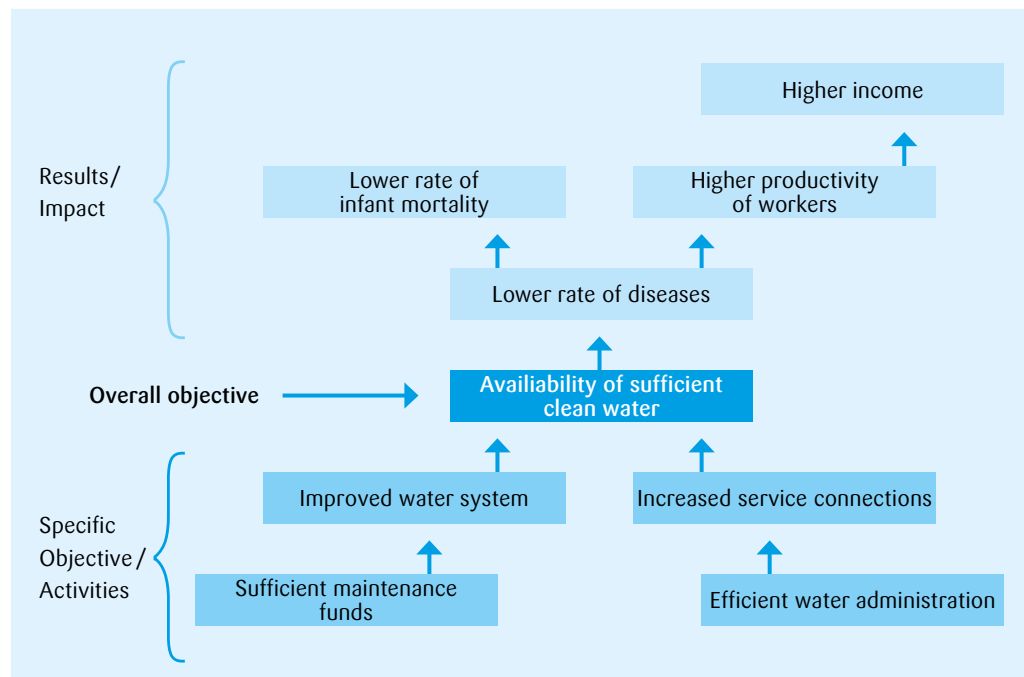
The results of the objective tree can be integrated into your planning matrix (see chapter 8.3.2 and 8.3.3)

8.2.4 Risk Analysis

Every project is confronted with uncertainties and unexpected events which can occur. A risk analysis as part of the planning process or prior to the project start can help you to prevent and mitigate risks which could affect the project implementation. A risk analysis should address following questions:

- What could possibly go wrong?
- What is the likelihood of it happening?
- How will it affect the project?
- What can be done about it?

Risks can be of technical, logistical, environmental or socio-political nature, e.g. limited access to the project area, increase of purchase costs, limited experienced staff available or high staff turnover, political unrest, natural disasters, etc. With a simple matrix you can analyse the risks and their possible impact on your project.

1. Identify and list the risks.
2. Assign a likelihood to each of the risks (1 is low, 2 is moderate, 3 is high)
3. Assess the impact in case the risk occurs (1 is low, 2 is moderate, 3 is high)
4. By multiplying the likelihood with the impact you can give each risk a score (risk tolerance =4) defining the severity
5. According to the score you need to consider alternative measures/strategies in case the risk does occur

TAB. 10

Sample of risk management matrix
own design

Type	Risk on …	Description	Likeli hood	Im pact	Seve rity	Alternative action
Risk 1: project staffing	resources and schedule	Region and project demands high qualified staff and language knowledge	1	2	2	Low risk
Risk 2: Political situation	accomplishment, cooperation, schedule	Status of occupation in the project country might cause tensions among stakeholders	2	2	4	Medium risk, monitor the political situation and possible implications for project implementation
Risk 3: Deforestation	agricultural production, livestock, construction	Deforestation is a major environmental problem in the project area with far-reaching impacts	3	2	6	High risk, be aware of danger, observe and avoid deforestation in project area, apply afforestation measures if necessary
Risk 4: …	…	…	…	…	…	…

Likelihood		Low	Medium	High
	High	3	6	9
	Medium	2	4	6
	Low	1	2	3
		Low	**Medium**	**High**
			Impact	

The higher the score, the more the risk needs to be considered and alternative actions planned for its case of occurrence. In general you have four options to deal with risks according to the context of your project and severity of the risk:

1. accept the existence of the risk and do nothing, handle when/if the risk occurs
2. avoid: reorganise the project in order to avoid the risk
3. monitor the risk and develop a plan to cope with it, if the risk arises
4. transfer the risk by ensuring it or by flowing it down

During the project, keep an eye on the risks. Look for early warning signs that indicate a risk is about to occur and in case apply the alternative action according to your matrix. A risk analysis can prepare you in advance to ensure project implementation and achievements even in case of unforeseen or unlikely events.

Risks with a low rating (1 to 3) could be formulated as assumptions within your planning matrix. The main difference between an assumption and a risk is that when we make an assumption, we expect that assumption will happen. If the assumption does not happen then the project is negatively affected. With a risk we anticipate that the risk might happen and thus negatively impact our project. If the risk does not materialize then the project will benefit.

8.3   Project Planning

While the previous chapter was focusing on the context analysis through stakeholder, problem and risk analysis, and a thorough needs assessment, the following chapter provides a rough overview of the basics governing project planning and monitoring in order to provide an idea about the major aspects to be taken into consideration during the planning process.

