



The evaluation team meeting elders at the pan at Dukale (Hans Hartung)

Mid Term Evaluation of DG ECHO's Regional Drought Decision in the Greater Horn of Africa

March - May 2009

Submitted by:
John Wilding (TL), Jeremy Swift and Hans Hartung
AGEG Consultants eG

Cost of the report in € 115.815.
Evaluation costs as percentage of budget evaluated: 0.04 %
Contract Number: ECHO/ADM/BUD/2008/01215



The report has been financed by and produced at the request of the European Commission. The comments contained herein reflect the opinions of the consultants only

Table of Contents

Tables and Figures	iii
Acronyms and Abbreviations	iv
Executive Summary	1
The DG ECHO Programme in relation to best practice.....	2
Strategic directions for DG ECHO funding.....	2
1. Introduction	6
2. Methodologies	7
3. Context and background	8
3.1 History.....	8
3.2 DG ECHO’s comparative advantage	9
4. Regional best practice and RDD activities	11
4.1 Introduction.....	11
4.2 Best practice in drought management and the DG ECHO programme	11
4.3 Gaps in the coverage of risk reduction best practice.....	12
4.4 Research and advocacy	14
4.5 National drought contingency fund.....	15
4.6 Integrated Food Security Phase Classification.....	16
5. General description of RDD Activities	16
5.1 Objective of RDD	16
5.2 Current RDD activities.....	17
5.3 Strengths of RDD activities	17
5.4 Role of FAO.....	19
6. Additional work needed in RDD activities	20
6.1 Choice of projects	20
6.2 Gaps in the portfolio	21
7. Alternative ways to reach the RDD goal of reducing vulnerability	24
7.1 World Bank projects	24
7.2 Drought Management Initiative (DMI).....	25
7.3 Karimoja Livelihoods Programme (KALIP)	25
8. Key evaluation questions	26
9. Conclusions	33
10. Recommendations	34
10.17 Final recommendation.....	36
10.18 Summary of specific recommendations	36

Tables and Figures

Figure 1.	Typical response to drought in the Horn of Africa	8
Figure 2.	DG ECHO's new intervention approach in the GHoA.....	10
Table 1.	Matrix of Main Conclusions, Lessons Learnt and Specific Recommendations.....	4
Table 2.	Best practice in drought preparedness/management and some activities of DG ECHO RDD partners.....	12
Table 3.	Approximate composition of DG ECHO spending on drought management 2008/9 (million Euro).....	17
Table 4.	Main future roles for DG ECHO and its partners in drought preparedness	37

Acronyms and Abbreviations

ALP	Arid Lands Programme
ALRMP	Arid Lands Resource Management Project (Kenya)
ASAL	Arid and Semi-Arid Lands
CAHW	Community Animal Health Worker
CBPP	Contagious Bovine Pleuro-Pneumonia
CIDA	Canadian International Development Agency
DG	Directorate-General
AIDCO	EuropeAid Co-Operation Office
CR	Conflict Resolution
DMO	Drought Management Officer
DDMO	Drought Disaster Management Office (Kenya)
DFID	Department for International Development (UK)
DMI	Drought Management Initiative (Kenya)
DSG	District Steering Group (Kenya)
DP	Drought Preparedness
DRR	Disaster Risk Reduction
EC	European Commission
EDF	European Development Fund
EU	European Union
EWS	Early Warning System
FAO	Food and Agriculture Organization
GAM	Global Acute Malnutrition
GoK	Government of Kenya
GHoA	Greater Horn of Africa
GIS	Global Information System
IGAD	InterGovernmental Authority on Development
ILRI	International Livestock Research Institute
IPC	Integrated Food Security Phase Classification
KALIP	Karamoja Livelihoods Programme
KASAL	Kenya Arid and Semi-Arid Land (research programme)
LEGS	Livestock Emergency Guidelines
LRRD	Linking Relief Rehabilitation and Development
NDCF	National Drought Contingency Fund
NGO	Non Governmental Organisation
ODI	Overseas Development Institute
OFDA	Office of U.S. Foreign Disaster Assistance
PA	Peasant Association (Ethiopia)
PCDP	Pastoral Community Development Project (World Bank)
RDD	Regional Drought Decision (DG ECHO)
RDMI	Regional Drought Management Institutions
RELPA	Regional Livelihoods for Pastoral Areas (USAID)
ROSP	Research On the Status of Pastoralism (Oxfam)
SCUK	Save the Children United Kingdom
SCUS	Save the Children United States of America
TA	Technical Assistant
VSF	Veterinaires Sans Frontieres
WASH	Water, Sanitation and Hygiene
WATSAN	Water and Sanitation
WFP	World Food Programme
USAID	United States Agency for International Development

Executive Summary

(1) This report is written within the framework of the Evaluation Terms of Reference and particularly within that of the Evaluation Questions contained therein, as listed in **Section 8. to 8.8.6** of this document.

(2) Within the last three years, the Directorate General (DG) ECHO has become availed of a greater range of financial instruments including the General Humanitarian Aid budget, DIPECHO (Disaster Preparedness – European Commission Humanitarian Office), the Food Aid budget and part of the B Envelope of the 10th European Development Fund (EDF). Decisions now include Global Plans, Ad-hoc, Emergency and Primary Emergency decisions and they can be on a country or multi-country basis. Regional Drought Decision (RDD) is an example of a multi-country Ad-hoc decision.

(3) RDD has introduced some novel modalities into DG ECHO’s programme in the Greater Horn of Africa (GHOA), including:

- improved, more appropriate and faster response to slow onset disaster (drought caused by climate change);
- response which preserves the communities’ dignity;
- enabling re-allocation of funds and re-orientation of activities within projects to respond to emergencies;
- regional (or cross-border) intervention which recognises the mobility of pastoralists across international borders as well as the wide geographic nature of recurrent drought;
- an extended period (to eighteen months) for project intervention;
- a move away from reactive humanitarian response towards pro-active intervention addressing drought preparedness and pastoral communities’ resilience building in order to, not only withstand the effects of drought, but also to improve their capacity for recovery. Projects visited by the Evaluation Team represented high quality examples of ‘pilots’ very suitable for replication. The choice of quality, performing partners is considered to be good.

(4) The Evaluation Team considers the work done under RDD funding to have been an excellent example of a wide ranging and innovative set of experiments, the outcome of which will make an important contribution to drought preparedness in the GHOA. The success of these activities is the more remarkable given the difficult situations in which the work is carried out. Almost all the partners seen during fieldwork and at round up meetings were of high quality. Supervision and technical oversight were carried out with a light but effective touch. The key point which deserves more publicity is that preparedness work of this sort reduces the need for, and the scale of, emergency interventions, as well as reduces poverty and human suffering (see Figure 2, p 10).

(5) In the Evaluation Team’s opinion, the RDD work is at the centre of DG ECHO’s mandate (as framed in Council Regulation (EC) No.1257/96 of 20 June 1996 concerning humanitarian aid) viz:

“Whereas there is a particular need for preventive action to ensure preparedness for disaster risks and, in consequence, for the establishment of an appropriate early warning system”;

“Whereas the effectiveness and consistency of the Community, national and international prevention and intervention systems set up to meet the needs generated by natural or man-made disasters or comparable exceptional circumstances should therefore be ensured and strengthened”;

“Such aid shall also comprise operations to prepare for risks or prevent disasters or comparable exceptional circumstances.”

The DG ECHO Programme in relation to best practice

(6) The Evaluation Team assessed the work funded by DG ECHO against a check list of the elements of best practice derived from previous drought management work but judged in the perspective of what is possible within the constraints of its financial and implementation instruments (see Table 2, p 12).

(7) Experiments in emergency destocking have been carried out under different DG ECHO instruments at times of stress and the Evaluation Team considers this a good start on providing models for market intervention through different types of livestock off-take by partners. Market failure, in most cases, is the main cause of food insecurity and famine for vulnerable populations in the GoHA. The rapid decline in the livestock/cereal price ratio, at times of stress, leaves pastoralists with insignificant purchasing power even in an environment of adequate food grain availability. The Evaluation Team recommends that emergency market interventions be expanded in any future funding (see 4.3, p 12).

(8) While some partners are involved in Early Warning Systems (EWS), there is little coordination or harmonisation with national EWS. Early warning information collected by partners should be processed, distributed and discussed locally before onward delivery to partner head offices. DG ECHO supports the Integrated Food Security Phase Classification (IPC) process, the goal of which is to improve early warning (see Section 4.4, p 14).

(9) DG ECHO's cross-border work represents a good start in the direction of regional drought early warning and management but, given pastoralist mobility and that of the main threats to their livelihoods (drought, animal disease and conflict) this aspect needs to be expanded (see Section 4.3, p 12).

(10) Little attention has been paid to experimenting with different ways to diversify livelihoods and especially to support and encourage those who have to move from a pastoralist to a diversified economy. While micro-finance (savings, credit, perhaps index insurance and training) has been addressed at a relatively low level, such intervention is limited by both time constraints and DG ECHO's mandate. The Evaluation Team recommends that DG ECHO should encourage DG AIDCO and DG Development to adopt pilot strategies which recognise micro-finance's potential role in economic diversification out of pastoralism, as a response mechanism by herders (see Section 6.2.2, p 21).

Strategic directions for DG ECHO funding

(11) The areas visited by the Evaluation Team manifest widespread evidence of very dry conditions and in a few cases early, but not yet serious, water shortages while abnormal population movements were not evident. However, judged against the background of the previous five years' erratic rainfall patterns and the fact that the current short rains commenced almost one month late, the medium to long term future for the GHoA has to be considered as bleak.

(12) It is predictable, therefore, that DG ECHO will maintain an active presence in the region for the short and medium-term future, but can envisage exiting from this type of work in the longer-term. The new approach adopted by RDD addresses this reality in a pragmatic way which, while maintaining (if not improving) its emergency response capacity, addresses the key factors of the populations' vulnerability. Although DG ECHO cannot commit itself to remain indefinitely in the arid areas with the RDD approach, in practice it will find it difficult to leave without having set in place a structure of preparedness which will allow its emergency interventions to be triggered and executed efficiently whenever the situation deteriorates. This is the direction in which the programme is currently moving and should be maintained (see Figure 2, p 10).

(13) This report raises important considerations about the future direction of pastoral and agro-pastoral livelihoods systems in the GHoA which are relevant to the way DG ECHO constructs its funding portfolio (see Section 6.2.2, p 21).

(14) The drought/recovery cycle causes a reduction/expansion of livestock production and a reduction/expansion of the size of the human population involved in the sector such that the industry remains at low levels of economic productivity. Successful growth in the pastoral economy and reduction of drought risk require a reduced involvement of the human population (see Section 6.2.2, p 21).

(15) Actions are needed outside the pastoral livelihood system, especially with the ‘drop-outs’ who have little opportunity to build up the livestock capital necessary for success. The Evaluation Team recommends that DG ECHO develops a strategy to address this issue through funding alternative, more diversified livelihood opportunities including those of agro-pastoralism (see Section 6.1 Item ii, p 20).

(16) In order to achieve sustainability, the Evaluation Team recommends that DG ECHO should more explicitly aim at building local communities’ and institutions’ capacity, to progressively take over functions currently performed largely by international donors and Non Governmental Organisations (NGOs). Taking the example of water point construction, in which NGOs currently undertake a large proportion of the technical tasks of design and implementation, many of these could, with suitable training and supervision, be performed by community members themselves. As such, community take-over of tasks such as, inter alia, location, design, quantities, procurement, safety and masonry, would represent a realistic exit strategy (see Section 6.2.3, p 23).

(17) Activities which cannot be taken over in this way could be performed and managed, with training and supervision, through community contracts with specialists. Sustainability implies handing over activities to local authorities or communities. In most cases, this principle only receives ‘lip service’. DG ECHO needs a much bolder approach to this strategy if it is to achieve realistic exit strategies (see Section 6.2.3, p 23) .

(18) DG ECHO should plan to be active in the region until the types of activity listed above have been completed and effective drought management and preparedness systems are in place, so that DG ECHO emergency interventions can take place effectively and rapidly. The Evaluation Team estimates that this will take at least ten years; earlier if more developmental institutions can be persuaded to take over DG ECHO’s role but not before a period of alignment of the institutions’ interventions and not less than two to three typically eighteen month phases (see Section 8.8.5, p 32).

(19) DG ECHO currently builds its intervention portfolio through a ‘call for concepts’ from its partners. While this does encourage the raising of novel intervention ideas, the resulting programme is in danger of lacking cohesion in terms of geographic spread and intervention balance, particularly when changes in DG ECHO staffing occur. It also risks non-holistic interventions in communities (for example, water catchment without pasture or pasture without water). The Evaluation Team recommends the formalisation of DG ECHO analysis of needs and prioritisation of interventions prior to call for partners. While this proactive approach is prescriptive, DG ECHO Nairobi does have the necessary technical expertise and several NGO partners have expressed an interest in such a process (see Table 4, p 38 and Section 6.1, p 20).

