

**STUDY REPORT**  
**DIPECHO STUDY: LESSONS LEARNED**  
**FOR AN IMPROVED STRATEGY AND**  
**APPROACH**

**March 2013**

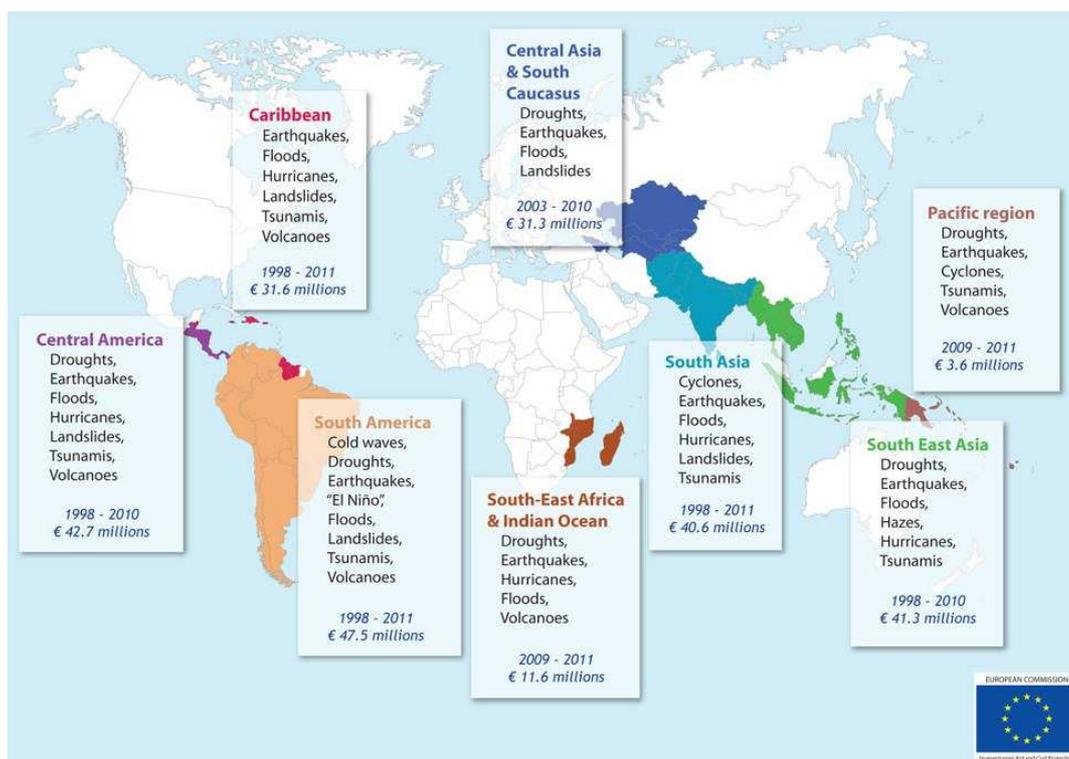
**Authors:**

**François Grünewald (team leader)**  
**Donna Mitzi Lagdameo**  
**Alexandre Latour**  
**Jacobo Ocharan**



# Table of Contents

EXECUTIVE SUMMARY .....	3
1. OBJECTIVES AND METHODOLOGY .....	7
1.1. Objectives .....	7
1.2. Methodology .....	7
1.3. Limits .....	8
2. DIPECHO OPERATIONAL APPROACH .....	9
3. SUSTAINABILITY, REPLICABILITY AND SCALING UP, FACTORS OF SUCCESS AND LIMITS	11
3.1. Factors of Success in vulnerable communities .....	12
3.2. Factors influencing sustainability, replication and scaling up .....	14
3.3. Two areas for attention .....	18
4. CONCLUSION AND RECOMMENDATIONS .....	20
4.1. Recommendations for DG ECHO .....	21
4.2. Recommendations for the partners .....	22
Acronyms .....	24



## EXECUTIVE SUMMARY

The purpose of this study is to draw on the experiences from 16 years of DIPECHO and 750 projects for vulnerable communities, to identify "what worked" and also what didn't in order to find ways of carrying out our work more effectively.