8.3.1   Selection of direct beneficiaries

In humanitarian assistance, the framework for the selection of beneficiaries is partly provided through the humanitarian principles. The selection of beneficiaries has to be needs based regardless of race, creed or nationality and without adverse distinction of any kind. Moreover, especially vulnerable groups should be addressed such as children, women elderly or the disabled. A basic list as basis of the selection of beneficiaries should include following aspects:

- Needs based selection.
- Prioritisation of the most vulnerable.
- Ensuring universal access to assistance.
- Geographical coverage should consider those areas which have previously not been covered.
- Pre-existing social, cultural and political dynamics/practices that may marginalise or exploit certain groups should be taken into consideration.
- Monitoring should ensure adherence to humanitarian principles and that assistance is provide based on need.

Other criteria might become relevant depending on the field of your intervention e.g. food aid, health services, distribution of non-food items, provision of shelter, WASH services, livelihood, etc. For example, landless people might require special attention when conducting livelihood or shelter activities or children and women might require special attention when providing health or WASH services.

Before selecting beneficiaries, it might be advisable to gather information about past and current relief/development activities and selection processes. Conducted properly, research should not only avoid overlapping of activities of different actors, but also improve targeting and avoid potential conflict amongst beneficiaries. Major questions of interest could include:

- How many people were targeted? What percentage of the population does this represent? Were they individuals, households or entire communities?
- Which criteria were used in the targeting?
- Who selected the beneficiaries using the criteria, e.g. community relief committees, external agencies, village heads or the community?
- Were surveys conducted? If so, try to find a copy of the surveys.
- While meeting with other organizations, learn about the type, quality, quantity and duration of the rations and/or services.

After identifying the target area and collecting information about beneficiary selection processes conducted by other agencies, you then need to establish the level at which you wish to select beneficiaries. There are three major levels you can address:

1. **Individuals** – sometimes it might be possible to identify specific types of individuals who require assistance. In such cases only individuals who meet the criteria are eligible to receive services. This might be the case if you plan to provide supplementary feeding for children under 5 years of age or if you address malnourished children under the age of 10. The criteria for malnutrition on the other hand (e.g. low arm circumference, certain diseases, one or fewer meals/day) determine who will receive food. This could also mean that other members from the same family/community will not receive provisions. Targeting individuals could result in tension, which needs to be taken into consideration.

2. **Households/families** – households/families considered as vulnerable commonly receive services and/or relief items. You should be aware that provisions (e.g. food) might not be distributed equally within families, e.g. men and boys eating before women and girls depending on the respective cultures.

3. **Communities** – depending on the kind of intervention to be implemented it might make sense to address the whole community, e. g. if you plan to reinstall water supply systems. Communities could contribute a labour force, water committees could include a profile of the whole community, and hygiene promotion activities can address the whole community.[166]

Beneficiary selection should always be performed through participatory processes together with the community as far as the circumstances allow. Local acceptance and ownership of the relief measures could be raised if communities themselves select the most vulnerable beneficiaries.

In general a distinction is made between direct and indirect beneficiaries. For most organisations direct beneficiaries are those benefitting from project-funded activities, the service users, while indirect beneficiaries are considered those benefitting as a result of improvements made to the direct beneficiaries through the project. For example the project addresses the income generation of women, then the families of these women will benefit indirectly through the increased income.

8.3.2   Results-based project planning

The Power of Measuring Results
If you do not measure results, you cannot tell success from failure.
If you cannot see success, you cannot reward it.
If you cannot reward success, you are probably rewarding failure.
If you cannot see success, you cannot learn from it.
If you cannot recognize failure, you cannot correct it.
If you can demonstrate results, you can win public support.

During a disaster, everybody wants to help the affected people as quickly as possible. *"Something has to be done to help the people."* Nevertheless action without prior analysis of the situation and its stakeholders can actually harm the people we initially wanted to help. Even though the post-disaster situation may be hectic or chaotic and calls for urgent action, a minimum of planning is required to prevent harm and to ensure a long-term sustainable impact.

The basic opening questions for your planning process should be:

1. What do we want to change?
2. How do we want to achieve the change?
3. How do we observe change?
4. How do we inform about changes?

"[Results-based programming or management (RBM)] is a participatory and team-based approach to programme planning and helps to answer the opening questions above by focusing on how to achieve defined and measurable results and impact. It is designed to

166 Canadian Food Grains Bank (----): Selecting beneficiaries for Food aid, Infosheet 403, p.1ff.

*improve programme delivery and strengthen management effectiveness, efficiency and accountability. RBM helps moving the focus of programming, managing and decision-making from inputs and processes to the objectives to be met. At the **planning stage** it ensures that there is a necessary and sufficient sum of the interventions to achieve an expected result. During the **implementation phase** the RBM approach helps to ensure and monitor that all available financial, human and institutional resources continue to support the intended results."*[167]

If you ask project or programme managers to describe the expected results of their project/programme you often receive answers such as *"we do awareness sessions on children's rights"*, *"we do recreational activities with children"* or *"we train communities in disaster preparedness"*, by that mostly referring to day to day activities rather than results. RBM can help you to change your focus from the activities undertaken within a project to the changes these activities are supposed to induce. It emphasises the monitoring of the implementation process rather than placing too much emphasis on planning through the Logical Framework. Nevertheless, both share much of their methodology and logic. Below you will find a figure on the results model.