Table 1: Matrix of Main Conclusions, Lessons Learnt and Specific Recommendations

Main Conclusions	Lessons Learnt	Specific Recommendations
<p>1. Management institutions 1.1 Local drought management institutions Some Government drought management systems in the region (notably in Kenya) can provide a model of best practice if, with suitable adaptation, they recognise the specific vulnerabilities of populations in the Greater Horn of Africa.</p>	<p>In a number of cases, DG ECHO partners do not adequately cooperate and coordinate with local authorities (notably sustained attendance at District Steering Groups in Kenya. EC NUREP¹ ‘pilots’ in Uganda show that strong local authority involvement over the whole project cycle achieves sustainable results.</p>	<p>DG ECHO partners must focus more attention on their cooperation and coordination with local drought management authorities. *DG ECHO/EC Delegations should advocate for adoption of the Kenyan model in other countries of the Greater Horn of Africa Importance level: 2</p>
<p>1.2 Community institutions to prepare for drought, including customary authorities Community institutions and customary authorities have drought preparedness/response mechanisms which would benefit from capacity building</p>	<p><i>ditto</i> EC NUREP with regard to community participation</p>	<p>DG ECHO partners should continue to support community drought management institutions and customary authorities. Importance level: 3</p>
<p>1.3 Regional drought management institutions Climate change has impacted heavily across the Greater Horn of Africa, and regional drought management institutions have a fundamental role to play in addressing its consequences</p>	<p>DG ECHO has had little or no collaboration with regional drought management institutions which could have strengthened its regional and cross-border endeavours.</p>	<p>DG ECHO should collaborate, learn from and continue to support the regional drought management institutions more strongly through regular mutual exposure and sharing of ideas. DG ECHO can use regional drought management institutions to carry out some of its advocacy tasks. Importance level: 1</p>
<p>2. Information 2.1 National early warning and response mechanisms are in place in Kenya, Uganda & Ethiopia but lack full community & Non-Governmental Organisations.</p>	<p>Several partners are involved in Early Warning Systems, but, except for veterinary information, there is little partner coordination or harmonisation with national systems.</p>	<p>DG ECHO should continue to support national Early Warning Systems at local levels and particularly ensure partners’ more direct feedback to local community organisations. Importance level: 2</p>
<p>3. Planning 3.1 District level contingency planning is fair to poor to non-existent in the three countries visited. DG ECHO-funded drought interventions in 2006 were, however at the origin of the Drought Management Initiative in Kenya.</p>	<p>The Drought Management Initiative in Kenya, its Integrated Phase Classification and National Drought Contingency Fund presents a model of best practice if adapted and made to work</p>	<p>DG ECHO should: i) expand its support to preparation of experimental contingency plans; ii) evaluate existing pilot projects as models for district ‘shelf plans’; *iii) expand its support to the Drought Management Initiative & Integrated Food Security Phase Classification processes in Kenya by advocating for their wider adoption and longer-term funding (by the EC Kenya Delegation) according to their founding ethos;</p>

¹ Northern Uganda Rehabilitation Project

		<p>*iv) advocate for Drought Management Initiative replication in other countries of the Greater Horn of Africa</p> <p>v) expand its support to work on cross-border contingency issues</p> <p>Importance level: 3</p>
<p>3.2 Technical content of district contingency & development plans is <i>ditto</i> 3.1 above and is not 'state of the art'.</p>	<p>The quality of district level technical staff tends to be good but limited by poor financial resources for transport, innovation and implementation of ideas.</p>	<p>DG ECHO should continue to support experimental work on water, animal health/nutrition, fodder production/storage, grazing management, emergency livestock marketing /offtake, cereal market intervention, alternative livelihoods and household food security</p> <p>Importance level: 3</p>
<p>3.3 Livelihood diversification</p> <p>There is little understanding of the dynamic of pastoral drop-out and little DG ECHO intervention to address the necessity for livelihood diversification.</p>	<p>Micro-finance is fundamental in drought recovery management. The concept of Index Insurance has viable possibilities in DRM</p>	<p>DG ECHO should develop a strategy to address the problem of post-drought pastoral 'drop-outs' with a view to encouraging alternative livelihood opportunities.</p> <p>*In this regard, DG ECHO should encourage micro-finance interventions & micro-finance training by other services such as DG DEV and DG AIDCO</p> <p>Importance level: 2</p>
<p>3.4 Conflict resolution</p> <p>Very significant areas of land are inaccessible due to inter-tribal conflict.</p>	<p>Conflict resolution can lead to shared watering points, negotiated pasture access and so exploitation of otherwise unused resources.</p>	<p>DG ECHO should continue to support conflict resolution training and experimentation</p> <p>Importance level: 2</p>
<p>4. Contingency funds</p> <p>The Kenyan Drought Contingency Fund presents a good model for replication in the other countries of the Greater Horn of Africa</p>	<p>Drought Contingency Funds are essential to the functioning of drought management plans such that implementation of contingency plans can be initiated as soon as Early Warning Systems signal deterioration.</p>	<p>DG ECHO should make funding available for experimental 'shelf project' implementation.</p> <p>Importance level: 2</p>
<p>5. Advocacy</p> <p>There is widespread ignorance of pastoralism's economic significance and its complex systems.</p>	<p>Pastoralism's poor image and attitudes towards it are an impediment to successful intervention and can only be changed by advocacy at several levels.</p>	<p>DG ECHO should expand its support to advocacy efforts towards Governments, International Institutions, Donors, Local Authorities and Community Institutions</p> <p>Importance level: 3</p>
<p>6. Coordination</p> <p>FAO has made an important contribution to Regional Drought Decision (nationally and in the field) in terms of coordination, technical support and the setting of standards.</p>	<p>It is a difficult task to keep together a large group of disparate projects (across a huge region) such that they feel part of a single endeavour</p>	<p>DG ECHO should continue its partnership with FAO.</p> <p>Importance level: 2</p>

NB: Importance level is the mission's opinion of the significance of the recommendation in future programming; the range is from 0 (insignificant) to 5 (substantial).

* denotes recommendations to other EC funding sources

1. Introduction

(20) This report is written within the framework of the Mid-Term Evaluation Terms of Reference (see Annex 2) and particularly within that of the Evaluation Questions contained therein.

(21) The beneficiaries of the activities described in this report are the rural inhabitants of northern Kenya, Uganda and southern Ethiopia. This includes several types of rural economy. Pastoralism is a key rural livelihood system in the Greater Horn of Africa (GHOA) since large areas of land, which are not suitable for cropping, can feed livestock. The terms ‘pastoralism’ and ‘pastoral economy’ are used in this report to cover this main livelihood system of the arid areas. The technical definition of pastoralism (a livelihood system in which livestock are at the origin of more than 50 percent of total gross household income), which includes people who also cultivate on a small scale, covers the main livelihood systems of concern in this report. Recent research² has shown that, contrary to widely held beliefs, pastoral livelihood systems thus defined are the source of an important contribution to national economic activity. Their disappearance would cause important economic losses to poor countries which could ill-afford such losses.

(22) Pastoralists and agro-pastoralists are not the only inhabitants of these lands. There are dryland farmers with few livestock, although ownership or usufruct of some livestock is an almost essential condition for living successfully in this dry area. The area population includes many households of drop-outs from the pastoral and agropastoral systems, who hope to rebuild their assets and rejoin a functioning livelihood system, although the ability of most such people to do this must be in doubt.

(23) In addition to these main livelihood systems, there are small numbers of farmers with irrigation potential. And there are people whose livelihood depends on processing and marketing the products from farming and herding, or on supplying services to farmers and herders. There are also a small number of people for whom fishing is an important part of a livelihood portfolio.

(24) All the livelihood systems in the region are vulnerable to rainfall variability which is a significant factor in the region. Drought risk reduction is the core strategy of the Directorate General (DG) ECHO’s Regional Drought Decision (RDD) in the GHOA and particularly with regard to its impact on livelihood assets such as livestock and the agricultural capital of farmers.

(25) The mission objective was to evaluate the achievements or otherwise of the DG ECHO funding decisions (ECHO/-HF/BUD/2008/01000, committing Euros 30 million and the previous ECHO/-HF/BUD/2006/01000 which committed Euros 10 million) which were adopted to support operations to reduce risks and impacts of droughts on the vulnerable populations in the region. Specifically, the purpose was ‘to assess the appropriateness of DG ECHO’s actions in order to establish whether they have achieved their objectives and to produce recommendations for improving the effectiveness of future operations in the Greater Horn of Africa.’ The ToRs specify that the evaluation is to focus on: Disaster Preparedness, Water, Sanitation and Hygiene Promotion, Food Assistance, Short Term Food Security and Livelihood Support. The Evaluation Team has focussed principally on the impact of the drought decisions, not on the broader issues connected to food aid.

² I. Scoones, 1995, 'New directions in pastoral development in Africa,' in I. Scoones, ed., 'Living with Uncertainty: New Directions in Pastoral Development in Africa.' Intermediate technology Publications.

S. Devereux, 2006, 'Vulnerable Livelihoods in Somali Region, Ethiopia.' IDS Research Report 57. University of Sussex: IDS

S. Devereux, 2008, 'Cashing In or Crashing Out? Pastoralists in Somali Region, Ethiopia.' University of Sussex: IDS

IIED, 2007, Workshop on total economic value of pastoralism.' Nairobi.

IUCN, 2008, 'A Global Perspective on the Total Economic Value of Pastoralism.' Nairobi: ILRI and IUCN.

- (26) The mission was carried out between 3rd and 31st March 2009 by:
- John Wilding, a specialist in Food Security and Agriculture;
 - Jeremy Swift, a specialist in Pastoralism and Drought Management; and
 - Hans Hartung, a specialist in Water and Sanitation.

(27) During the mission, the full Evaluation Team visited projects in Kenya and Ethiopia and two Evaluation Team members visited projects in Uganda. Project co-ordinators from the Food and Agriculture Organization (FAO) accompanied the Evaluation Team in the field.

2. Methodologies

(28) The selection of projects to be visited in the field was made by the Evaluation Team, with DG ECHO advice in Nairobi, on the basis of their accessibility as part of a field trip of reasonable duration by the evaluation mission. The original schedule proved too ambitious and visits to several project partners had to be cancelled in the course of field work itself. It had been agreed during a telephone briefing with Brussels before the mission, and with the Regional Drought Co-ordinator in Nairobi, that the Evaluation Team would not evaluate individual projects. Nevertheless the mission was able to give immediate feedback in the field to all projects visited.

(29) In each project location, meetings were held with project partners, beneficiaries and non-beneficiaries³. Meetings with beneficiaries were organised as stakeholder analysis/focus group interviews in which the subjects for discussion are obvious or decided in advance of the meeting. The limited time available rendered unsuitable the use of genuine focus groups, where any subject can be raised and discussed.

(30) Government officials were questioned about the programme in each area visited, where they had a presence, and also in district/*warda* headquarters. The Evaluation Team interviewed key officials in Nairobi (including the Minister for Northern Kenya and Other Arid Lands), in Kampala and in Addis Ababa. Partner meetings were held in each capital towards the end of the programme and this enabled the Evaluation Team to present preliminary conclusions for discussion.

(31) Evaluation Team members read all available literature on project activities as well as useful and well-presented summaries of the programme prepared by FAO.

(32) During the final week of the mission, Evaluation Team members held discussions with EC Delegation staff in Nairobi, Kampala and Addis Ababa; other donors, notably the United States Agency for International Development (USAID); and other implementers, notably the World Food Programme (WFP).⁴

(33) On 26th March, the Evaluation Team debriefed a meeting of senior officials from DG ECHO A2- East, West & Southern Africa, Indian Ocean Brussels and TA field staff on its preliminary conclusions. On 30th March, the Evaluation Team's conclusions were discussed with a large group of NGO partners at a meeting in Nairobi. Between 19th and 22nd April, the Evaluation Team Leader briefed a conference of RDD partners in Isiola District, Kenya and took part in analytical and planning workshops. On 27th April, the Evaluation Team debriefed with DG ECHO Evaluation and concerned officers.

³ Although time restrictions limited deep discussions with non-beneficiaries

⁴ Time restrictions severely limited the opportunity for such meetings.

3. Context and background

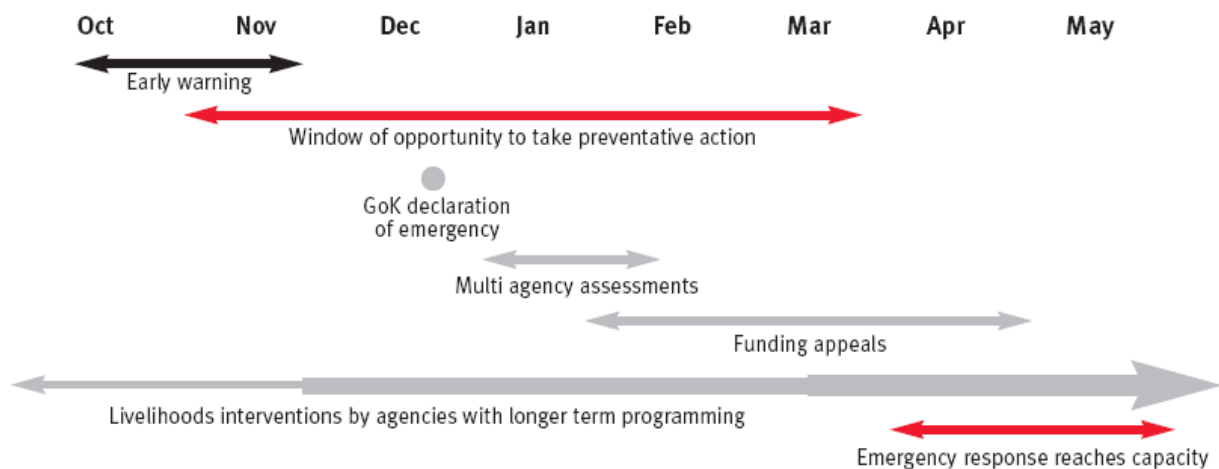
3.1 History

(34) Towards 2006, DG ECHO began to look at approaches to its work in the GHoA against the background of:

- climate change;
- increasing incidence of recurrent drought;
- increasing severity of floods;
- increasing incidence of conflict;
- increasing incidence of epidemics;
- rising population pressure;
- increasing environmental degradation;
- decreasing resource base;
- increasing fragility of livelihoods.