The study aims to capture DIPECHO's successes and challenges, to analyse the reasons for these so we can formulate guidance to maximise the impact of the future interventions, for both the DIPECHO approach and for the opportunities provided by the disaster resilience agenda. A central study objective is to understand and articulate how DIPECHO can ensure the sustainability, replication and the scaling up of initiatives targeted at reducing risks in vulnerable communities.

***"The objective of DIPECHO is to support and complement existing strategies that enable local communities and institutions to better prepare for, mitigate and respond adequately to natural disasters by enhancing their capacities to cope and respond, thereby increasing resilience and reducing vulnerabilities."***

DIPECHO was created by DG ECHO in 1996 as a programme dedicated to disaster preparedness. DIPECHO's progress is to show, through demonstration projects, that community based approaches can limit disaster losses and save lives in disaster prone areas. Recognising financing limits, and local responsibilities, DIPECHO project are essentially pilot projects that are designed to convince and encourage national governments, development co-operation services, civil society groups and communities themselves, to make greater investments in disaster risk reduction. Like all pilot projects the ultimate measure of their success is the extent to which they are replicated and scaled up.

Since 1996 the DIPECHO programme has grown to an annual budget of over Euro 35m in 2012, addressing multiple hazards and covering eight disaster prone regions; the Caribbean, Central America, South America, Southern Africa, the Indian Ocean region, Central Asia, South East Asia and the Pacific.

### 1. Impact and success

DIPECHO has established an exceptional reputation in several countries and international Disaster Risk Reduction forums. Over the course of its evolution, many DIPECHO initiatives have proved to be effective in limiting damage and saving lives at community level. There is clear evidence from evaluations and studies in many contexts that DIPECHO projects have had a positive impact making communities safer: evacuation sites have provided safe shelter during hurricanes, cyclone resistant house have protected populations, early warning systems have triggered evacuations, trained intervention teams have provide rapid relief, etc.

DIPECHO projects have had an impact beyond project locations. There are numerous examples of DIPECHO activities being continued by communities and partner organisations, being replicated in other locations and of being scaled up. DIPECHO projects have been an invaluable source of experience in disaster preparedness and DRR for many NGOs and government agencies.

DIPECHO took a lead promoting community-based disaster risk reduction at a time when few donors were engaged in this emerging area. As a result, preparedness based on participatory approaches with communities and institutions is now increasingly included in national and regional policies. DIPECHO

continues to make a large contribution to developing more effective methodologies and approaches, increasing awareness of the benefits of Community Based DRR (CBDRR) and contributing to more widespread implementation.

DIPECHO's projects have helped to mobilise other donors in support of CBDRR. By supporting national DRR and DRM systems, DIPECHO projects have worked with, and influenced partners and donors (World Bank, USAID, DFID, UNDP, etc.) to invest resources and adopt approaches which have, in turn, considerably increased local and national disaster preparedness capacities.

Many of these successes are the result of DIPECHO's systematic approach based in the principles of demonstration, sustainability and replication. An approach that is made more effective by the sustained efforts on the part of DG ECHO staff and DIPECHO partners to meet, exchange, co-ordinate and learn collectively. DIPECHO has been at the forefront of creating "multi-stakeholder communities of practice" in all regions.

## **2. Challenges**

Notwithstanding these successes there is scope to amplify results. Most DIPECHO plan evaluations indicate that in many cases where there have been positive local results, impact beyond the commune and village level has yet to be achieved and will only happen when pilot initiatives undertaken by project partners have been replicated elsewhere.

To persuade others (to replicate), DIPECHO community projects should place more emphasis on collating and presenting evidence that a methodology or approach works. The way the impacts of DIPECHO projects and systems are recorded should

be improved. More quantitative portrayals of costs and benefits are required.

Some DIPECHO projects and community initiatives have not continued beyond the end of a DIPECHO project cycle, raising questions on the suitability of the funding cycles and administrative mechanisms. On the one hand sustainability (e.g. continuation or maintenance) is often an indicator of whether delivery is effective or of how appropriate. On the other, there may have been an expectation of continued funding support from DIPECHO or elsewhere. The duration of DIPECHO funding is known and partners should be selected on the basis of prior engagement with a community or the possibility of receiving further resources.