FIG. 23

Results Model
Milango GmbH, 2008
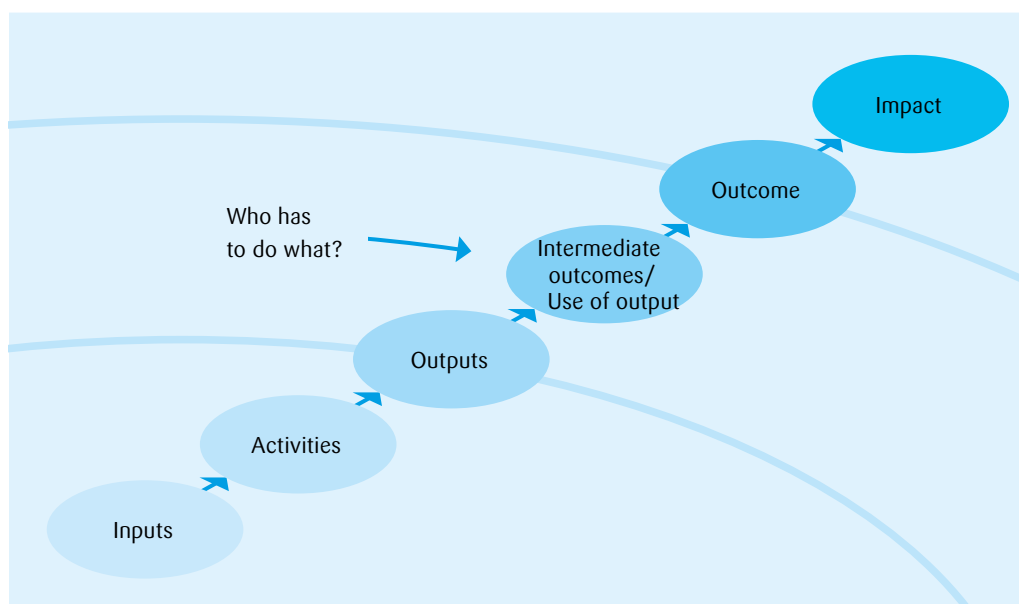
But what exactly are results? Within the RBM, results are defined as changes in a situation as a consequence of an intervention. Results can be intended/unintended, expected/unexpected or positive/negative. Results are part of the results chain. They are not only visible at the end of the project but manifest themselves during the project implementation phase and along the whole results chain. Results most significant for development/change occur after outputs are made available by the intervention and when the outputs are used (use of output) by the beneficiaries of a project. Different levels of results are:

167   UNESCO (2011): Results-Based Programming, Management and Monitoring (RBM) Approach as applied at UNESCO, Paris, p. 6

- Outputs.
- Intermediate outcomes or use of output.
- (Final) outcomes.
- Impact.

Outputs are services or products which a project delivers to beneficiaries to support activities and change processes. Outputs are generated by project/programme activities. They represent the immediate products of activities. Examples include:

1. The repair of school buildings
2. The provision of community funds for women
3. The installation of water pumps and distribution networks

Intermediate outcomes or use of output describe a short-term result regarding the availability of an output. This term describes the changes which beneficiaries undertake due to the availability of a certain output. The use of outputs is the prerequisite for final outcomes. Examples include:

1. Parents from the community send their children to school.
2. Women use community funds for productive investment.
3. Families use the installed water pumps and distribution system.

Final outcomes are observable behavioural, institutional and societal changes. Project or programme objectives are formulated on the outcome level. They describe the direct medium-term benefits generated by the use of outputs. They specify positive results intended by the project/programme. Examples include:

1. An increase in school enrolment
2. An increase in levels of female income from community funds
3. Communities have access to sufficient and clean drinking water

The **impact** refers to positive and negative, primary and secondary **long-term results** produced by a project or programme. The impact describes the long-term changes which take place beyond the direct benefits of a project or programme. It generally depends on interactions between a large number of stakeholders which cannot be influenced by the project/programme alone. Such changes must be monitored in order to support strategic decisions e.g. follow-up projects. Examples include:

1. An improvement in the educational situation of the community
2. An improvement in the economic empowerment of women in the community
3. An improvement in the health situation in the community

The following section provides an example of a results chain.