(35) It was clear that the incidence of humanitarian crises was accelerating along with their frequency and severity, yet the recent history of DG ECHO response times illustrated that these were slow and up to six months beyond the point at which intervention was most needed, as illustrated (in Figure 1. below) by an ODI (Overseas Development Institute) study of the responses of donors including those of DG ECHO.

Figure 1. Typical response to drought in the Horn of Africa⁵



(36) The delays are typically due to the facts that:

- alarm is typically not sounded until GAM rates (Global Acute Malnutrition) reach a predetermined threshold level in monitored under five year old children, yet such visible indicators of malnutrition stress do not appear until some three months after the onset of nutritional deficiency;
- proposal presentation, selection, funding agreement and agency mobilisation can take up to another three months.

(37) This situation was unsatisfactory in that immediate needs were not met in a timely and most effective way and DG ECHO response did not represent Emergency Relief but a somewhat confused rehabilitation intervention which, because late response leads to poor recov-

⁵ ODI, "Saving lives through livelihoods: critical gaps in the response to the drought in the Greater Horn of Africa". London, 2006

ery, sometimes left victims in a weaker position than in their status quo ante. More specifically, they continued in a downward spiral of asset loss and poverty.⁶

(38) At the same time, development intervention by other services to address the structural causes of vulnerability in the GHoA was not significant and often poorly adapted. DG ECHO considered that it was now time to address the saving of livelihoods and building resilience while keeping a watching brief on and developing a mechanism for faster response to immediate needs. Against this background, the previous DG ECHO policy of Emergency Response in the GHoA appears outdated.

(39) DG ECHO thus developed a new approach as illustrated in its funding decision ECHO/-HF/BUD/2006/01000 and encapsulated in ECHO/-HF/BUD/2008/01000 with its longer, eighteen month, implementation period.

(40) With its adoption of the Food aid budget line⁷, previously under responsibility of DG AIDCO in 2007, DG ECHO became availed of a greater range of budgetary instruments as follows:

- **General Humanitarian Aid budget;**
- **DIPECHO** (Disaster Preparedness), which enables drought preparedness through analysis activities, early warning, response design and contingency planning (including a small rapid response fund). This instrument focuses on resilience building and the establishment of linkages to longer-term intervention;
- **Food Aid budget**, which enables short-term emergency food security interventions, food aid, nutrition actions, resilience building and initiatives to improve analysis at country and regional levels;
- **B Envelope** of the 10th European Development Fund (EDF) (right to access to 25%)

Decisions now include:

- **Global Plans;**
- **Ad hoc decisions;**
- **Emergency decisions;**
- **Primary Emergency decisions;**

(41) The Regional Drought Decision is an example of a multi-country Ad hoc decision and enables drought risk reduction to include supporting comprehensive actions which allow timely and effective humanitarian responses in order to reduce the impact of droughts on the main assets (livestock and agriculture) of the local population.

3.2 DG ECHO's comparative advantage

(42) As illustrated in **Figure 2.** below, DG ECHO adopted the strategy of maintaining a short- to medium-term presence in the region (subject to subsequent decisions) with the objectives of:

- faster, earlier and better emergency response;
- preserving victims' dignity;
- addressing the underlying causes of vulnerability;
- contributing to the building of resilience to shocks through preparedness actions;

⁶ This condition was communicated to the Evaluation Team by victims throughout the field mission.

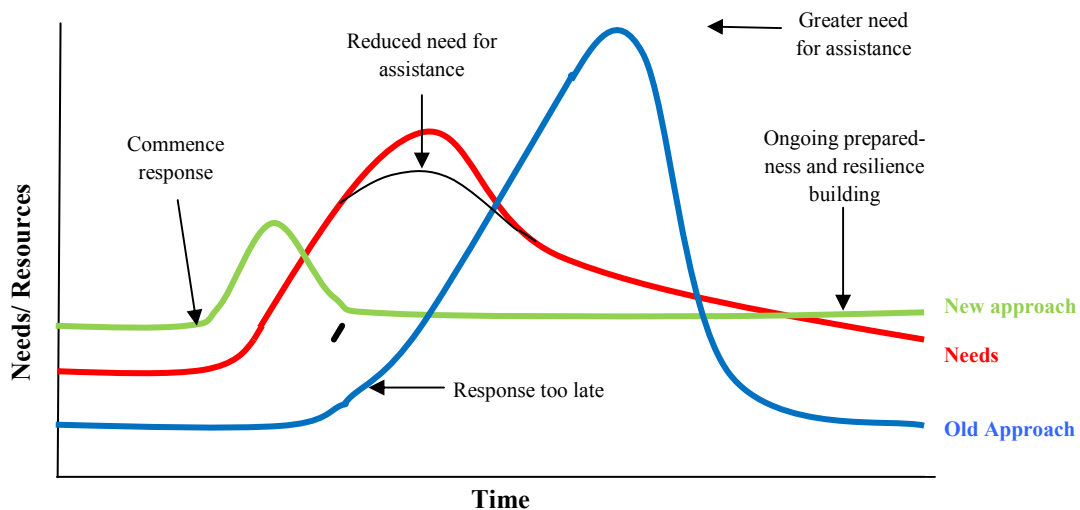
⁷ The Commission's communication establishing the principle of "one instrument per policy area" to improve the efficiency of Community action and the Commission's communication on the financial perspectives 2007-2013, transferred the responsibility for the management of **humanitarian food aid** from DG AIDCO to DG ECHO, with effect from 1st January 2007. It should be noted that food aid was added to focus on food assistance given as humanitarian aid, as distinct from Food Security activities

- reducing the level of need resulting from shock;
- building resilience to recover;
- leaving victims in a condition closer to their status quo ante; and
- paving the way for longer-term development intervention by other services.

(43) The critical point about **Figure 2** is the trade-off between preparedness and emergency. Effective preparedness reduces the need for emergency funding. It also reduces human suffering and poverty.

(44) DG ECHO's access to fairly rapid and flexible funding within a legal base,⁸ which covers the issues described in **Paragraph 5** of the **Executive Summary** above (and more), gives it a considerable comparative advantage *vis-a-vis* the other Commission services whose financial and implementation instruments may be employed by the concerned EC Delegations towards interventions which will address the same causal factors of the region's problems, but on a longer term basis.

Figure 2. DG ECHO's new intervention approach in the GHoA



(45) The critical point about **Figure 2** is the trade-off between preparedness and emergency. Effective preparedness reduces the need for emergency funding. It also reduces human suffering and poverty.

(46) DG ECHO's access to fairly rapid and flexible funding within a legal base,⁹ which covers the issues described in **Paragraph 5** of the **Executive Summary** above (and more), gives it a considerable comparative advantage *vis-a-vis* the other Commission services whose financial and implementation instruments may be employed by the concerned EC Delegations towards interventions which will address the same causal factors of the region's problems, but on a longer term basis.

(47) The idea of linking relief, rehabilitation and development (LRRD) was conceived within the Commission in the early 1990s in order to enable smooth transition from one type of intervention to the other and should have defined the relationship between DG ECHO¹⁰ interventions and those of the other Commission services. Unfortunately the establishment of Drought Management Initiative (DMI) in Kenya and *Karimoja Livelihoods Programme (KALIP)* in Uganda (see **Section 7** below), did not bring instruments to the EC Delegations in the region with the necessary size, flexibility and durability for effective linkages to be created.

⁸ Council Regulation (EC) No.1257/96 of 20 June 1996 concerning humanitarian aid

⁹ Council Regulation (EC) No.1257/96 of 20 June 1996 concerning humanitarian aid

¹⁰ Established in 1991

(48) Other EC instruments however, and notably the Water Facility and the National Disaster Facility (which will be used to support the InterGovernmental Authority on Development [IGAD]), are available to the EC Delegations and could provide viable opportunities for LRRD between them and DG ECHO. The latter should advocate with the EC Delegations towards their adoption of such instruments.

(49) Currently, therefore, DG ECHO has to look to other institutions, Government and communities to find potential linkage partners.

(50) In Kenya, an LRRD approach has been adopted by the national drought management strategy run by the new Ministry for Northern Kenya and Other Arid Areas and the Ministry for Special Projects in the Office of the President where the Arid Lands project is located. This represents a feasible LRRD route for DG ECHO to follow in passing over some of its projects to the Kenyan local authorities following an adequate alignment period of both institutions' interventions.

4. Regional best practice and RDD activities

4.1 Introduction

(51) Activities have to be evaluated against a specific model of activities or set of expectations. The Evaluation Team chose to evaluate the RDD programme against its assessment of regional best practice in drought vulnerability reduction as demonstrated particularly by Kenya, and especially against the requirements for identification of suitable drought contingency plans. The Ethiopian World Bank-funded Pastoral Community Development Project, see also Section 7.1, p 24 and 8.8.5 p 32, also provides elements of best practice.

(52) The identity of the key players needs clarification. Long term sustainability of drought management will only be achieved when, as well as building community capacity, DG ECHO partners work with local authority drought services at strategic and operational levels. In the long term, only communities and Governments will be able to guarantee protection from drought risk. In this perspective, partners' projects should be judged against three criteria:

- the technical quality of the work itself - although this was not the Evaluation Team's task, some general remarks are made about it;
- how far the intervention created community capacity to develop the work further without continued external project assistance; and
- how well the intervention fits into and contributes to Government strategy.

(53) The understanding of drought management best practice in the GHoA is summarised in **Table 2** (p 12) with the performance of some key partners in the DG ECHO programme measured against it. Two questions are then asked:

- what gaps are there in the coverage of the partners' drought management agenda and what is their significance; and
- what general lessons can be drawn for future DG ECHO strategy from the programmes that do exist? The aim is to examine how far the present DG ECHO programme is a coherent response to drought management problems facing rural people in the GHoA and what more needs to be done to ensure effectiveness and sustainability.

4.2 Best practice in drought management and the DG ECHO programme

(54) **Table 2** provides a checklist of some best practices emerging from previous work on drought management (especially the work of Arid Lands in Kenya and of the Pastoral Community Development Project in Ethiopia) summarised in the preceding paragraphs and dis-

cussed in section 7 of this report. It identifies some of the corresponding work of partners funded by DG ECHO, including a simple rating of its impact.

4.3 Gaps in the coverage of risk reduction best practice

(55) Table 2. shows that work on a wide range of subjects has been carried out with DG ECHO funding. Many of the activities seen in the field were of high quality and the Evaluation Team saw few failing or failed projects.

(56) Table 2 also shows that there are gaps in the coverage of the risk reduction best practice agenda. The most significant concerns the limited activities concerning markets. Despite severely limited public investment, livestock markets make a critical economic contribution both to local livelihood systems and to the regional economy. For example, livestock exports from the pastoral areas of Ethiopia are estimated to exceed US\$150 million per year. In a poor region of a poor country this is highly significant.

Table 2. Best practice in drought preparedness/management and some activities of DG ECHO RDD partners

Best practice	Examples of DG ECHO partners who contribute to this activity ¹¹	Impact rating ¹²
1. Management institutions		
1.1 Appropriate Government drought management institutions at district/ <i>wareda</i> and national levels with technical and decision-making abilities.		0
1.2 Strengthened community institutions to cope with drought, capacity building	<i>Cross border:</i> Oxfam GB, VSF Consortium	3
1.3 Clarification of role and responsibilities of customary authorities and rules		2
1.4 Regional (Horn of Africa) drought management institutions		0
2. Information		
2.1 Reliable and timely flow of information (‘early warning system’) from community to national level, and back to communities, with attribution of drought warning stages.		1
2.2 Regional early warning and coordinated response		0
3. Planning		
3.1 District level contingency planning process: <i>Contingency plans</i> Production of regularly updated, technically screened contingency plans, negotiated and agreed by district stakeholders, to be implemented by EWS trigger	<i>Cross border:</i> VSF Consortium, CARE International	2
<i>Cross-border issues</i> Planning for cross-border issues arising from drought; joint projects of populations either side of border; cross-border livestock trade	<i>Cross border:</i> VSF Consortium, CARE International	3
3.2 Technical content of district contingency and development plans: <i>Water</i> Rainwater catchments and runoff management Traditional well improvements (rock wells, shallow wells) Water storage, dams	<i>Cross border:</i> Oxfam GB, COOPi, Cordaid, Danchurch Aid <i>Uganda:</i> Medair UK, IRC, <i>Kenya:</i> GAA, Danish Red Cross, Oxfam GB <i>Ethiopia:</i> GAA, Danchurch Aid, Ca-	5

¹¹ This column shows a sample of organisations active in a particular field; it is not comprehensive.

¹² Impact rating is the mission’s subjective estimate of the significance of partners’ contribution to the development of best practice on this theme: the range is from 0 (insignificant) to 5 (substantial).

Source: Data calculated by the mission from DG ECHO’s summary table: *All Projects Funded*. Rating by the Evaluation Team as above.