Despite extensive efforts, especially in the field, there remains a disconnect between DIPECHO efforts and Delegations on DRR. Country programming documents allow very little room for post-DIPECHO efforts and to ensure that development programming is risk informed. Strengthening these links could contribute to replication and scale up.

## **3. Key lessons from DIPECHO to optimise resources available for DRR and links with development policies and programming**

The review has led to an enhanced understanding of the positive difference the DIPECHO programme is making and the main factors necessary for sustainability of initiatives, replication, and the scaling up of initiatives targeted at reducing risks in vulnerable communities. Factors that should be consolidated and built upon in future DIPECHO decisions include:

- Selecting partners with the right competencies, expertise and links. Projects implemented by partners with their own DRR and

comprehensive development strategies are more likely to be sustained over a longer period and be replicated. As are projects implemented by partners already linked to government disaster management systems.

- Appropriate design and community ownership. The impact and sustainability of community interventions is higher when project design is based on risk analysis informed by both indigenous and scientific knowledge, avoids unsustainable running costs and is socially and culturally acceptable. Projects which developed culturally appropriate communication mechanisms (working with women and children, using traditional communication systems, etc.) and that put the communities at the centre of disaster management initiatives, including by women in the design of the programme, perform better.
- Ownership by communities, civil society organizations and local authorities, created by participatory approaches and support for local capacities, are pre-requisites for effectiveness.
- Horizontal and vertical linkages between institutions and stakeholders to amplify results, influence others and benefit from the knowledge and resources they possess.

DIPECHO programmes have evolved and improved over the years. To pursue this process further, a series of recommendations can be formulated, resulting from the analysis of the different reports and discussions with DIPECHO stakeholders.

#### 4. Recommendations for DG ECHO

- Strengthen project design requiring partners to include in the project proposal a more explicit and concrete strategy for sustainability, replication and scaling up, an adequate impact analysis as well as suitable mechanisms for post disaster DIPECHO review (cost benefit analysis).and use national risk/resilience assessments to prioritise communities.
- Extension of the DIPECHO implementation time-frame (longer period and/or consecutive phases) while elaborating common (ECHO+DEVCO+EEAS+MS) resilience strategies at country/region level with DRR as a core component
- Ensure the “programmatic and financial” link between DIPECHO and the other EC development instruments (European Development Fund, Development Cooperation instruments). Use DIPECHO success stories and experiences to increase/improve Delegations' roles and commitments to promoting DRR activities vis-à-vis national and regional institutions.
- Promote and contribute to the creation of multi-partners/stakeholders national and regional platforms while continuing/increasing the support to the development of the CBDRR Community of Practice and to the multi-stakeholder experience sharing efforts
- Ensure adequate training to concerned ECHO/Commission staff as well as partners and local institutions.
- Explore further collaboration with the Civil Protection Community.

## 5. Recommendations for the partners

- Improve risk assessment methodologies in order to base project proposal suitable risk assessment involving the population at risk in this exercise.
- Further develop linkages between the community and government institutions through a dialogue with institutions and the definition of specific communication and advocacy strategies.
- This implies consultation with concerned DIPECHO partners at the time of the introduction of DIPECHO guidelines for Action Plans.
- Explore collaboration with the specialized scientific community while promoting and strengthening the community of practice and develop mechanisms for “across the board” experience sharing (between practitioners, decision makers, academics) and for cross region learning.
- Improve knowledge management and promote “CBDRR champions” at country and regional level and develop targeted advocacy and documentation (evidence).



# **1. OBJECTIVES AND METHODOLOGY**

## **1.1. Objectives**

The objective of the study is to gain a consolidated picture of DIPECHO's experiences and challenges, to analyse these and to formulate guidance to maximize the effectiveness of future DIPECHO programmes so as to make a wider contribution to disaster risk reduction. In keeping with DIPECHO's purpose, particular attention is given to learning how community programmes can be sustainable, replicable and scaled up.