The Results Chain

A chain of results describes the logical linking of contributions, inputs and outputs, their use and benefit, and the resulting effects at different levels. They are based on assumptions about the relation of interventions and their effect (**cause-effect-relationship**). This instrument helps to identify positive changes and anticipate negative results. Result chains consist of a logical series of result hypotheses.
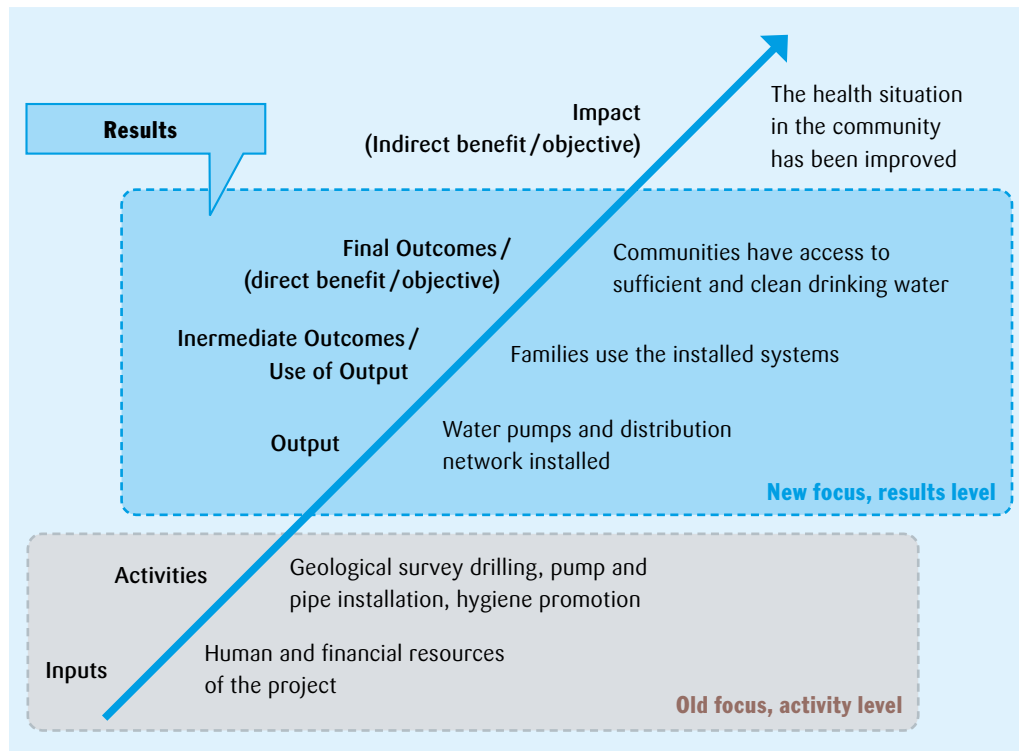
FIG. 24

The Results Chain
own design

Figure 24 gives an example of the results chain for a drinking water project. The old focus (gray box) or the focus on which many projects and NGO workers concentrate is located on the level of inputs and outputs; the new focus (blue box) of monitoring is located on the output level, the use of the outputs and the outcome of direct benefits for the target group.

It is clear that project monitoring should start with the output and continue to the final outcome and impact. When monitoring the use of output and its benefit, it is particularly important to include undesired effects.

Indicators – measuring results

(Performance) indicators provide a measurement of whether and the extent to which results or outcomes have been achieved Indicators are used to assess the progress towards the achievement of results. Indicators not only help to follow-up on project progress during monitoring, but also provide guidance during the project management and decision-making phases, enabling you to steer your project efficiently and effectively, taking corrective measures as necessary.

- Indicators help to check the feasibility of results/objectives
- Indicators form the basis of the monitoring system
- Indicators should already be defined during project identification and formulation phases

A good indicator/result should be **SMART**:

*"**S**pecific: it has to be exact, distinct and clearly stated. Vague language or generalities are not results. It should express the nature of expected changes, the beneficiaries, the region, etc. It should be as detailed as possible without being wordy.*

***M**easurable: it has to be measurable in some way, involving qualitative and/or quantitative characteristics.*

***A**chievable: it has to be realistic with the human, financial and institutional resources available.*

***R**elevant: it has to contribute to the attainment of the higher level results and respond to specific and recognised needs or challenges within the organization's mandate.*

***T**ime-bound: It has to be achievable within a specific timeframe"*[168]

TAB. 12

Examples for
formulating
SMART indicators
own design

	Results Chain	Indicator
Inputs	Human and financial resources	• Contracts, time sheets, reports from responsible staff • Budget vs. expenses
Activities	Geological survey, drilling, pump and pipe installation, hygiene promotion; maintenance training, etc.	• Survey report • Reports from hygiene promotion sessions • Pictures from construction process and hygiene promotion activities
Output	Water pumps and distribution network installed	• XX water pumps and XX water points installed until end of the project
Intermediate Outcomes/ Use of Output	Families use the installed systems	• 80 % of the community members use the water supply system installed. • The water supply system is maintained regularly; maintenance reports
Final Outcomes	Communities have access to sufficient and clean drinking water	• 80 % of community members have access to safe drinking water • Distance to water points decreased • Time for fetching water reduced
Impact	The health situation in the community has been improved	• Water borne diseases reduced by 80 %

168 UNESCO (2011): Results-Based Programming, Management and Monitoring (RBM) Approach as applied at UNESCO, Paris, p. 8

To use the indicators a source of information to verify each indicator should be identified in order to give evidence that the objectives have been met and to test whether or not the indicators can be realistically measured. The so called **means/source of verification** should be considered at the same you formulate the indicator. It should provide details on the kind of information to be collected:

- **What** information to be made available, (e. g. from administrative records, special studies, sample surveys, observation, etc.)
- **Where**, in what form the information/documented source should be collected (e. g. progress reports, project accounts, official statistical documents, engineering completion certificates etc.)
- **Who** should collect/provide the information (e. g. field extension workers, contracted survey teams, the district health office, the project management team)
- **When/how regularly** it should be provided (e. g. monthly, quarterly, annually, etc.)

8.3.3   Logical Framework

Though tdh follows the approach of a results-based programming and monitoring (RBM) the Logical Framework (Logframe) should be introduced shortly as it is a planning tool widely used among aid organisations and requested by donors including the European Union. The intervention logic of the Logframe identifies what the project intends to do and shows the causal relationships as follows:

- **Overall goal/overall objective** – the higher development objective to which the project is supposed to contribute
- **Project objective** – Description of a desired situation supposed to be achieved through a tangible project.
- **Results (products and services)** – Material and immaterial products, goods and services directly produced by a project.
- **Activities** – Steps taken by the project to achieve the planned results

TAB. 13

The Logframe
matrix

own design

Logic of intervention	Objectively verifiable indicators	Sources of verification	Assumptions
Overall goal / overall objective Example: Reduced child mortality, Improved health status			
Project objective Example: Water-borne diseases reduced (direct benefit)			
Results (products and services) Example: Clean water of good quality and sufficient quantity available			
Activities Example: Construction of wells			

The Logframe can be used to structure your planning and illustrate the logic of your intervention in order to achieve change. But it can also be used as basis of funding applications and throughout the project cycle to track your progress and adapt to changing situations. The matrix serves as orientation but can be used creatively and productively to design projects. If there are good reasons to adapt the format, this should be encouraged.