Boreholes Water and sanitation	Caritas Germany	
Animal nutrition and health Emergency animal feed supplements Animal health Cultivation, storage and marketing of hay	<i>Cross border:</i> Oxfam, COOP, VSF Consortium, Danchurch Aid, CARE International. <i>Kenya:</i> Oxfam GB <i>Ethiopia:</i> ACF, Caritas Germany, LVIA, SCUS	5
Grazing management Formalisation of pasture access rights Preparation of grazing management plans Dry season grazing reserves	<i>Cross border:</i> Oxfam, CARE International,	3
Markets Emergency livestock market interventions, including emergency livestock off-take or slaughter Cereal market interventions Other market interventions	<i>Ethiopia:</i> CARE International, Save SCUK, SCUS	3
Livelihood enhancement and food security Household food security, stores of food and other assets Support to household livelihood and coping strategies	<i>Cross border:</i> VSF Consortium, Cordaid <i>Ethiopia:</i> SC/UK, ACF, Danchurch Aid, Caritas (G)	3
Livelihood diversification Microfinance Savings and loans Index insurance Hire purchase		1 1
3.3 Conflict resolution Peace initiatives	VSF Germany	3
4. Contingency funds 4.1 Shelf projects funded from district contingency funds 4.2 Funding from district development funds 4.3 Advocacy 4.4 Coordination: National Cross border Regional (international)	<i>Cross border:</i> FAO,Oxfam National and cross border: FAO Regional: FAO	0 0 4 4 3 0
5. Other 5.1 Training 5.2 Research (incl. livelihood baselines)	Pastoral field schools: VSF Belgium Oxfam, SC/UK	3 2

(57) Market failure is, in most cases, the main cause of food insecurity and famine for all vulnerable populations in the Horn and East Africa. A rapid decline and then collapse of livestock prices together with a simultaneous rise in prices of staple cereals create a price scissors effect which leaves pastoralists with insignificant purchasing power even when they still have animals, and food grains. A rise in staple cereal prices at the same time as wages fall has the same impact on rural labourers. Farmers who sell part of their harvest at harvest time to reduce debts, and buy cereals back in the hungry period before the next harvest are helpless when prices have risen rapidly in the intervening period.

(58) The Evaluation Team understands that marketing was considered to be a developmental activity and ineligible for DG ECHO funding. In the Evaluation Team's view, many of the operations of the market and especially measures to prevent market failure, such as destocking and other potential market stabilisation measures, as well as measures to re-establish relative prices within the normal range, are among the most powerful tools available to maintain immediate food security. As such, they can be legitimately classified as humanitarian

activities. The mission recommends that such market intervention should be placed upon any list of potential DG ECHO activities.

(59) While support to Government activities at the national level is beyond the scope of DG ECHO intervention, the lack of substantial DG ECHO activities in support of local authority drought management institutions is surprising. These institutions, however inadequate, are increasingly the primary managers of drought risk. They are part of the prime mechanism through which sustainability can be achieved and their work cannot be performed by community organisations or the private sector.

(60) An additional reason for supporting such institutions at the local level in Kenya and Uganda is that a link would be made with EC supported Central Government structures: in Kenya the Drought Management Initiative, in Uganda KALIP and in Ethiopia the World Bank supported work on early warning and rapid response. RDD support to drought management institutions at the local level provides the chance of contributing materially to the capabilities of these institutions.

(61) Little work is done on micro-finance, for the reason that micro-finance is considered to be a development, not an emergency, activity. This ignores the important role some types of micro-finance may have in preparing for drought emergencies. The best example is the work on index insurance currently being experimented by the International Livestock Research Institute (ILRI) on the basis of successful experiments in Mongolia. Similarly, micro-finance can be an invaluable support to economic diversification. DG ECHO should reconsider its resistance to micro-finance in its programme.

(62) Table 2 suggests that although work is done on early warning, it is generally not coordinated nor harmonised with other sources of early warning or with national early warning programmes. There is little common understanding by partners about what early warning best practice is. There is little integration of local knowledge and little discussion of the message that should be going out to communities.

(63) There is also no significant work on regional drought early warning and management, although some of the cross-border work is a start in that direction. Given the mobility both of pastoralists and of the main threats to their livelihoods (such as drought, animal disease and conflict), this is surprising. More generally, cross border work is proceeding well. The Nairobi ECHO office, for example, manages three cross border partners on the Ethiopia/Kenya border, all doing useful work under difficult circumstances.

(64) The above table also shows that not much work is being done explicitly on livelihood diversification, although several other activities will contribute to this. Diversification into processing of livestock products may provide economically favourable business opportunities. Research from the Kenya Agricultural Research Institute has shown for example that the commercial value of wet salted hides is increased by a factor of three to five times as compared to sun-dried hides, by use of a simple technology. Some work is being done on savings and credit schemes which have an important potential role to play in drought planning. There are currently probably more credit than savings schemes.

4.4 Research and advocacy

(65) Mention should be made of research and advocacy within the programme. The inadequacy especially of pastoral policies in the region results from an inadequate understanding of pastoralism and the problems the vulnerable people in drought-prone areas of the GHoA face. Research therefore plays a key role. Research is not within the mandate of DG ECHO but recent research by other organisations is improving understanding of pastoral livelihoods and vulnerability to drought. Work describing livelihoods and drought cycle management by Oxfam¹³ and livelihood baseline studies by Save the Children US and UK¹⁴ (SCUK) in Ethiopia and Kenya are of special interest.

¹³ Drought Cycle Management, Oxfam, Oxford, 2007

(66) The SCUK model of livelihood mapping provides information about types of livelihood, marketing and natural resources, and uses these maps to define zones containing similar livelihood systems. Data are also provided on population, wealth and poverty, relevant historical events, seasonal calendars, household food and income, vulnerabilities, coping strategies and early warning indicators, as well as how to use the baseline data to help local people withstand livelihood shocks. This is essential background for the development of accurate plans for drought risk management.

(67) An important research activity under the Drought Management Initiative (DMI), outside the DG ECHO programme but related to it, is the work by FAO within the Arid Lands project on Integrated Food Security Phase Classification (IPC). While this does not represent Early Warning, it classifies the severity of existing crises for response purposes (see Section 4.6, below).

(68) Also related to research is the Global Information System (GIS) mapping being produced by the FAO team in Kenya and Ethiopia. The FAO team, alone or at times with partners such as CARE in Mandera (where maps of normal and emergency livestock movement routes are being prepared) is mapping large amounts of data in ways which lead to an improved understanding of certain problems. Maps are a universal language and can significantly facilitate discussion with local communities. Indeed, the Evaluation Team believes that significant research potentials (eg. in natural resource management or the geographic distribution of drought stress on households) are opened up by maps which can become an instrument of dialogue between researcher and people living in the ASAL of the GHOA. In Kenya, eg. the Department of Arid Lands is already supplying maps to communities who, in some cases, are asking for higher resolution maps. The maps produced by the FAO team in Ethiopia are especially useful.

(69) Advocacy plays an increasing role in partner activities and in NGO programmes generally. Oxfam has led campaigns promoting better understanding of pastoral livelihoods and the specific ways in which they are vulnerable to drought. Many partner organisations now carry out advocacy as a part of their programme. Advocacy is particularly important in Ethiopia, where government attitudes towards pastoralism are still negative, and underpinned by inaccurate myths.

(70) It will be important to make greatest possible use of the work of the last two DG ECHO programmes in the development of its future strategies. Some partner organisations are excellent analysts and communicators of information about their programmes while others are not. There is a tendency to move rapidly from the successful completion of one action to the start of another, without properly documenting the results of the first. The work summarised in Table 2 is a large investment in how to respond to key aspects of drought. This information needs to be analysed and written up theme by theme in order to make the conclusions available to the community of practitioners and especially to the vulnerable populations themselves. Among other uses, many activities summarised in Table 2 provide models for projects to be included in district contingency plans. This will require a detailed analysis of each project to make sure its lessons have been learned and, where appropriate, replicated.

4.5 National drought contingency fund

(71) Perhaps the most important work under the DMI in Kenya is the development of a National Drought Contingency Fund (NDCF). This is limited to Kenya for the moment, but there is no doubt that it constitutes a key part of regional best practice. Lessons from the implementation of this fund will be valuable for Uganda and especially Ethiopia as drought management develops there. Currently in Ethiopia, there is no dedicated fund which can be accessed via a trigger by the early warning system. There are a number of funds – including

¹⁴ Understanding Livelihoods and Vulnerabilities; Making the Most of Livelihood Baselines, SC UK, London, 2007

the national disaster prevention and preparedness fund which is a general non-food emergency intervention mechanism, which can help when the early warning system indicates an approaching threat - but these do not meet the criteria for rapid access in an emergency.

(72) Contingency plans cannot be put into action without special funding outside the normal district contingency budget line. As said above, an NDCF is currently being implemented in Kenya, and should be fully operational by mid- to late 2009. These multi-donor and Government funds are primarily for disaster response purposes and are not, therefore, drought risk reduction oriented nor are they to be used for ordinary district development. Part of the fund may be held in districts and the disbursement modalities are designed to encourage speed and flexibility. The purpose of contingency funds is to make it possible for contingency plans to be implemented as soon as the early warning system signals a serious downward shift in the district warning status.

(73) European Commission (EC) contingency funds are theoretically available at the moment in Kenya but the transfer and accounting mechanisms have not yet been finalised. Some contingency funds are available but these are from the World Bank and advanced in anticipation of the release of EC funds.

(74) The present intention is that contingency funds for different activities in the Kenyan district contingency plans will be released only to the responsible line ministry at district level through the district drought management office. It would be preferable to have a set of rules under which funds can also be released directly to local community organisations where they have demonstrated the ability to prepare and implement contingency plans up to the required standard.

4.6 Integrated Food Security Phase Classification

(75) The Integrated Food Security Phase Classification (IPC) is a partnership of eight major UN agencies and international NGOs funded by EC, DG ECHO, Department for International Development (DFID) and Canadian International Development Agency (CIDA). IPC aims to provide an objective, evidence-based and transparent analysis of food insecurity issues. The aim is to provide a common classification, comparable over space and time, with early warning triggers calibrated to identify crises of similar severity in different circumstances. IPC uses all available information including classic early warning and conflict indicators. It produces high quality maps for the GHoA and is active in several other African countries, as well as parts of Asia.

(76) This work has analysed the accumulated body of early warning indicators and their relation to the designation of warning stages and will produce a revised early warning manual as well as training and supporting district steering groups. DG ECHO is funding a regional IPC project which covers Kenya, Uganda and Tanzania; Ethiopia will be covered shortly. One shortcoming of IPC is that, so far, livestock indicators are not included.

5. General description of RDD Activities

5.1 Objective of RDD

(77) The objective of RDD activities is ‘to allow timely and effective humanitarian responses in order to reduce the impact of droughts on the main assets (livestock and agricultural capital) of the rural population.’¹⁵ In terms of the drought management best practice outlined in **Section 4** of this report, it is logical to see RDD activities as experiments to develop the type of intervention to be included in district drought contingency plans as contingency (or ‘shelf’) projects. These are projects identified, designed, tested, costed and evaluated, and any necessary training undertaken in advance of a drought. These are then filed

¹⁵ Evaluation ToRs, Item 7., Page 3.

until the district early warning system signals a deterioration in the food security status, when they become activated and funded by the district drought contingency fund in order to provide incomes for households at risk of serious food insecurity.

(78) Before the introduction of RDD, such plans were largely compiled on the basis of good ideas but were rarely based on actual experience of what would be achieved. RDD has made it possible to experiment with a wide range of activities with the potential for inclusion in a contingency plan if they are proven to meet the latter’s requirements. They can then be prepared in more detail and replicated in any district in which they are suitable. The outputs of RDD activities meet this requirement admirably.

(79) For RDD projects to be used in such a way, it is essential that each project be fully evaluated with a view to its potential role in a contingency plan. Evaluations must provide a detailed account of the project and its successes and failures, as well as a short summary. This information must be made widely available in all arid and semi-arid districts and initially to District Drought Management Officers (DMOs), for discussion in district steering groups. Study visits by DMOs and other local authority staff should be made to pilot projects so that the lessons may be learned in the field.

5.2 Current RDD activities

(80) The Evaluation Team has made a rough estimate in **Table 3** of the breakdown of the total RDD commitment of Euro 27.9 m. on the basis of the budget made available to them. Activities are heavily oriented towards livestock and water and sanitation (WATSAN) which, together, take 85 percent of the funding. Community capacity building receives a rather small proportion in light of its importance. Advocacy (Euro 0.5 million to Oxfam) and coordination/technical backstopping (Euro 2.7 million to FAO) are relatively well funded.

(81) The analysis of projects by sector should not obscure the importance of providing a suitably coordinated framework linking sectoral activities into a coherent whole. Several partner NGOs do this well. For example, Save the Children US (SCUS) programme in Ethiopia links together enhanced community capacity and resilience to cope with drought through building assets, diversifying livelihoods, and improving natural resource management, improving state and non-state actor capability (including drought management) and coordination.

Table 3. Approximate composition of DG ECHO spending on drought management 2008/9 (million Euro)¹⁶

	Million Euro	Percentage
Livestock, especially animal health	11	41
WATSAN	12	44
Community institutions	1	3
Advocacy and coordination	3	11
Total	27	100

5.3 Strengths of RDD activities

(82) In line with the proposal, presented in Section 5.1 above, that RDD activities should be seen primarily as pilots for district contingency plans, the strengths of these projects will depend upon how well they may be replicated throughout the drought-affected areas.

¹⁶ Calculation by the Evaluation Team has been made on the basis of: total project budgets over the programme life were sub-divided into rough estimates of allocations for each main theme. The result is not precise, but indicates the overall trend.

5.3.1 Water

(83) Unreliable precipitation is the main factor in the region's vulnerability and, even in the worst years, there is some rainfall (and then usually torrential). It is correct, therefore, that the largest proportion of RDD funds (44%) has been directed primarily at its catchment and storage. Excellent examples of sand dams, rock catchments, over- and underground cisterns, hafirs¹⁷, open wells and roof collection have been constructed across the region. While there has been some borehole rehabilitation for immediate relief, emphasis has been on low maintenance, low technology systems.

(84) While such interventions cannot address pasture and agricultural hydrological needs, they do address: human and livestock needs, to an extent those of kitchen gardens and, very significantly, the issue of water provision at the location of otherwise unexploitable pasture.