## **1.2. Methodology**

To undertake this study, the INSPIRE Consortium mobilised a group of experts who conducted a thorough review of the literature, consulted a large segment of key DRR-related stakeholders (see list in annex N°2), and developed a series of case studies which helped to explore in greater detail certain issues raised by the literature review (presented in annex N°3).

The Desk Review was based on DIPECHO documentation, including Action Plan evaluation reports and post-disaster evaluation reports. Action Plan evaluations were the main source of information. General DRR literature was also reviewed to analyse factors related to sustainability, replication and scaling up of DRR interventions in greater depth. Interviews with the main stakeholders (partners, national and regional disaster management agencies, European Commission regional staff, DG ECHO staff, DRR experts, program managers and donors) were organised to clarify certain issues, such as articulation with other donors and with the EU Delegations.

To ensure that the review was properly rooted in field realities, a series of case studies were carried out. The choice of the case studies was based on several criteria: the intensity and frequency of disasters, the type of governing authorities, the strength of civil society, etc. Field missions were carried out in order to validate desk analysis.

Case study	Characteristics of the context
<b>Haiti</b>	Frequent hydro-climatic disasters, important seismic activity, high level of vulnerability, high level of visibility after the 2010 earthquake. Complex and fragile institutional set-up and weak institutional mechanisms (in general) Large presence of development donors but limited regional integration Important development of civil society organizations; significant involvement of the churches in service delivery. Strong NGO presence but NGOs working often in isolation
<b>Philippines</b>	High frequency of hydro-meteorological and geologic hazards because of its location within the Pacific Ring of Fire and the Typhoon Belt Different set up of partners, with individual NGOs as well as consortium Strong institutional mechanisms in DRM from the national to the local level High level of decentralization of the administration, with significant power delegated to mayors Active presence of Civil Society Organizations
<b>Vietnam</b>	High frequency of cyclones and floods Strong governmental command and control system and strong institutional involvement in DRR Good experience of NGO consortium dedicated to DRR advocacy Clearly defined DRR/DRM policies
<b>Horn of Africa</b>	While the Drought Decision for the Horn of Africa <sup>1</sup> is not part of DIPECHO, it is in fact similar to DIPECHO approach in terms of both approach and operations.

The study team attended two regional DIPECHO conferences in Nepal and the Dominican Republic to observe regional dynamics and the engagement with DIPECHO partners. Workshops were held with ECHO's DRR team to review the TOTs, prepare the inception report and the methodology for the case studies. Further workshops were held to review results and prepare the study report.

### 1.3. Limits

This study had to be carried out in a less than optimal short timeframe during summer 2012. Planned for missions to Latin and Central America were taken out and replaced at last minute by the Horn of Africa. Comparisons between projects were more difficult than envisaged as prior DIPECHO used different methodologies and were to differing standards.

---

<sup>1</sup> The Drought Decision for the Horn of Africa is a special financial allocation for DRR.

## 2. DIPECHO OPERATIONAL APPROACH

The purpose of DIPECHO is to reduce the vulnerability, and future disaster related losses, of communities living in the areas most affected by natural disasters. Focusing on "preparedness" and "mitigation", all DIPECHO projects have a demonstrative purpose. A key element of the DIPECHO strategy is to identify and develop successful models in community-based DRR and disaster preparedness that can be replicated elsewhere by vulnerable communities, national or sub-national authorities, other EC funding instruments or other donors. The DIPECHO approach has core characteristics that have evolved to meet its key objective:

- DG ECHO has been a pioneer in linking humanitarian action with preparedness, arguing that building local capacities improves the effectiveness of humanitarian relief whilst reducing the need for it. Communities are the first responders during crises and are best positioned to determine priorities for risk reduction. DIPECHO therefore promotes community participation in all phases of a project.
- The focus of DIPECHO is on reducing the vulnerability of communities living in the areas most affected by natural disasters. Vulnerable communities are the ultimate beneficiaries of any DIPECHO disaster management initiatives. To target the most vulnerable people, in the areas most at risk, DIPECHO projects require local level risk analysis and understanding of vulnerabilities.
- The DIPECHO programme covers most of the regions in the world which, due to their topography, geology and climate, are exposed to a variety of natural disasters, such as floods, cyclones, droughts, landslides, tidal waves/tsunamis, volcanic eruptions, flash floods, forest fires, cold waves and storms.
- Many DIPECHO projects have focused on vulnerable and isolated rural communities. However, as disasters frequently affect urban areas, DIPECHO has also started to support projects in these contexts. Examples of these have taken place in Asia (Nepal, Indonesia, Vietnam and the Philippines), in the Caribbean and in Latin America (Peru and Bolivia).