In comparison to the RBM the logic of the Logframe is rather similar. The table below illustrates the comparison of both approaches. The RBM clearly focuses on the level of "use of output" and "outcome" which in the Logframe equates to the level of project objectives. The difference is that the results chain puts an additional focus on the "use of outputs" as a prerequisite to outcomes.

TAB. 14

The Logframe vs.
RBM / the results
chain

own design

Logical framework (planning)	Example	Outcome /results chain (monitoring)
Overall goal	Reduce child mortality	Impact
Project objective	Water – borne diseases reduced	Outcome
	Families use clean water	Use of outputs
Results/products + services	Water available in sufficient quantity / quality	Outputs
Activities	Construction of wells	Activities
Inputs	Funds, material, staff	Inputs

8.4   Project Monitoring

Project monitoring is the systematic, regular collection and occasional analysis of information to identify and possibly measure change over a period of time. It is important to verify whether we achieved what was planned according to our intervention logic on different levels (objectives, results, activities, and budget). The following chapter shortly outlines the basics of baseline studies as basis to project monitoring and steering and the basics of results-based monitoring.

8.4.1   Baseline study

What is a baseline study?

A baseline study is *"an analysis describing the situation prior to an intervention, against which progress can be assessed or comparisons made."*[169] It enables you to do before/after comparisons in the framework of your monitoring and evaluation procedures. Baseline studies usually focus on the intended outcomes of a project.

What is the difference between a baseline study and a needs assessment?

Although exhibiting a high degree of similarity to a needs assessment, a baseline study presents significant differences. An assessment explores the reality of the situation and its underlying causes as well as relevant stakeholders. An assessment helps to decide whether and what kind of intervention is required forming the basis on which your programme is designed. A baseline study provides a snapshot of the status quo in a selected field of activity before the targeted change. It is usually conducted before the start of the project implementation but after its design.[170]

TAB. 15

Differences between needs assessment and baseline study

Church/Rogers, 2006, p. 63

	Needs assessment	Baseline study
Why	Understand key factors/needs and actors inform strategy	Establish the status of the intended changes as a point of comparison
Who	Staff, external consultants or both	Ideally the same person supposed to conduct the evaluation
When	Before project design	After project design and before implementation
Where	Ideally in project area; only in exceptional cases through desk study and secondary information	Project area

169 OECD/DAC (2002): Glossary of Key Terms in Evaluation and Results-based management, Paris, p. 18

170 Church, C./Rogers, M. (2006): Designing for Results: Integrating Monitoring and Evaluation in Conflict Transformation Programs, p. 61ff.
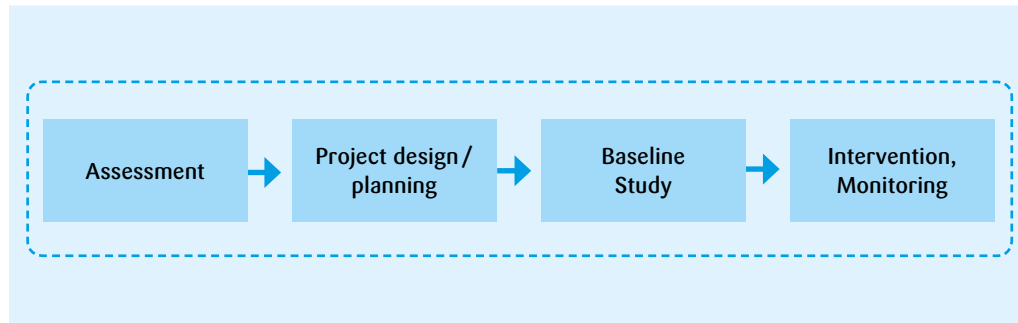
Why conduct a baseline study?

Providing the possibility of comparing the situation both before and after the project and during the monitoring and evaluation process, a baseline study can support efforts to prove whether change has taken place as a consequence of your intervention. In the best case *"the entire evaluation strategy, including the design and budgeting of the baseline and subsequent studies (mid-term and final evaluations), [is] developed during the planning or design stage of an operation."*[171] Furthermore, a baseline can help you to set achievable and realistic targets and indicators and can show whether your indicators are accurate and viable.

When is it advisable to conduct a baseline study?

The collection and analysis of the relevant data requires sufficient finance, human resources and time. While planning in the context of a development project allows more time to collect the data required for a baseline, a disaster situation is hectic, chaotic and requires fast response. Indeed, a baseline study may not be feasible in such a situation, although this very much depends on the context and type of project. A baseline study is usually conducted prior to the start of your intervention but after the project planning phase. Should a baseline study need to be finalised quickly, it can also be conducted at the same time as the first project stages begin.

FIG. 25

Timeline project
preparation and design
own design

How to conduct a baseline study?

First of all you need to set the framework of your baseline study. This is usually provided through your planning documents, i.e. the results you plan to achieve with your project and related activities. Below, you find a framework for planning your baseline set against your results chain. It provides the possibility of visualising the kind of information needed, how you want to collect the data, who should collect the data, etc.