5.3.2 Livestock and animal health

(85) Animal health is a *sine qua non* to any livestock intervention and the training of Community Animal Health Workers (CAHWs) focuses on the most fundamental issue of availing herders of veterinary medicines and specialist attention at their point of grazing. The establishment of strategically located pharmacies under trading conditions which ensure profitability to both 'shopkeeper' and CAHW is a serious move towards a sustainable animal health service. The growing network of CAHWs trained in, and practising vaccination procedures, is presenting Governments with the necessary human resources to carry out spectrum vaccination programmes against the main epidemic diseases, as and when they wish to embark on such a necessary intervention¹⁸

(86) Animal health problems caused by the current Uganda Government imposition of protective night kraaling of herds in Karamoja, which has led to a significant rise in the incidence of certain diseases such as Contagious Bovine Pleuro-Pneumonia (CBPP) and Tuberculosis, has been addressed to some degree by the monitoring of herds at certain watering points by teams of CAHWs led by qualified veterinarians. This is excellent work carried out in very difficult conditions.

(87) The significant number of veterinarians employed within RDD avails the intervention of a high level of quality personnel but, it has to be noted, the major proportion of them are not in fact practising and this does represent a loss to the profession in the concerned countries so contradicting the 'do no harm' ethos.

5.3.3 Advocacy

(88) Advocacy is principally carried out within RDD by a consortium led by Oxfam. Advocacy work is unusual within DG ECHO and Oxfam should be congratulated for including it. The intervention includes analysis of relevant policies, advocacy around policy reform, building the capacity of community organisation networks to influence policy and analysis of how pastoralists and pastoralism are perceived in the media. Building on Oxfam's research on pastoralism in its Report on the Status of Pastoralism (ROSP) programme, which aims to provide reliable statistics about pastoralism, the advocacy programme is generating factual information and evidence to underpin new policies on subjects such as climate change, demography and social issues. Veterinaires Sans Frontieres (VSF) Belgium is undertaking advocacy around cross-border issues including trade, animal health and conflict.

(89) Advocacy needs to begin at the field level. The Evaluation Team found that some Government District Officers responsible for the drought management system were poorly informed about its provisions. Others held negative views about pastoralism – a not uncommon position, but one which undermines the sophisticated interventions which the system is

¹⁷ Open-ended earth dams

¹⁸ The same comment is also relevant to vaccination against specific livestock diseases, as and when such epidemics may arise.

trying to achieve. Advocacy needs to reach the District Officers and local communities to inform them about the workings of the drought management system, and how they can contribute to and participate in it.¹⁹

5.3.4 Cross-border activities and conflict resolution

(90) Veterinaires Sans Frontieres (VSF) Germany is encouraging cross-border and cross-ethnic group dialogue through joint water point construction, joint markets and competitive sports competitions on the Kenya-Ethiopia frontier.²⁰ This has led to shared watering points and negotiated pasture access. The Evaluation Team was initially sceptical about the appropriateness of this intervention by NGOs, but the success of the VSF Germany example is convincing to the contrary.

5.3.5 Base for emergency work

(91) RDD has several strengths which are perhaps not so obvious. It has provided a field base for DG ECHO emergency response and enabled a much faster (and better) capacity for immediate mobilisation. Due to the fact that its network is ‘on the ground’, DG ECHO is aware of field conditions, is known in the field, has greater credibility, has built contacts and worked closely with a wide variety of NGOs at field level. This has brought greater flexibility to the service and should assure a more effective response in the event of an emergency.

(92) DG ECHO’s building of a store of proven ‘off-the-shelf’ project ideas has provided a significant resource of contingency plans for itself, Government, communities and other institutions in the event of an emergency response through meaningful work creation.

5.3.6 Leverage and funding

(93) DG ECHO funding has enabled NGO leverage with regard to accessing other donor funds. Unlike other DG ECHO decisions, RDD has enabled the movement of funds between countries and this has brought important flexibility.

5.4 Role of FAO

(94) FAO received an RDD grant of Euro 2.7 m in order to coordinate and technically support the intervention. FAO’s Regional Emergency Office coordinates at the regional level, while individual country interventions are coordinated by the concerned FAO country offices.

(95) FAO provides RDD partners with information about UN agency and NGO activities. Amongst a range of other services, mapping has been a particular strength. FAO has an excellent GIS and mapping group producing a large range of high quality maps and training partners in GIS mapping techniques. FAO plays an important role in technical information sharing and support, advising on technical standards and tries to dissuade donors from inappropriate interventions²¹. It supports partners in monitoring and evaluation, performance management, documentation and reporting, and coordinates information flow between partners on disaster risk reduction, humanitarian response, food security and early warning.

(96) FAO has been assisting in irrigated fodder production, the creation of feed banks and has taken a leading role in the production of Livestock Emergency Guidelines (LEGS) which set out standards for livestock interventions in humanitarian crises²². It has supported partners’ work with the Pastoral Field Schools, supports policy discussion and focuses the mainstreaming of drought management in humanitarian and development initiatives. In Ethiopia

¹⁹ For example between Gabbra and Dassenetch ethnic groups.

²⁰ For example between Gabbra and Dassenetch ethnic groups.

²¹ Including advising the US Army against drilling boreholes in unsuitable places.

²² In the same way as the Sphere project, the Humanitarian Charter and Minimum Standards in Disaster Response, does for interventions related to humans.

in particular, where there is less experience of drought management in pastoral areas, FAO's role as information broker has been especially important. This has included such activities as developing an access database linked to GIS software for mapping, impact assessments of slaughter destocking, and helping the preparation of national guidelines for livestock emergency interventions.

(97) FAO technical officers accompanied and coordinated the mission of the Evaluation Team in the field, where their knowledge proved to be of great utility.

6. Additional work needed in RDD activities

6.1 Choice of projects

(98) **Table 2** showed that there are gaps in the coverage of the best practice agenda. Although RDD has generated a considerable body of information, it does not relate to the entire agenda of good practice in drought management, nor to the whole range of potential district contingency plans. It is rather a collection of individual projects, chosen on merit for the contribution they could make to the reduction of vulnerability. The outcome is a group of projects strong on certain themes, but weak or non-existent on others. This is certainly not the fault of project implementers, nor of those who drafted RDD. It is not, of course, essential that RDD covers the whole agenda, since other organisations are intervening in other elements, but it is worth considering whether there is a different way of designing such a strategy.

(99) DG ECHO currently funds the best individual projects that are submitted to it and its staff interact with NGOs and probably create consensus about important areas of work. An alternative would be for DG ECHO to identify an explicit direction or strategy to guide its selection of activities for funding. In order to do this, DG ECHO could look at its experience so far and at the coverage gaps revealed by a more detailed version of **Table 2**, and would prioritise key areas for further work, on the basis of the potential contribution of district contingency funds to that work. This would be a way to address the multiple, linked causes of vulnerability and to encourage funding of interventions which address a group of related themes (rather than one theme in isolation) and which might be unlikely to come from a single NGO submission. Examples are:

- i) work on dry season water storage, protection of dry season grazing, hay making, clarifying and strengthening customary pasture management rules, and support to dry season livestock marketing, all within the same group of interventions;
- ii) support to women groups' manufacture and marketing of milk products or hand-crafts, along with credit to 'drop-outs' from the same group of pastoral camps in order to create the conditions under which they can build alternative livelihoods in town through the marketing of those products. While this is much more related to development and poverty alleviation strategies than to humanitarian aid, the Evaluation Team considers it to be a very good example of pilot intervention falling within the DG ECHO mandate and showing the way for future uptake by true developmental partners.
- iii) working with a pastoral group, not just in one seasonal area but in both its dry and wet season pastures. In practice, the method currently used by DG ECHO is a combination of both.

(100) A related question concerns the joint planning of activities with several or all actors. FAO Ethiopia has proposed this, but DG ECHO argues that its brief is to support individual NGOs. The Evaluation Team believes that some degree of joint planning would be beneficial to take advantage of complementarities and links.

(101) In the opinion of the Evaluation Team, while continuing to fund good projects on any subject related to drought management, DG ECHO should consider the advantages of being

more pro-active in the identification of geographic and subject matter areas where projects might be encouraged. For example, there is a shortage of regional projects in the present portfolio, and this should be encouraged in the next call.

6.2 Gaps in the portfolio

6.2.1 Learning and applying lessons

(102) RDD supports experimental interventions which are expected to reduce drought vulnerability. The projects are scattered over a large area and cover a quite small range of technical interventions. On their own, they represent only a small change in the lives of dry-land people. Their full value will be realised only if they are genuinely treated as pilot projects and scaled up across the GHoA as contingency projects within district drought management plans.

(103) Much useful work is being done by RDD partners, but the Evaluation Team understands that there is no plan to bring together all lessons learned by theme and to relate them to overall drought management contingency plans or to best practice. This would be an important loss of experience. A mechanism is needed to analyse the experience of each pilot project, bring together the results, make a coherent narrative of them (perhaps in a LRRD framework but recognising that there will be gaps) and present the results as a body of lessons on dealing with drought and navigating the LRRD process. An example from RDD is the work on emergency slaughter-destocking in Shinile (Somali region of Ethiopia) in January 2009. This was well documented and served as the basis for an FAO workshop to agree on principles for emergency slaughter-destocking. Such principles would then form the basis of district drought contingency plans, with the general principles modified as a function of individual district characteristics.

(104) If similar workshops were held towards the end of each or several projects on the same theme, general conclusions and lessons learned on emergency destocking could be shared with all partners, as well as with Government, donors and communities. Such lessons should be incorporated into current and future Government thinking and activities. In particular, lessons about what does and does not work would be invaluable in the revision of district contingency plans. Such an analysis, together with the gaps in coverage identified earlier, would also clarify what themes and activities should be included in future EC drought decisions to achieve maximum coverage.

6.2.2 Future shape of the economy of drought vulnerable populations of the GHoA and livelihood diversification

(105) It is important that DG ECHO has a concept of the likely (or preferred) future direction in which the pastoral and agro-pastoral economies in the region will evolve. While a framework is needed both to guide planning and to provide a benchmark against which to measure achievements, there is no agreement on such a model. Some talk of ‘the end of pastoralism’ resulting from too many people, not enough livestock and a deterioration in the amount and quality of natural resources. A different, and perhaps more widespread, view (and one held by the Evaluation Team) is that pastoralism can recover from its present crisis (as it has in the past) and can become (also as it has been in the past) a minority, specialised, quality production system with high labour and land productivity and good environmental management, providing high value outputs from inputs (extensive dry-lands and pastoral labour) which, otherwise, have low opportunity cost.

(106) For this to happen, certain conditions must be met. Pastoral tenure rights to water and pasture must be secure, risk planning must be successful, prices must be appropriate, markets must be efficient and adequate credit must be available. Mobility must be maintained, despite the Government of Ethiopia’s (announced but not implemented) policy of settling pas-

toralists where possible. Minimum standards of education must be reached. Governance systems, almost certainly a mix of formal and customary structures, must be effective. Importantly for the future shape of interventions, pastoral populations should be lower than they now are if pastoralism is to meet its economic potential.

(107) With the incidence of drought, a first household coping strategy is to drastically reduce the number of people living from the household herd. Large numbers of people (including women, children, the old and invariably the poorest) leave the pastoral sector for a destitute life around the fringes of the nearest village or town. Few of these find paid work and they generally subsist on the generosity of traditional social coping mechanisms and international food aid. As conditions worsen, a larger number of people, who progressively include richer households, move out of what is left of the pastoral economy. When conditions in the sector improve, the reverse process takes place with people moving back into pastoralism, initially richer households depending on their ability to preserve or build up their herds again followed more slowly by the poorer. As a result of these movements, the pastoral population expands and contracts according to the number of animals and production conditions. Most frequently, a substantial number of poor households move back in to pastoralism with the help of richer kin.

(108) The result is that any gains in pastoral productivity are diluted by a constant pressure of population against resources. This is manifested by pastoral labour, whose chief characteristic is its high potential economies of scale: the labour needed for everyday herding does not follow a linear increase as the herd grows - one herder can tend 10 sheep but can equally look after 100 until a threshold is reached at which a new herder is required. Large pastoral populations, in relation to resources, tend to prevent such economies of scale as there is no reason for households to look for economies if labour is abundant. Pastoralism thus remains at a low economic level, vulnerable to even small variations in resource availability and irrespective of the success of drought management and mitigation actions.

(109) The conclusion is that, for sustained pastoral development to take place, pastoral populations must be lower than at present. As a consequence, alternative livelihoods must be created for those who live on the margin, who are the first to leave when drought strikes and who have little opportunity to build up the skills, livestock or social capital needed for success. A large scale return to pastoralism, when conditions improve, condemns its economy to stagnation and poverty. DG ECHO needs to think about this dynamic because it determines key features of any emergency or rehabilitation response. Support to those who can realistically return to pastoralism after a crisis will be different from the support given to those who are considering diversifying out of pastoralism or have already done so. Most important is the fact that experimental activities to diversify the pastoral economy (through such as credit and training) should be given a prominent place, primarily targeting the very poor who have little chance of returning to a productive pastoral life. The policy should not simply enable those who drop out to return to an unviable *status quo ante*, but to create viable livelihoods in other parts of the economy. While the creation of viable livelihoods in other parts of economy is very much developmental, small-scale pilot intervention by DG ECHO does give recognition to the fact that such vulnerable people are likely to be already (or just about to be) the beneficiaries of expensive food aid and other assistance.

(110) DG ECHO can encourage partners to explore this model and carry out the experimental work necessary to operationalise it. This does not mean that DG ECHO should itself carry out the work needed to elaborate the model, but that it should help synthesise the science behind it, support experiments, and create a mental model of how this dynamic could work. DG ECHO's understanding of dryland livelihoods (through the work of its partners) could make a significant contribution to building such a model.