From initial pilot projects to demonstrate the benefits of community based disaster risk reduction and preparedness (CBDRR), DIPECHO Action Plans have gradually evolved to include creating the enabling environment necessary to facilitate longer term change and more widespread community based action. DIPECHO now includes activities to promote a better understanding of community based approaches and to build the capacities of regional and national agencies to implement community level interventions. This has pushed DIPECHO partners to establish links with institutional bodies or mechanisms in the respective regions with respect to DRR (ASEAN and SAARC for Southern Asia & South East Asia with the AADMER, RED LAC and others in Latin America, CDEMA in the Caribbean, etc).

DIPECHO contributes to, and promotes, the Hyogo Framework for Action (HFA). Explicit reference to the HFA has been required in proposals since the 4<sup>th</sup> cycle of Action Plans. In more recent Action Plans, DIPECHO partners have been asked to demonstrate how their projects will directly contribute to HFA priority areas and targets.

The DIPECHO programme is part of the European Commission's commitment to Disaster Risk Reduction. ECHO has consistently supported DRR since its foundation (1992). ECHO's DRR activities reduced risks for approximately 14 million people in 2011-2012. This covers projects within all sectors of humanitarian aid from health to shelter to nutrition, emergency planning and the protection of livelihoods. In 2012 over half of all ECHO projects included DRR.

The following table presents the different DIPECHO funded activities identified during the study:

DRR programming	Related activities
Local disaster management components <ul style="list-style-type: none"> <li>▪ <b>Community preparedness</b></li> <li>▪ <b>Local Early Warning Systems</b></li> <li>▪ <b>Evacuation Plans</b></li> <li>▪ <b>Contingency Planning</b></li> <li>▪ <b>Capacity building / training for local DM institutions</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ Local Flood EWS</li> <li>▪ Institutionalization of Permanent Disaster Risk Management Offices at the Provincial Level</li> <li>▪ Training and risk assessment methodologies</li> <li>▪ Public awareness on forest fires</li> <li>▪ Raising capacities of local NGOs on development planning</li> <li>▪ Flood mitigation micro projects</li> <li>▪ Identification, assessment, preparation of safe areas</li> <li>▪ Setting up of Community Rapid Reaction teams</li> <li>▪ Damage assessment and needs analysis</li> </ul>
Institutional linkages <ul style="list-style-type: none"> <li>▪ <b>Advocacy</b></li> <li>▪ <b>Facilitation of co-ordination</b></li> <li>▪ <b>Institutional strengthening (linked to institutions involved in DM)</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ Creation of local civil society network</li> <li>▪ Regional information exchange</li> <li>▪ Information exchange among DM practitioners</li> <li>▪ Building local NGO capacity in complex emergency response</li> <li>▪ Integration of DP into NGO project cycles</li> <li>▪ Establishment of information centres</li> <li>▪ Building institutional / organizational capacity</li> <li>▪ Network of DMCs</li> </ul>
Information, Education, Communication <ul style="list-style-type: none"> <li>▪ <b>Public awareness raising</b></li> <li>▪ <b>Education (linked with activities in schools)</b></li> <li>▪ <b>National/Regional EWS</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ Documentation of Good Practices in CBDRM</li> <li>▪ Curriculum development for schools</li> <li>▪ Disaster preparedness training program</li> <li>▪ Regional information and exchange and cooperation among regional organizations, national networks.</li> </ul>
Small-scale infrastructure and services, at community level <ul style="list-style-type: none"> <li>▪ <b>Infrastructure support including construction/rehabilitation of bunds, water supplies, and drainage channels, disaster resistant housing, facilities, etc.</b></li> <li>▪ <b>Mitigation activities including resettlement,</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ Households building houses on raised plinths</li> <li>▪ Installation of raised hand-pumps with platform and drainage facilities</li> <li>▪ Completion of gabion wire retaining walls</li> <li>▪ Reforestation, mangrove rejuvenation natural resource management, livelihood protection and/or diversification</li> </ul>
Stocks of emergency and relief items <ul style="list-style-type: none"> <li>▪ <b>Strategic pre-positioning of selected items</b></li> <li>▪ <b>Logistics systems for rapid disbursement</b></li> <li>▪ <b>Warehouse systems for tracking stocks</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ Preparation of disaster proofed storing capacities</li> <li>▪ Organization of procurement and rotation of stock</li> <li>▪ Organization of regular training for stock dispatch and distribution</li> </ul>
Livelihoods and economic assets protection <ul style="list-style-type: none"> <li>▪ <b>Direct and indirect beneficiaries to adapt, prepare or protect their livelihoods against natural disasters (safe granaries, seed security stocks, etc.)</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ Agro-ecosystem and livelihood analysis</li> <li>▪ Ensuring availability of inputs (seed, tools, etc.) both at family and market levels</li> <li>▪ Checking livestock /grain terms of exchange</li> <li>▪ Exploring and setting up rapid cash disbursement systems through banks or other mechanisms</li> </ul>