In an ideal case, the individual/team conducting the baseline study should be identical with that conducting the project evaluation. As the baseline sets the framework for other stages within the project, it might be advisable to hire external support if your own staff lacks the expertise to conduct a baseline study. If budget constraints do not allow you to hire an external expert, you could hire an external advisor as an alternative.

Framework for a baseline plan

Baseline focus	Indicators	Data collection methods	Data source and quantity	Location of data collection	Means of analysis	Time needed
Change/ expected results: (Impact) Outcomes Outputs						

Baseline focus
The main focus of a baseline study is the change you plan to achieve with your intervention, e.g. expected results, impact, outcomes and outputs according to your project planning.

Indicators
Information is gathered in the baseline to set the target for the indicators formulated for the different levels of the result chain during project planning. The indicators can then be used to determine progress toward results. Later, indicators are used to demonstrate change through project activities.

Data collection methods
The same methods as for the needs assessment and monitoring can be used for data collection, e.g. interviews, group discussions, observations, review, of existing information, literature and statistics, etc. The process of assessing the baseline influences the process of monitoring and evaluation. It is therefore advisable to use the same or similar methods of data collection during monitoring and evaluation.

Data source and quantity
Describes where data will be accessed and how many data sources will be used, e.g. 6 teachers per school (3 schools), official statistics etc.

Location of data collection
Refers to where the data will be collected, e.g. during trainings/workshops, at the household level, at the workplace, etc.

Means of analysis
Refers to the tools and methods used to analyse data, e.g. statistical software (SPSS)

Time needed
Refers to the number of days needed to implement each aspect of the baseline including analysing the data.

How to utilise baseline data?

Compiling and interpreting the collected data is the most difficult and important step in this process. The project team should meet to discuss the comparison of results against targets and project planning indicators. As the data and results can be used as guidelines for the monitoring process, they need to be stored until the evaluation, which should build upon the baseline data. There are several ways in which you can use baseline data:

Compare the baseline information with subsequent information to show the change that has taken place over time – for example, your baseline study shows that only 30 % of parents in the target community know about the processes of birth certification and its importance in securing children's basic rights. Only 25 % of children have such a certificate. Following a project focussing on raising awareness and supporting people in obtaining certificates, the evaluation reveals that 80 % of the community now know about birth certification and its importance, and that 75 % of children now have a birth certificate. The change compared to the status quo prior to the project is obvious and proven.

Refine/adapt programming decisions – for example, your needs assessment determined that mainly girls/aged 15–18 were victims of sexual harassment in a selected IDP camp. Acting on this information, you decided to design and launch a prevention and awareness programme in sexual harassment aimed at this age group. However, your baseline later revealed that girls aged 12 to 15 were also victims of sexual harassment. The gap identified can lead to the adaptation of your programme to address the age group 12 to 18.

Set achievable and realistic targets – as described above, your baseline study shows that 30 % of parents in the target community know about birth certification and 25 % of children have a birth certificate. With your new understanding of the extent of the problem and the respective framework, your project team can decide which degree of change seems realistic in terms of your financial and human resource capacities and the project duration. It is probably unrealistic to set targets of 100 % of the community learning of the significance of birth certificates and 100 % of children obtaining a copy, especially if you have only have three months to implement the programme.[172]

Supporting consistent review and monitoring of project activities and indicators – the monitoring data gathered during your project implementation phase can always be compared against your baseline data to show whether your activities are on the right track regarding the planned achievements and change, or whether negative developments require the change or adaptation of your planning. You can also monitor the appropriateness of your indicators. Are the selected indicators really an adequate signal for changes achieved through your project activities? Can they be measured properly?

How feasible is a baseline study in the context of disaster?

A baseline study helps you to prove the changes you achieved through your project activities. But is it feasible to work with baseline studies in the immediate aftermath of a disaster? In the first instance, when the situation even only allows for a rapid emergency assessment it does not seem feasible to conduct a baseline study even before beginning

172   Church, C./Rogers, M. (2006): Designing for Results: Integrating Monitoring and Evaluation in Conflict Transformation Programs, p. 64 ff.

project implementation. A baseline study seems more reasonable in the context of medi-um and long-term projects aiming at rehabilitation and reconstruction, LRRD and DRR. For short term interventions proper assessments are sufficient as basis for project planning and monitoring.

8.4.2   Results-based monitoring

Monitoring is a continuous function comprising the systematic collection, processing, analysis, interpretation and discussion of relevant data regarding intervention pro-grammes/projects in order to support the key management functions of the humanitarian initiative.

Result-based or outcome monitoring focuses specifically on the change processes a pro-ject or programme intends to initiate or has initiated in attitudes and practices of partner organizations and/or beneficiary groups. It highlights the intermediate outcomes/the use of outputs, and follows up the achievement of the objectives of a development project/programme (outcomes). It forms part of the overall **monitoring system** which includes:

- Financial controlling.
- The follow up of activities.
- The continuous observation of changes in the social, economic, political and ecological environment of the project.
- Other activities undertaken by a project team.

Results-based monitoring is designed to help to retain a close focus on results and to steer a project/programme towards its objectives. By implementing result-based monitoring systems we move from questions like *"did we disburse funds and implement the project as planned?"* to *"are we achieving our planned results and contributing to the desired impact at the thematic/ sector, regional or country level?"*

- Results-based monitoring on the project and programme level seeks to improve
- Effectiveness and efficiency.
- Decision-making and steering.
- Reporting and accountability.
- Learning on the individual, project/programme team and institutional level.