(111) DG ECHO should consider a strategy to address this issue through encouraging other services to undertake interventions which include training and access to micro-finance (from

a non-DG ECHO source), in order to reduce the vulnerability of marginal households and of the pastoral economy itself.

6.2.3 Sustainability

(112) DG ECHO stated project objectives concerning sustainability and exit strategy are rarely convincing. Types of sustainability are rarely specified: economic sustainability is not necessarily the same as social sustainability and both may be ecologically unsustainable. Activities are sustainable in any of these meanings if :

- i) they meet real local needs and are wanted by local people;
- ii) are designed within the constraints of a particular time and place, including having acceptable economic input/output ratios and acceptable ecological impacts;
- iii) project activities build the capacities of local authorities and local communities to progressively take over functions currently performed by international donors and NGOs.

(113) True development rests on three institutional pillars: Government, the private sector and local community organisations, and does not include international donors and NGOs. This should be the medium- to long-term objective and will lead to exit.

(114) EC Delegation interventions, such as DMI carried out in parallel with RDD, work closely with Government to build its capacity but this is not the case in the DG ECHO programme in which projects work closely with community organisations but in ways which are not so clearly focussed on building their long term ability to do things for themselves. Water is a good example.

(115) The water interventions are providing excellent results, with wells and rock catchments constructed by local organisations working with communities to high specification, but in which community involvement is often limited to little more than labour. A greater challenge (but one which according to many NGO staff could be met more rapidly) is that of the progressive hand-over of more tasks to community members, who would require greater training and initial supervision. The Evaluation Team considers that, in the case of new water sources, several of the following tasks - site selection, materials specification (quantity and quality), procurement, rudimentary design, safety, record keeping, accounting and donor reporting could be handed over, enabling NGOs to concentrate on issues such as oversight, some engineering, design approval, quality control and funding. A start in this direction has been made with community contracting in both Kenya and Ethiopia, involving considerable capital investments. This is a direction which should be encouraged in the thinking of particularly the NGOs, who consider themselves to be *in situ* for life, but also in the thinking of the communities who (the Evaluation Team perceives) actually aspire to such a future.

(116) Some community members could be taught the elements of dealing with specialist contractors such that, in time, international donors and NGOs would retain the ability and commitment to intervene in emergencies, but by funding through drought contingency funds or other available sources such as the Disaster Preparedness and Contingency Fund of the WB funded Pastoral Community Development Project (PCDP). They would be dealing with autonomous local organisations and individuals²³ capable of implementing drought contingency plans in their area of specialisation. Such a scheme would provide a credible exit strategy.

(117) The Evaluation Team noted that RDD projects generally contributed little to local authorities' ability to carry out its functions, although the veterinary sector was an important exception. In Kenya, where Government drought management systems are most advanced, several DG ECHO partners collect local early warning information and forward it to their headquarters where it is processed and sometimes fed into the official system at national level. However, it is doubtful whether this data adds substantially to Government's capacity

²³ Because such a system would encourage private sector initiatives.

to generate information and to act on impending drought, while little or no capacity is being created at community level to engage with district steering groups with regard to local data which could lead to local early warning and local contingency planning. If a partner organisation were to leave the district, early warning activities would cease immediately.

6.2.4 Customary institutions

(118) The issue of customary institutions often occurs in project descriptions but it is not clear how far this has been explored in depth. Working with customary institutions is an essential part of sustainably reducing vulnerability, since it is these institutions which will in many cases control the future management of assets created by the RDD inputs.

(119) The Evaluation Team considers that not enough attention has been paid to recognising, clarifying and strengthening the powers of customary institutions. There is confusion amongst some District Steering Group (DSG) officials in Kenya who are still convinced that the only role for customary authorities is to mobilise free labour for public works. In Ethiopia, the Delegation is urging that customary systems of natural resource management and governance be strengthened where government technical staff are clearly inadequate. In Ethiopia, there is apparently starting to be some convergence between traditional grazing territories and modern administrative boundaries. The excellent 2007 *Customary Pastoral Institutions Study*, commissioned by SOS Sahel Ethiopia and Save the Children USA²⁴ with backing from USAID, provides a template for a more positive approach. In Ethiopia, Save the Children USA is already working with customary institutions and local leaders to strengthen customary rangeland management practices. The RDD project areas contain pastoral populations with some of the most sophisticated customary institutions for natural resource management and poverty alleviation in Africa. It would be an inexplicable oversight not to engage with them.

7. Alternative ways to reach the RDD goal of reducing vulnerability

7.1 World Bank projects

(120) The reduction of vulnerability of dry land populations to drought and other hazards has been the objective of considerable recent work. The World Bank has been a leader in this, with flagship projects in Kenya (the Arid Lands Programme - ALP) and Ethiopia (the Pastoral Community Development Project - PCDP). These share similar premises which are directly relevant to DG ECHO work on drought preparedness.

(121) The essential basis of these two multi-phase projects is (i) to generate accurate early warning data regarding changing vulnerability and food insecurity; (ii) to set up a system of disaster risk stage classification resulting from the early warning system; (iii) to pre-plan rapid reactions or shelf projects to be implemented according to the disaster stage classification; (iv) to have funding ready when required to implement the appropriate projects; (v) to involve communities as far as possible in these actions.

(122) Evaluation of these projects has generated considerable understanding of the processes triggered by drought and how they can be halted or managed. Both countries have adopted a risk management approach, which aims to make early intervention in the drought cycle possible, thus avoiding the need for large scale humanitarian response later in the cycle. There are important trade-offs involved in this, since early intervention is much more cost-effective than late intervention, quite apart from the fact that it reduces hardship and the multiplication of extreme poverty. The crucial factor in both Ethiopia and Kenya is the speed of reaction to signals from the EWS that conditions are deteriorating. This in turn depends on

²⁴ Customary Pastoral Institutions Study, SOS Sahel and Save the Children US Pastoral Livelihoods Initiative, March 2007

the accuracy of early warning signals, the quality and extent of shelf projects ready for immediate implementation, and the funding available to implement these projects.

(123) In both countries the early warning system is improving rapidly, and a wide range of indicators is gathered and analysed, including information from satellite imagery, household economic data and data on unusual behaviour of people and animals. The Kenyan system makes a more targeted effort to gather information and perceptions from herders and farmers than the Ethiopian system. The Ethiopian system, on the other side, gathers data on a wider range of hazards than the Kenyan system. The Ethiopian system is also more explicit about investing in disaster preparedness, although the Kenyan system is in practice committed to this.

(124) In both Kenya and Ethiopia, NGOs gather early warning data, but this is processed by the NGO or by the community with NGO help. The information generally is not fed to the district level early warning system for transmittal to the national system. The Evaluation Team believes that these data should be a part of the national system, alongside any specific domestic use by the NGO which gathers them.

(125) The critical step in the process of early warning and rapid reaction in both countries is the availability of funds at district/woreda level to implement the shelf projects drafted as part of local rapid reaction contingency plans. There is little incentive to draft detailed plans if there is no money to implement them. In Ethiopia, it is planned that local disaster funds will be available in phase 2 of the PCDP, starting in 2009. In Kenya, the DMI project is finalising the conditions and procedures for the creation of district contingency funds, which should become available during 2009. Both of these initiatives will provide important information to DG ECHO about the potential future direction of disaster risk management.

7.2 Drought Management Initiative (DMI)

(126) Drought management is the subject of important work outside, but closely related to, DG ECHO. The Drought Management Initiative in Kenya, supported by the EC Delegation and FAO, is strengthening Government capacity to manage the national drought management system in Kenya and includes IPC.

7.3 Karimoja Livelihoods Programme (KALIP)

(127) Based on lessons learned from previous EC Uganda Delegation experience in Northern Uganda²⁵, the programme proposes to use development assistance as an incentive for peace through combining political dialogue at a regional/cross-border, national and local level with concrete development efforts to build upon previous pilot approaches. The ‘pilots’ have shown that strong involvement of local authority and community participation over the whole project cycle are required to achieve sustainable results.

(128) An inception study is currently underway and main activities are expected to include:

- iv) protection of livelihoods through safety nets, notably in the form of labour-intensive works;
- v) improvement of agro-pastoral production and promotion of alternative livelihoods;
- vi) strengthening of Local Government to reinforce their capacity to implement policy and to deliver public services to agro-pastoral communities.

(129) Implementation is expected to start at the beginning of 2010 with funding of Euro 15 million over a period of about four years with the following components:

²⁵ Notably from the Northern Uganda Rehabilitation Project (NUREP) which has promoted ‘cross-border’ co-operation on key issues such as, inter alia, security (eg. support to Anti-Stock Theft Units) between Karamoja and Teso.

Safety nets (labour intensive works)	Euro 5 500 000
Agro-pastoral production and animal health	Euro 2 500 000
Support to Local Governments	Euro 2 000 000
Civil society peace-building fund	Euro 1 000 000
<i>plus</i> support costs of	<u>Euro 4 000 000</u>
	<u>Euro 15 000 000</u>

(130) This programme has significant LRRD implications for DG ECHO's RDD handover to the EC Uganda Delegation. However, the funding is small and subject to certain *caveats*²⁶.

8. Key evaluation questions

(131) The terms of reference ask specific questions about aspects of the programme. These are:

8.1 *To what extent operations funded by DG ECHO under the funding decision ECHO/-HF/BUD/2008/01000 have taken into consideration the overall recommendations made by the mid-term evaluation²⁷ of the funding decision ECHO/-HF/BUD/2006/02000?*

(132) A clear presentation of findings, conclusions and recommendations was made to DG ECHO partners at the end of the first mid-term evaluation in both verbal and power point mode but the Evaluation Team was informed that the number of NGO had staff who had actually read the evaluation report, certainly at the field level, was extremely low²⁸. The evaluation report is available on the internet but is not easy to find. However, it was the general impression of the Evaluation Team that the main ideas in the mid-term review had been incorporated into the planning of present RDD activities. These include: implementing the LRRD approach, a tighter geographic focus, stronger collaboration with FAO and with Arid and Semi-arid Lands (ASAL) research, and a general commitment to increasing the resilience of pastoral and other rural communities to drought.

8.2 *To what extent results of the operations funded by DG ECHO under the funding decision ECHO/-HF/BUD/2006/02000 have allowed better understanding of the humanitarian situation in the region; have had an impact on building the resilience of local communities to drought (ex: have allowed appropriate actions following the dry spell in 2008)? Based on a sample of assessments, what could be recommended to increase the resilience and preparedness of the local communities to drought events?*

(133) The regular exposure of DG ECHO and its partners to vulnerable communities has led to better knowledge about the humanitarian situation and this is reflected in better data now contained in early warning bulletins and in advocacy. The improvement in quantitative information is not, however, necessarily matched by an improvement in understanding of the processes responsible for turning drought into disaster, or for helping vulnerable communities out of disaster.

(134) Resilience concerns vulnerable populations' capacity to cope with the onset of drought and to rehabilitate themselves after disaster rather than to weather the disaster without losses. The Evaluation Team recognises DG ECHO's significant contribution in areas which limit vulnerable populations' resilience such as poor water provision and poor animal health. Other factors include poor marketing networks, poor market intelligence, little access

²⁶ Caveat delivered verbally to DG ECHO, Brussels on Monday 27th.April 2009..

²⁷ <http://ec.europa.eu/echo/files/policies/evaluation/2007/gha.pdf>

²⁸ In order to overcome the problem of low partner readership of reports, the Team would recommend that, as soon as this report is posted on the internet, a note be circulated by Email to every partner informing them of the exact web page address while emphatically requesting that the note be forwarded to all staff.

to credit, lack of alternative livelihoods and low adoption of value-added technologies for the exploitation of existing resources - the Evaluation Team recommends that, where feasible within its possibilities in these areas, DG ECHO should support pilot and experimental intervention in order to identify the full resilience agenda.

8.3 To what extent the results of pilot projects within the operations funded by DG ECHO under the funding decisions ECHO/-HF/BUD/2006/02000 and ECHO/-HF/BUD/2008/01000 are replicable? What could be recommended to increase their replication.

(135) DG ECHO RDD's comparative advantage lies in experimental pilot projects which can be replicated by other Commission services or beyond. Such pilot projects must increasingly be able to stand alone and be replicated without large amounts of outside support if meaningful sustainability is to be achieved. Replication takes different forms according to the technical area concerned.

(136) The Evaluation Team suggests ways in which water project partners can focus more on training members of village communities to give them a saleable skill. This will enable them not only to construct water points or catchments themselves with much less outside help, but also the possibility of working in other areas for a cash income.

(137) Most of the pilot projects can be replicated and respondents indicate a strong will, not only to continue in their own communities, but also to assist others in their areas. The fact that participants in construction works have gained saleable skills raises the need to focus on training during project implementation. Pastoralist Field Schools can provide entry points to communities and can be replicated at low cost.

(138) DG ECHO has a comparative advantage over other Commission services in terms of its sensitivity to community needs, its flexibility and its willingness to work in remote and sometimes unstable environments. The Evaluation Team considers that, for these reasons, DG ECHO should maintain a level of core capacity in order to ensure a continuing flow of proven pilot projects as well as to ensure the continued presence of partners in specific areas.

(139) Advocacy, covered in the next question, is a major influence on successful replication.

8.4 To what extent the results of operations and the effort put on advocacy within the funding decisions ECHO/-HF/BUD/2006/02000 and ECHO/-HF/BUD/2008/01000 have contributed to adapt and/or reinforce operational humanitarian as well as development approach in term of Drought Risk Reduction in the region? In particular: UN agencies approach in the region (OCHA, FAO, WFP, UNICEF, UNISDR) but also EC Delegations strategies (ex: Country Strategy Papers, Call for Proposals, support to NGOs, etc...). Recommendations to reinforce this aspect taking into consideration lessons learnt from efforts made are expected.