### 3. SUSTAINABILITY, REPLICABILITY AND SCALING UP, FACTORS OF SUCCESS AND LIMITS

*Mainstreaming community-based disaster risk reduction and disaster preparedness in local, national and regional policies is the final goal of DIPECHO programmes*

This study, along with previous evaluations, found the DIPECHO programme has consistently shown that low cost preparatory measures can save lives and livelihoods at the community level, and has raised awareness among decision-makers of the benefits and need to integrate DRR into longer term development policies. The study identified several examples of where DIPECHO initiatives have been replicated as well as the conditions that explain how and why replication was possible.

There are repeated examples of DIPECHO projects having positive impacts on community understanding of risks and how to manage them, especially when coherent and creative community mobilization was achieved. In most instances Disaster preparedness training sessions combined with demonstration prevention activities and simulation exercises (mock drills) were well received and have led to positive change. A few examples are provided in the accompanying box. Nearly all DIPECHO projects provide development gains alongside cost-effective protection to vulnerable communities.

Where DIPECHO projects demonstrate considerable added value is with small scale, but more frequent, disasters that do not attract media attention or an international response. It is to small scale disasters, especially in Central and Latin America, but also in Asian and Africa, that the development of local capacities to respond has demonstrated its full usefulness, allowing vulnerable communities to manage without relying on external assistance.

#### ***Positive impacts on people's capacity to cope with disasters***

***Philippines:*** On June 20, 2008, just 25 days after the installation of a community-based Flood Early Warning System (FEWS), typhoon Frank hit Southern Leyte. The FEWS's siren sounded a series of critical flood warnings. This warning enabled the Local Government Unit of Saint Bernard to evacuate residents from along the river downstream and from flood-prone areas. There were zero casualties and 474 people were saved from the devastating flood that surged down from the mountains an hour after the completion of the evacuation.

***Haiti:*** DIPECHO supported projects at the community level have made people more aware of disaster risks and better prepared to cope with and respond to disasters. Large-scale public and school awareness campaigns as well as small-scale mitigation activities have been conducted to introduce the concept of risk self-protection into the Haitian culture and educate thousands of vulnerable children and adults about how to react in the case of a disaster. They disseminated preventive messages during the cholera outbreak and committees from the North of the country were deployed to Port-au-Prince to respond to the earthquake relief operation.

These positive findings are balanced by some DIPECHO evaluations that found replication of DIPECHO projects is not extensive as it could be. There is scope for DG ECHO and staff involved in the DIPECHO programme to be more aware of the factors that facilitate, or hinder,

prospects for replication and scale up. This section attempts to capture what makes DIPECHO projects successful, presenting suggestions to strengthen future prospects of sustainability, replication and scaling up.