Results-based monitoring performs three essential functions in project/programme imple-mentation:

1. The first concerns the responsibility on the part of the implementing partner agencies and structures **to ensure the success** of the intervention. This means that the project team needs to remain informed regularly as to whether its strategy is likely to produce the expected changes. The team requires reliable information regarding the immediate impact of its interventions. Recognising failure at the end of the year or, even worse, at the end of the project is unacceptable. Project monitoring is designed to maintain a constant flow of information to enable adaptation and prevent such an outcome.

2. Changing and adapting concepts and strategies involve a **learning process**. To support learning on project, programme and organizational level can be an additional purpose of a results-based monitoring system.

3. The third function refers to the **support for reporting**. Concerns over the effectiveness of aid have led to calls for greater **accountability** in international humanitarian assistance. Humanitarian projects and programmes have to report on their achievements, providing verifiable, properly-documented information. They have to show whether they have realised or will realise the defined objectives of the humanitarian intervention.

Results-based monitoring systems define results and outcomes as those changes which can be attributed to a programme or project. Only if these can be attributed clearly, is it possible to attribute an observed change to the specific contribution of a project intervention.

Results-based monitoring at tdh

Results-based monitoring is chiefly guided by outcomes, without neglecting the monitoring of outputs and direct effects of activities. Practically speaking, that means that the use of outputs, or their benefit for the beneficiary group, is regarded as the key point in project implementation. However, outcome orientation does not mean that activities and outputs are no longer considered. The monitoring system places the main emphasis on the processes of change induced by the delivery of outputs.

The following general principles guide the results-based monitoring at terre des hommes:

- The partner organizations and terre des hommes accept joint responsibility for realisation of the projects' objectives and overall objectives.
- The objectives are "moved closer to the project" and defined as direct benefit for the beneficiary groups of the project/programme. Objectives have to be realistic.
- The success of a project is only assessed according to the degree its objectives are achieved.
- Both tdh and its partner organizations are required to demonstrate the relevance of their interventions. They have to demonstrate that their contribution to improving the social and political situation has effected concrete improvements to the situation of their beneficiary groups.
- An effective monitoring system requires that terre des hommes and its partner organizations provide transparency regarding their activities, outputs and results. Both have to contribute to the collection of the necessary reliable data.
- Results-based monitoring also means undergoing a joint learning process by reflecting on the results achieved. The lessons learnt have to be used to steer the project and developing supporting concepts, strategies and methods for other projects.

Monitoring tools

Several tools can be used to collect the relevant data for monitoring results. This ranges from interviews with key stakeholders to focus group discussions, observations and documentation, etc. All the tools described in chapters 8.2.2.5–8.2.2.7 can be used to gather data as a part of your monitoring system in order to demonstrate the effectiveness of your project.

8.5 Feedback and Complaints Mechanisms[173]

Accountability describes the concept that individuals, agencies and organisations (public, private and civil society) are held responsible for executing their powers properly. In the past many efforts have been made to demonstrate accountability to donors and the public rather than to beneficiaries. But "genuine accountability through the consultation and participation of affected people can contribute to their empowerment and result in more appropriate and effective aid".[174] Complaint mechanisms should be established to fully ensure downward accountability between relief agencies and beneficiaries.

"A complaint mechanism is a formalized mechanism to give victims and witnesses of misconduct by an organization a chance to report cases, and for organizations to deal with these complaints in a structured manner. Complaints are an expression of dissatisfaction or discontent about misconduct."[175] A feedback mechanism thus offers the possibility to report both feedback on the aid measures such as effectiveness and appropriateness as well as discomfort such as abuse of power, corruption or sexual violence. Therefore, complaints mechanism should cover both, operational complaints (about the program, aid quality, selection of project participants) as well as serious complaints (physical / psychological / sexual abuse, fraud, corruption). This creates a safer environment and increases people's voice and power. Complaint mechanisms can contribute to:

- recognise, promote and protects beneficiaries' rights (incl. the right to complain)
- prevent, mitigate, or resolve tensions and problems before they escalate ('early warning')
- promote community empowerment and participation in decisions that affect them
- build and maintain good relations, trust transparency and dialogue
- support programme monitoring
- comply with external requirements[176]

Depending on the needs and structure of organisations, there are two possible types of complaint mechanisms:

173 Ammerschuber, L./ Schenk, E. (2017): Complaint Mechanisms for Non-Governmental Organisations"

174 Mitchell, J. (2007): Accountability to the beneficiaries of humanitarian aid: old messages, new messengers, https://odihpn.org/magazine/accountability-to-the-beneficiaries-of-humanitarian-aid-old-messages-new-messengers/

175 Ammerschuber, L./ Schenk, E. (2017): Complaint Mechanisms for Non-Governmental Organisations", p. 4

176 Wood, A. (2011): Overview of NGO-Community Complaints Mechanisms, p. 2

1. Centralised complaint mechanism – A centralised complaints mechanisms is established by the headquarters.
2. Decentralised complaints mechanism – In a decentralised complaint mechanisms local partner organisations are responsible for setting up their own mechanisms.