(140) Advocacy is an important tool, used to encourage replication of successful activities, to facilitate humanitarian actions, to set up discussion of development pathways and to prepare an exit strategy. Advocacy has still not yet reached its full potential in the region. The advocacy of many organisations has a restricted field base (a serious problem, since legitimacy in advocacy comes from the field base), sometimes produces jumbled messages and is often not well targeted. It is still too early to judge, but it is likely that the RDD activities are sufficiently attractive to other major players for them to be taken up and implemented by them at a much larger scale.

(141) It is too early to tell in detail whether advocacy goals have been achieved. The lack of systematic lesson learning within RDD reduces the advocacy potential

8.5 To what extent is DG ECHO assistance coordinated and complementary with other donors in the region (USAID, World Bank, EC etc...)? In particular on the coordination: has the coordination role of FAO been effective?

(142) The DG ECHO RDD programme collaborates closely with some donors. The most important is World Bank, whose Arid Lands Project in Kenya and Pastoral Community Development Project in Ethiopia provide the basic architecture of drought planning and preparedness. The DMI project creates a link in Kenya between RDD and the Arid Lands office. Although relationships are good, the link alone does not necessarily ensure that information from RDD's array of pilot activities is fed directly to the district contingency planning done under Arid Lands' umbrella. If this information is processed for use in the design of appropriate shelf projects for the district contingency plan, there needs to be a closer relationship between RDD projects and the World Bank projects in Kenya and Ethiopia.

(143) The coordination work of FAO has been effective in the difficult task of keeping a large group of disparate projects (scattered over a huge area) together so that they feel part of a single endeavour. The technical role of FAO is of paramount importance since some of the smaller NGOs have little technical backup and FAO has provided immediate technical support with the possibility of further referral. FAO GIS and mapping has provided particularly useful services to partners.

(144) Coordination with EC Delegations covers a wide range of subject matters. RDD gives the EC Delegations a link to the field and to many small NGOs spread throughout the region - something they would not be able to manage if RDD was not there. At another level, DG ECHO and EC Delegations campaign together on key issues from different starting points. Lobbying by EC Delegations can be especially effective if they use material based on RDD's field presence. EC Delegations are able to occupy important parts of the grey area where it is not clear which actors have a legitimate role. DG ECHO procedures are flexible and the service is close to the ground, but there are large (and important) areas where DG ECHO cannot operate. In these cases, EC Delegations may be able to act. In Kenya, DMI funding is unlikely to continue at the same level after 2011 leaving a gap which, given its mandate, DG ECHO will have difficulty in filling. The most important linkage between the RDD activities and the EC Delegation in Kenya is through the Drought Contingency Fund. The EC Delegation has already put Euros 8.5 million into the fund. If the lessons of RDD field projects are organised as a source of up-to-date shelf projects, to be funded by the EC-supported Contingency Fund, the Commission will be on both sides of the process.

8.6 To what extent the duration and the timing of the funding decision ECHO/HF/BUD/2008/01000 is appropriate in contributing to build the resilience of the local communities to drought events?

(145) Project extension from twelve to eighteen months has been welcomed by partners although most would like a longer period. While such interventions as advocacy and dissemination of 'pilot' project results demand a far longer time-scale, DG ECHO's provision of community assets such as water catchment/storage has been achieved within the given project time limits. The provision of such assets contributes to building resilience although the total number of such assets so far constructed is low in comparison to needs.

8.7 Would current internal DG ECHO reflections about a DIPECHO exit strategy be also relevant for the Disaster Risk Reduction approach in the Greater Horn of Africa? If not, what exit strategy should be followed and what would be the key elements of such strategy?

(146) The Evaluation Team was given a short briefing on the debate concerning DIPECHO within the organisation, and what a DIPECHO exit strategy would look like. The Evaluation

Team's understanding is that this debate is still at an early stage and that no clear criteria, benchmarks or guidelines have yet been developed.

(147) Elsewhere in this report, the Evaluation Team has commented on potential exit strategies. In particular, these depend on the degree to which the main stakeholders in drought preparedness (for example DMI, DFID and USAID) are ready to take up the activities piloted by DG ECHO RDD. The Evaluation Team has described the importance it attaches to the relationship between RDD partners' activities and local authorities on the one hand and the communities on the other. In both cases there is some progress, although in the Evaluation Team's view it could proceed faster if it worked with a greater delegation of technical tasks and procurement to communities, and through closer cooperation with the drought management services (such as DSG and DDMO in Kenya).

(148) In the Evaluation Team's opinion it is essential that DG ECHO has an exit strategy, but it is also imperative to realise that this is unlikely to be used in the immediate future. Conditions in the dry areas of the GHoA are bad, and getting worse. The activities undertaken by RDD partners are generally of high quality and are improving an otherwise dire situation but this is necessarily a slow process, where results will only start to be observable in one or two years' time. The critical thing is that there should be some movement in the direction of greater responsibility being taken by local communities in carrying out drought preparedness activities, and by local authorities in providing the legal and policy framework for such a movement, and acting as the final authority with responsibility for drought preparedness.

(149) If the LRRD process could be achieved with other donors within a reasonable period, by running RDD and other donor programmes in parallel, DG ECHO withdrawal could be speeded up. An example is in Uganda where the EC Delegation's KALIP project will run concurrently with DG ECHO's RDD programme, and which should eventually be adopted by the EC Uganda Delegation.

(150) Handover to communities is the real indicator of success and, to this end, DG ECHO needs to ensure the building of far greater community capacity particularly in areas such as contract management, access to external technical inputs (engineers etc), fund sourcing and financial management. More intensive coordination and pro-active co-cooperation with local authorities, advocacy on the national level and a change towards community contractor implementation of projects such as construction of water structures (instead of by NGOs), are suggested elements of exit strategies.

8.8 What would be key recommendations for DG ECHO future strategy in term of Drought Management - Disaster Risk Reduction in the Greater Horn of Africa? A particular attention should be given to the following aspects:

8.8.1 Relevance of a pilot project approach to feed policies and strategies and proposals to strengthen the link between outputs at local community level and national policies.

(151) The Evaluation Team's vision of DG ECHO's future strategy includes building a consensus between DG ECHO and its partners on the shape of the future economy of the drought-vulnerable peoples in the ASAL of the GHoA. The Evaluation Team considers that pastoralism should become a productive, market oriented, risk managing livelihood system using modern technology, with clearly defined natural resource access rights and management practices. Disaster risk reduction and management are key to this strategy.

(152) In such a system it would be essential for the pastoral population to be lower than its current level in relation to pasture and livestock resources. Particular attention would be paid to encouraging alternative forms of employment and enterprise for those who drop out of the pastoral livelihood system in droughts, but who return there afterwards, making any productivity gain in pastoralism difficult to maintain.

(153) Pilot projects promoting alternative livelihoods as currently managed by DG ECHO under DRR could play a critical role in developing such a strategy, on condition that they are analysed, evaluated and scaled up. This is not currently carried out in a systematic manner. The Evaluation Team urges that self-, peer- or external- project evaluation be carried out in the future, the results disseminated amongst partners, other donors, Government, local authorities and, particularly, communities. Pastoral- and Farmer- Field School members should be facilitated to visit completed projects of excellence on a local, cross-border and cross-tribal basis. The creation of field schools is a very low cost intervention, they should be expanded and the addition of transportation funding would bring very cost effective added value towards project replication. This cannot be considered too developmental as it represents a source of ideas for improvement of current and new interventions.

(154) The Evaluation Team supports current efforts to develop a drought contingency planning model following best practice. RDD activities could contribute to such a vision, especially in providing tested shelf projects to fit into district/wareda drought contingency plans.

(155) The Evaluation Team supports additional research and analysis of existing activities (a) to identify and fill gaps in future policies and strategies; (b) to learn all the lessons for future activities, including things that can be implemented immediately; (c) to design sustainability on the basis of current experience, and (d) specify the role of customary institutions adapted to local conditions.

(156) All of these are susceptible to a pilot project approach as long as the results are analysed, built into a coherent narrative, and then used. This is often not the case however: pilot projects remain isolated, unanalysed and their lessons not learned.

8.8.2 *Proposals for an effective LRRD strategy (taking into consideration development calendars), as well as for an advocacy strategy (including tools and target for dissemination of outputs, good practices).*

(157) EC Kenya Delegation's DMI, EC Uganda Delegation's KALIP present an opportunity for LRRD with DG ECHO's RDD programme. However, the limited funding and limited flexibility of these programmes highlights DG ECHO's comparative advantage in such interventions. The Evaluation Team would recommend DG ECHO's continued presence in the sector in parallel with, and integrated in, the concerned EC Delegations' interventions in order to provide them with ideas and continued support in the shorter term.

(158) The capture/storage of water in the GHoA region is inefficient and the scale of intervention in the sector by DG ECHO, other EC services and other donors is minute in relation to needs. Consideration has, therefore, to be given to large scale (of World Bank order) expansion of such interventions already proven by DG ECHO. This proposition has to be accompanied robustly with the "do no harm" *caveat* of environmental sensitivity through very careful study of the delicate balance between water supply and pasturage.

(159) It is clear that LRRD with other Commission services is currently difficult because of the concerned EC Delegations' adoption of few suitable and flexible instruments in the region. DG ECHO has, therefore, to find other donors/implementers with whom to link and this will require its strenuous and untiring advocacy (or, more precisely, marketing) towards them. In order to do this, DG ECHO must equip itself with studies of its intervention successes to be employed as 'persuasion aids'. It should not be forgotten that the visibility of RDD already exists *vis-a-vis* potential partners through the reputation for good practice won by its projects to date. This needs to be consolidated.

(160) DG ECHO should not ignore the LRRD possibilities with WFP, whose approaches to the almost total use of food as a currency are slowly changing against a background of rapidly reducing food surpluses and the necessity to employ cash for food purchase and for project implementation. While it is forecast that WFP's financial resources may suffer a significant reduction, the institution could remain a very significant implementer of activities presented by DG ECHO RDD piloted interventions.

(161) The cooperation with the WB projects in Kenya (ALP) and Ethiopia (PDCP) should be strengthened with special regard to the scaling-up of tested approaches of livelihoods diversification.

8.8.3 Proposal to strengthen the interaction between stakeholders supported by the DG ECHO Regional Drought Decision, and national as well as regional institutions involved in Disaster Risk Reduction – Drought management.

(162) RDD partners, and other actors in the region, tend to focus on their own area and specific problems. There is often an information gap between those working in the field and national and regional institutions with responsibilities for arid land development. The Evaluation Team believes it is essential for there to be more sharing of information and experience between partners themselves, and between partners and national and international institutions. This should be supported by DG ECHO at three levels.

(163) Firstly, partners within each country should, with the support of DG ECHO, jointly evaluate (or evaluate each other's) activities in the same technical category (eg all rock catchment activities) and write up the results in detail, in order to draw conclusions about the role of such interventions based on the widest range of evidence and provide the basis for successful advocacy. Secondly, such evaluations should be treated as primary data for the establishment of a model of best practice including wider ideas about the structure of the future pastoral economy. Thirdly, the analysis of results of such projects should be brought to the attention of Governments, especially at district or wareda level officials with responsibility for drought planning, in order that the results feed into contingency planning and the creation of shelf projects.

(164) The recently created Horn of Africa Pastoral Network, which brings together donors, UN and NGOs with regional pastoral programmes, provides a structure through which partners and others can share and disseminate information about the results.

(165) The Kenya Arid and Semi-Arid Lands research programme (KASAL), financed in part by the EC, has field stations at Garissa, Kiboko and Marsabit, and carries out applied research on market chains for livestock, builds business models, and tests and adapts new concepts and technologies. Its research programme includes pastoral milk marketing, processing of hides and improved range forage technology. Together with the International Livestock Research Institute in Kenya and Ethiopia, there is a solid base for arid area economic policies and action. It is important that RDD activities feed directly into this research and advocacy base, because its impact can be multiplied many times by exposure to these audiences.

8.8.4 Proposal regarding the sectors to prioritise and the use of DG ECHO budget lines (General Humanitarian Aid budget, DIPECHO, Food Assistance) to support these different components.

(166) NGO discussions prioritised the issues of water; peace in order to open currently inaccessible areas; emergency livestock marketing; and education (for which RDD's pastoralist field schools present a very useful model).

(167) The Evaluation Team concludes that the General Humanitarian Aid budget remains the most significant financial instrument for implementation of the RDD programme but recommends that DIPECHO funds be employed in the performance of studies into such issues as:

- lessons learnt from 'pilot' projects;
- measurement of DG ECHO (and other donor) coverage;
- streamlining of RDD interventions for LRRD handover to include identification of potential replication implementers.

(168) With regard to a more detailed discussion of the question, the Evaluation Team considers that, in light of the fact that it observed no adverse effects of RDD's predominant employment of the General Humanitarian Aid budget, it should not enter into discussions regarding fine-tuning with the other instruments; an area in which it cannot claim any particular expertise.

8.8.5 Proposals regarding the opportunity to maintain the same strategy from 2010 onwards, in particular focusing on the regional versus national approach and the appropriate level of funding.