### **3.1. Factors of Success in vulnerable communities**

The success of DIECHO community projects, though operating in different contexts and with different hazards, can be explained by some common shared characteristics.

#### **3.1.1. Ownership**

One of the conditions for DIPECHO projects to perform well and to have a lasting effect, is the involvement of communities and the relevant authorities throughout the entire project cycle, from problem/ hazard/ risk identification to project design. It is important for national authorities to be involved as early as possible to ensure that there is dialogue with the local authorities and the communities. Projects and project partners need to incorporate, and be familiar with, processes and tools to facilitate social mobilization and community and institutional participation.

#### **3.1.2. The quality of DIPECHO partners**

Key to the success of DIPECHO projects is the experience and commitment applied by implementing partners. Over the course of the different Action Plans the selection process has improved so DIPECHO partners now possess both expertise in DRR and good contextual knowledge. Experience has shown that projects are more effective if partners have a significant presence in the country/region/community as well as the ability to work with communities and local government. The success of a DIPCHO project, its effectiveness in the community and the potential to influence others, is heightened when partners are involved in both development and DRR. They need to be learning organisations and need to be committed to DRR activities beyond ECHO's short term funding cycle. Partners need to be familiar and practiced with participatory community analysis and planning tools.

#### **3.1.3. Participatory risk assessment and prioritization**

Identifying hazards and their possible impacts, their likely frequencies and their root causes in a participatory manner with communities and local authorities is an essential component of the community-based approach promoted by DIPECHO.

DIPECHO correctly understands that effective prioritization of community risk reduction activities and beneficiaries depends on the quality of risk assessments and community involvement. Basing project design on participatory community-based risk assessment is central to many DIPECHO projects, allowing optimal use of local knowledge. Local risks, for example, areas prone to land slide, can be quickly identified by community based risk analysis. But local knowledge is often not enough. Local decisions on risk reduction are aided when local understanding is complemented by external scientific knowledge. DIPECHO

therefore builds partner and community knowledge through activities such as the Regional conferences on seismology organized in Haiti and the Dominican Republic and the dialogue between local NGOs and the Earthquake Study Centre in Kathmandu

DIPECHO projects are under-pinned by the close attention given to vulnerable groups in project design. Deliberate efforts are made to analyse the different ways risks can affect different areas (geographical prioritization) and social groupings of a given population. Unlike many DRR programmes that ignore vulnerable groups (disabled people, children, the elderly, ethnic minorities) DIPECHO programmes ensure their inclusion. DIPECHO projects are therefore appropriate to the scale of local risks and different community needs. Early warning systems, for instance, have proved to more effective when developed with multiple stakeholders and understood by all community members including the more vulnerable.

**Targeting children:**

*School-based disaster preparedness sessions supported by DIPECHO in Northern Vietnam have reached an estimated half a million 4th and 5th grade schoolchildren and over 15,000 primary school teachers. Using innovative and child-friendly methods, such as the simulation exercises and drills used in Yen Bai province, they have been effective in preparing children to cope with disasters.*

### 3.1.4. Technical appropriateness

Simple, easy-to-maintain, low-cost activities have a much better chance of being effective and maintained in vulnerable communities. For example, Some DIPECHO early warning projects have included, or been linked with, sophisticated technology (e.g. telemetric data) but in many hand operated sirens, church bells and solar-operated telecommunication systems provide a cost effective alternative. If small-scale, low-cost mitigation projects are affordable and managed by communities and households, there is a better chance they will function and be effective when needed most – when hazards strike.

DIPECHO projects should also be designed with the understanding that if small scale mitigation projects and their effects on the community (to be observed both after a disaster strikes and outside disaster response) are to be replicated elsewhere, or scaled up, a clear demonstration is required of how infrastructure and processes (e.g. management committees, community contributions) will be maintained and resourced over time.