The following checklist contains some basic factors to consider when designing a complaints mechanism:

- **Assign staff** – Choose to create a full-time, part-time and/or pro bono position for handling the complaints.
- **Create entry-points** – Ensure the complaints mechanism has multiple entry-points, e. g. complaint boxes, phone line, email address, office hours of Complaints Office and that they are adapted to the needs of end-users (e. g. for literate and illiterate)
- **Create ownership** – Create commitment by discussing the complaints mechanism with the wider organization.
- **Create trust** – (1) Ensure confidentiality, (2) Choose a trusted person with the right qualifications to handle complaints, (3) Implement policies consistently

To establish a complaints mechanism following factors have to be taken into consideration:

- **Assign resources** – Ensure that the necessary resources (human, financial etc.) are available.
- **Customize the complaints mechanism** – Discuss the complaints mechanism with beneficiaries to get their feedback and adapt the complaints mechanism to their needs
- **Identify barriers** – (1) Consider allowing for anonymous complaints, (2) Address barriers due to gender/ethnicity/religion/language, (3) Offer complainant protection
- **Be aware of malicious complaints** – (1) Protect your organization from malicious complaints by including a zero-tolerance policy toward them, (2) Recognize malicious complaints, which are usually non-specific, not documented and contain angry language
- **Communicate about your complaints mechanism** – Communicate clearly the existence of the complaints mechanism, its purpose and its functioning internally (e. g. through regular staff trainings, website, appraisal meetings) and externally (e. g. public meetings, presentations, radio etc.)
- **Engage or support your partner organizations** – In a centralised complaints mechanisms, make sure your partner organizations have understood and are committed to its implementation. In a decentralized complaints mechanisms, your partner organizations are responsible for setting up their own mechanism while you can provide support and expertise.
- **Create a policy** – Enshrine the complaint mechanism and the complaint handling procedure in guidelines and a policy. All employees should sign an acknowledgment of the policy and be trained in the procedure.

There are different methods/practical approaches for the setup of a complaints mechanism.

Complaint committees may be composed of different stakeholders, e. g. household members or specific target groups such as women or children. They can take on various tasks such as raising awareness, receiving and forwarding complaints and accompanying the response. In order to be transparent to the rest of the community, the roles and responsibilities of the committee should be defined and a Code of Conduct developed and made public. Examples of complaint committees are child feedback committees, camp management committees, user committees (e. g. water usage committees school feeding committees, etc.) or village development committees.

Third part complaints mechanisms refer to an ombudsman or advisory board. An ombudsman is an independent contact person for complainants and can be established at project as well as organisational level. It is important that the ombudsman has a sufficient mandate and power to make the organisation respond to the complaint. An advisory board can be composed of different independent representatives providing guidance and advice as well as feedback to the management level of organisations.

There are a number of **other methods of complaints mechanisms** which can be applied to obtain feedback from beneficiaries. A few examples are listed below:

- **Community feedback logs** are comments, feedbacks and complaints recorded during field visits by staff or volunteers, which are shared with the management.
- **Open meetings and public hearings** can gather homogenous or heterogeneous groups to receive feedback and provide space for people to speak out. This forum can be also used to share decisions or inform about changes.
- **Community help desks** are usually headed by a help desk committee of elected community members who are available during certain project activities such as distribution activities to receive complaints and/or feedback. At the same time, they can serve as a source of information about procedures and modalities.
- **Suggestion/complaints boxes** are a widely used method. The boxes are installed in the communities and offer the possibility for anonymous complaints.

A complaint mechanism should always be characterised by following qualities: safety, confidentiality, transparency, accessibility, quality, verifiability, timeliness, assistance to those reporting, documentation.

9 Concluding Remarks

Children are among the most vulnerable groups in humanitarian crises. To **ensure the service of children's needs and their protection** is an on-going challenge. Children constitute up to 60 % of those affected by disasters and conflicts. They benefit from services in sectors such as health, food aid or education through child specific programmes but still their needs and protection are not addressed sufficiently. Protection remains the second most under-funded sector in humanitarian action.

Project partners of terre des hommes have long standing experience in working on the realisation of children rights in close cooperation with the communities. This expertise is transferred and adapted to the context of humanitarian assistance in order to improve children's protection.

Disaster risk reduction is of increasing relevance to the humanitarian assistance of terre des hommes. Still only 5 % of humanitarian funding is spent for DRR. And though DRR is a long-term initiative only 1 % of all development funds to the top 40 humanitarian aid recipients were spent on DRR. Therefore, terre des hommes **mainstreams DRR** and **Climate change adaptation (CCA) into its development projects** in known high risk areas in order to save lives and reduce the loss of assets and finally reduce the need for short-term humanitarian assistance.

Terre des hommes is a multi-mandated NGO cooperating with local partner organisations and follows a (child) **rights based approach to humanitarian assistance** aiming at improving sustainability of humanitarian interventions. This approach has to be monitored constantly with regard to its **interdependences with the humanitarian principles of neutrality, impartiality and independence** and how both can be aligned in the respective context. Especially in the context of armed conflicts applying a rights based approach can create a conflict of objectives between the claim to deliver sustainable humanitarian assistance and support local ownership and self-sufficiency and the adherence to the humanitarian principles.

Impact orientation referring to the improvement of efficiency and effectiveness of humanitarian assistance is an on-going process. It needs constant alignment with the professional development and standard requirements in humanitarian assistance. Besides results-based planning, monitoring and evaluation this includes a stringent **development of institutional and organisational capacities of project partners** in the field of humanitarian assistance.

In times where conflicts become more complex and natural disaster more disastrous this manual provides an overview about the sector of humanitarian assistance in order to contribute to the familiarisation of partner organisations with its structures and standards. As mentioned in the preface the manual makes no claim to completeness. It is important to use the manual according to the disaster context and regional specifics as well as planning requirements and organisational capacities and expertise. It can be read selectively referring to the respective section of relevance for project intervention in order to improve efficiency and effectiveness and to enhance mutual learning.

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