(169) As already discussed, the Evaluation Team believes that the present RDD strategy points in the right direction and should be maintained. Many activities now underway have started recently, so their full value will become apparent only in 2010 and later. A regional approach is desirable because (i) the main events causing food insecurity in the dry areas are regional, not national; (ii) there are substantial potential synergies and economies of scale in regional activities; (iii) the similarities of conditions across borders in many places (environmental, social and cultural) mean that solutions experimented successfully in country A probably apply to country B also; (iv) cross border activities have pioneered a number of useful initiatives that would be encouraged by a regional approach; (v) in early warning and rapid reaction systems a regional approach is mandatory, since events in one country have a significant impact on the likelihood of events in neighbouring countries - for example, drought in Karamoja will have an impact in Turkana; (vi) it is important to avoid problems across borders – eg. if country A starts a destocking scheme offering higher than market prices for animals, pastoralists of neighbouring country B may take advantage of it, with a positive impact on food security of pastoralists from B, funded by the Government of A.

(170) The present level of funding has allowed useful work to be done on a small scale in comparison with need and the management cost is reasonable. The absorptive capacity of some partners is quite limited and some organisations have in fact returned funds to DG ECHO (albeit that they have completed their projected outputs). The Evaluation Team recommends that at least the present level of funding of regional activities be maintained and, where feasible, expanded.

(171) As discussed elsewhere in this report, DG ECHO (with a strong advocacy contribution from FAO) needs to 'market' its intervention successes to potential LRRD partners using evaluation proof of their excellence and appropriateness. This should not be too difficult in light of the good reputation that the RDD has achieved in the region²⁹. Having identified suitable LRRD candidate institutions, DG ECHO needs to persuade them to adopt appropriate RDD models and undergo a period of alignment of their projects to be located in complementary situations (geographically, sectorally and synergically) – this is the difficult task in light of some institutions' inflexibility.

(172) Along with preparation of communities for self-implementation, and advocacy to Governments to support them, the process described above is not a quick one and will require, at the very least, two or more (typically 18 month) RDD type of interventions.

8.8.6 Follow up of the proposal made in the previous mid term evaluation regarding the management (set up and human resources) of the DG ECHO regional drought funding decision, in particular at field level.

(173) The previous evaluation made recommendations (summarised here between quotes '...') concerning the management of the DG ECHO regional drought funding decision (p.24). These included:

²⁹ The Office of U.S. Foreign Disaster Assistance (OFDA) is known to covet DG ECHO's RDD approach and is currently reported to be lobbying its Government towards its adoption.

(174) - ‘Field personnel should live in area of operations. Proposals should be planned with the direct participation of target groups. Communities should be involved in monitoring and evaluation.’ The present evaluation found that a significant number of project personnel lived in their area of operations. Activities were, in general, planned with a variety of participatory approaches (although this is now such a wide term that it has reduced significance). An exchange of experience between partners about planning approaches would generate interesting observations. However communities were not significantly involved in monitoring or evaluation.

(175) - ‘Public sectoral departments should be associated with the work, especially District Steering Groups.’ The present evaluation found little sign that partners had worked closely with DSGs, although some participated in meetings on an irregular basis.

(176) - ‘The project would gain in efficiency by selecting a smaller number of partners with a background adapted to future projects with development experience. Project areas of partners should not overlap.’ The present evaluation found that the number of partners was not excessive given the wide range of work undertaken. There was some overlap of project areas, but this was not significant given the different nature of the work undertaken by each partner. Clearly, some consolidation in geographical areas and removal of overlapping has been undertaken by partners since the previous mid-term evaluation and further may be expected as a result of the recommendations of this report.

(177) - ‘Animal health projects (especially the community animal health workers) should be supervised by official veterinarians to ensure sustainability.’ The present evaluation had little veterinary expertise but considered that, in general, the CAHWs visited were well managed and supervised. This was especially the case with the veterinary pharmacies the Evaluation Team saw in several places. The Evaluation Team does not consider sustainability to depend primarily on supervision of the CAHWs by the veterinary service, although the latter’s involvement is important. Sustainability is a function of good project design and community involvement, as well as professional supervision.

(178) - ‘In Kenya, the district steering group (DSG) is a central tool for the coordination and orientation of projects. Improved working means and capabilities are essential. Partners should collaborate more closely with DSG and attend all DSG meetings.’ The present evaluation considers this recommendation to be very important. It has only been partly implemented. Partners should be urged to attend DSG meetings regularly and to make sure that all their activities are fully discussed at the DSG. This is an essential training and advocacy function, and important for sustainability.

9. Conclusions

(179) For every conclusion presented in this **Section 9**, there is a recommendation in **Section 10**.

(180) **9.1** Against a background of erratic rainfall patterns over the previous five years and prevailing dry conditions, the Evaluation Team foresees that DG ECHO will have to maintain an active presence in the GHoA in the medium to long term.

(181) **9.2** DG ECHO partners do not always focus adequate attention on their cooperation and coordination with local authorities, a prime example being sustained contribution to District Steering Groups in Kenya.

(182) **9.3** The majority of intervention functions (project design, procurement, dealing with specialist contractors, finance etc.) are performed by international donors and NGOs, while community contribution currently implies free labour, stone and sand. There is no element of exit strategy in this approach to project implementation.

(183) **9.4** Some partners are involved in Early Warning Systems but, with the exception of veterinary information, there is little coordination or harmonisation with national systems.

(184) **9.5** DG ECHO has a problem in finding suitable institutions to link its RDD successes with implementers of longer term rehabilitation and development interventions.

- (185) **9.6** Some existing Government drought management systems in the region (notably in Kenya) can provide a model of best practice if, with suitable adaptation, they recognise the populations' specific vulnerabilities.
- (186) **9.7** The role of micro-finance and the concept of Index Insurance are not fully recognised in drought and recovery management.
- (187) **9.8** Important progress in drought management is being made with the EC Delegation's Drought Management Initiative in Kenya, especially with regard to the Integrated Phase Classification and National Drought Contingency Fund. This intervention, along with KALIP in Uganda, represents an LRRD opportunity for DG ECHO's projects.
- (188) **9.9** There is no simple analysis of what does and does not work within RDD projects, nor is there adequate research looking at drought vulnerability as resulting from a coherent set of linked processes.
- (189) **9.10** There is little understanding of the dynamic of pastoral drop-out (drop out and return to the sector) and little intervention to address the necessity for livelihood diversification.
- (190) **9.11** There are gaps in DG ECHO's coverage of needs, some of which do not fall with its mandate and others where institutions with comparative advantages should intervene instead. These gaps and comparative advantages are not, however, clearly identified.
- (191) **9.12** While important advocacy work has been carried out by partners, there is still widespread ignorance of pastoralism's economic significance and its complex systems.
- (192) **9.13** There is little conception of the future of drought-vulnerable peoples in the ASAL of the GHoA and thus no clear direction to funding.
- (193) **9.14** Drought Contingency Funds, soon to be available at district levels in Kenya, are essential to the functioning of their drought management plans such that implementation of contingency plans can be initiated as soon as EWSs signal deterioration.
- (194) **9.15** FAO has made an important contribution to the RDD, both in Nairobi and the field, in terms of coordination and particularly in technical support and the setting of standards.
- (195) **9.16** There is need for a more accurate understanding of pastoralism and its related economic system at local (officials and communities), central (Government) and regional (institutions) levels.

Final Conclusion

- (196) **9.17** DG ECHO has laid a sound foundation for improved intervention in the ASAL of the GHoA but is now under significant pressure to exit. In this respect, DG ECHO has prepared the ground well but it is the task of handover which presents the biggest challenge to moving the process forward.

10. Recommendations

- (197) Recommendations are sorted according to those to whom they are directed:

Recommendations directed to DG ECHO:

- (198) **10.1** The new RDD approach, which pragmatically addresses the key factors of the populations' vulnerability, should be adopted as DG ECHO's overarching framework for intervention in the GHoA, while maintaining and improving its emergency response capacity.
- (199) **10.2** In order to contribute to sustainability, activities supported by DG ECHO should aim to enhance the capacity of Government and this requires partners' closer cooperation with local authorities under the leadership of Central Government institutions.
- (200) **10.3** Local communities need to be trained and encouraged to progressively take over functions which are currently performed by international donors and NGOs. This will diversify the saleable skills of the community and lead to a possible exit of the donor com-

munity and NGOs in the longer term. (Recommendation also directed to implementing partners)

(201) **10.4** Partner contributions to early warning should be reoriented to give greater support to national EWSs (where these exist) and should also provide more direct feedback to local community organisations. (Recommendation also directed to implementing partners)

(202) **10.5** DG ECHO should intensify its search for suitable institutions, which implement longer term rehabilitation and development interventions, to link with its LRDD successes.

(203) **10.6** The Kenyan drought management system provides a model of best practice and DG ECHO partners and the EC Delegations should advocate for their adaptation and adoption (in the other GHoA countries) in recognising the populations' specific vulnerabilities. DG ECHO should make knowledge of this best practice available to officials and NGOs throughout the area.

(204) **10.7** Micro-finance is a long term development undertaking, outside DG ECHO's mandate. However its potential importance in drought preparedness and recovery management means that DG ECHO should encourage other services to undertake experiments (including perhaps experimental support to index insurance work now starting through ILRI).

(205) **10.8** DG ECHO should work as closely as possible with DMI in Kenya and KALIP in Uganda while strongly advocating with the concerned EC Delegations towards their expansion, prolongation and take-over of RDD interventions. DG ECHO needs to persuade the EC Delegations to focus their DMI and KALIP types of initiative more closely at the field level in order to improve their links with RDD, so leading to a more effective LRRD in providing the EC Delegations themselves with their own resource of 'shelf projects'.

(206) **10.9** DG ECHO should commission a systematic analysis of projects to identify successes and failures according to implementation conditions. The information should be shared with partners and other practitioners and incorporated into DG ECHO's strategy for improved drought preparedness.

(207) **10.10** DG ECHO should develop a strategy to address the problem of post-drought pastoral 'drop-outs' with a view to encouraging alternative livelihood opportunities.

(208) **10.11** DG ECHO needs to identify gaps in coverage and, where appropriate, fill them in predetermining its intervention strategy in advance of calling for partner proposals.

(209) **10.12** DG ECHO should encourage partners to carry out research (both national and local) where information is lacking and to put this at the centre of their advocacy work.

(210) **10.13** DG ECHO should develop an operational model of the likely future trajectory of the economy of the drought vulnerable people of the ASAL in order to guide funding decisions. In recognition of the fact that the greater proportion of the vulnerable peoples are pastoralists (as defined in Section 1. Introduction of this report), the vision should focus on the need to encourage permanent migration out of pastoralism to levels where it can become economically productive. Since this is an issue which is of great significance to DG Development, the Evaluation Team would propose a jointly financed (DG ECHO/DG DEV) study for the elaboration of a common strategy for pastoralists. This would give a very important added value to the work of both services and could lead to a more effective LRRD link between them.

Recommendations directed to partners:

(211) **10.14** The Kenyan Drought Contingency Fund should be adopted as a good model and encouraged in the other countries of the GHoA. This is an advocacy task for DG ECHO with regard to the EC Delegations and for FAO with regard to Governments and other donors.

(212) **10.15** The relationship with FAO should be continued and strengthened. In light of FAO's mandate to work with Government and its potential for influence within the UN family of agencies (particularly WFP), DG ECHO should incite that FAO undertakes advocacy

with DG ECHO messaging and, particularly, to find and persuade potential LRRD partners towards a DG ECHO exit. FAO should also be encouraged to introduce new pilot intervention ideas and play a key role in making pre-feasibility technical assessments of ideas. While ongoing DG ECHO creation of pilot projects may be seen as endless (*ergo* developmental), there is little reason why FAO (or other Commission services) should not eventually take over this function.

(213) **10.16** Advocacy should have several targets: district officials, to give them a more accurate understanding of pastoralism; local communities to inform them about the workings of drought management systems and how they can contribute and participate in them; Central Government to sensitise them to the contribution of pastoralism to their economies but also to its particular vulnerabilities; and regional institutions such as IGAD–AU who hold EC National Disaster Facility funds for DRR and could present a useful LRRD partner for DG ECHO.

10.17 Final recommendation

(214) RDD should be continued until such time as other, more developmental, institutions are ready to take over. DG ECHO and the concerned EC Delegations must find an LRRD route (with the EC Delegations employing other available instruments) which will guarantee appropriate scale and durability to RDD initiated projects. Until such time as the other Commission services are able to enter into effective LRRD, DG ECHO will have to look to other institutions, Governments and the communities. In this regard, the Evaluation Team estimates that hand-over would take at least ten years.

10.18 Summary of specific recommendations

(215) **Table 4.** below summarises specific recommendations regarding the future programme and gives a priority to each category of activity.

Table 4. Main future roles for DG ECHO and its partners in drought preparedness

Best practice activity	What DG ECHO could support	Importance
1. Management institutions		
1.1 Local drought management institutions	Continue to support at district/ <i>woreda</i> level	2
1.2 Community institutions to prepare for drought, including customary authorities	Continue to strongly support	3
1.3 Regional drought management institutions	Support	1
2. Information		
2.1 National early warning and response	Continue to support at district/ <i>woreda</i> level and ensure feedback to communities	2
3. Planning		
3.1 District level contingency planning	Support preparation of experimental contingency plans.	3
	Evaluate existing pilot projects as models for district ‘shelf plans’	3
	Continue to support DMI and IPC processes	3
	Continue to support work on cross-border issues	3
3.2 Technical content of district contingency and development plans:	Continue to support experimental work on water, animal health and nutrition, production and storage of hay, grazing management, emergency livestock marketing and off-take, cereal market interventions, livelihood enhancement and household food security	3
3.3 Livelihood diversification	Expand support to training	2
3.4 Conflict resolution	Expand support to training and experimentation	2
4. Contingency funds	Support experimental funding of shelf project implementation	2
5. Advocacy	Expand support to advocacy	3
6. Coordination	Continue to support to coordination	2