**Vietnam:** *In several areas of Vietnam, households have adapted the techniques and maintained the technology from DIPECHO projects without further assistance or with minimal running costs by using their own local resources.*

**Austral Africa:** *If most interventions targeted the most vulnerable in principle, some were poorly conceived in this regard. Although the model cyclone-resistant houses developed by various Partners under UN Habitat guidance were built (or in some cases reinforced) with locally available material, the additional cost (in cash and scarce wood) made the model inaccessible to all but the least vulnerable. Those with the most vulnerable houses have little resources and could not afford to build a new one.*

### 3.1.5. Analysis of local capacities and dynamics

Understanding societal and institutional dynamics capacities at varying levels is a prerequisite for programme success.

Most DIPECHO stakeholders have identified the capacity of local institutions as a crucial factor of success. An analysis of the capacity of national institutions in charge of disaster management at all levels is required to develop effective interaction with them. This analysis should cover human resources, assets (vehicles, equipment), access to infrastructures (for evacuation shelters), services (for instance to treat the wounded) and how local emergency response teams are mobilized when a disaster strikes.

***Different institutional cultures in the DRR sector: the case of Central Asia and Caucasus***  
*In Central Asia and the Southern Caucasus, there is a strong culture of civil protection, with dedicated teams, means and equipment for fire brigades and emergency response teams, often attached to the Ministry of Defence or the Home Affairs/ Interior Ministry. There are also very developed National Red Cross/Crescent societies which are clearly seen as auxiliaries of the state at all levels. In these contexts, where institutions have much less experience in community-based disaster risk reduction and disaster preparedness, it has been a real challenge to demonstrate that CBDRR was complementing very constructively government efforts.*

### 3.1.6. Communication tools

Motivating, learning and sustaining interest in disaster preparedness and risk reduction among community members and local institutions requires appropriate training methods and awareness-raising events as well as the development of interesting and up-to-date communication materials. DIPECHO projects show 1) Traditional and local communication tools are most effective in generating awareness at the community level 2) Involving children increases the receptiveness and interest of the community, delivering quick results and lasting impact. 3) Flexibility is required to adapt approaches to the social/cultural situation contexts. For example, consultation should be at appropriate times and in suitable locations for women.

## 3.2. Factors influencing sustainability, replication and scaling up

Many national disaster management systems have applied methodologies developed under DIPECHO to more effectively reduce disaster risks in vulnerable communities. In several countries, DIPECHO has made a notably constructive contribution to the introduction of CBDRR into national DRR frameworks.

While a number of evaluations point to limited replication of DIPECHO projects, the study identified several positive examples and the conditions necessary for replication linked in particular to partnerships, networks and exchanges.

***When regional institutions take over DIPECHO projects and ensure their sustainability and replication***

*The Caribbean Disaster Emergency Management Agency (CDEMA) has incorporated materials prepared under DIPECHO 2 into on-going professional training programmes like the Disaster Preparedness modules within regional (CARICOM) secondary schools. Training received by school staff on several islands at the national level has been repeated on other islands.*

*Successive DIPECHO funding has permitted the IFRC to introduce a properly structured regional training strategy which is being replicated on several Caribbean islands by Red Cross national societies.*

***Replication in Vietnam***

*The results of the DIPECHO Action Plan in Than Hoa (Vietnam) were considered very positive after the end of the first year. The women's union therefore decided to continue and to expend it on their own. It conducted important awareness raising activities and have continued these activities without any external support having integrated them into their normal plan and budget. They are now encouraging neighbouring women's unions to do the same. The women now feel that their voice has greater weight in their community on such issues, and that they know what to do to keep their families safe.*

**3.2.1. Partnerships with local actors**

Strong partnerships with local civil society and interaction with local and national disaster management institutions assists replication and scaling up. Experiences at the community level have deliberately been used to influence organisational and institutional change. For example, DIPECHO partners that implement with communities have been supportive of new legislation on DRR and have been instrumental in supporting its drafting with national disaster institutions. In other instances, DIPECHO's advocacy components have raised awareness (through publications, events, interventions on the local media, etc) among policy makers and promoted the integration of DRR and disaster preparedness into national planning or legislation (Vietnam, Thailand, Barbados, Madagascar, Mozambique).

DIPECHO has also helped partners (NGOs, Red Cross and Red Crescent movement) to further develop their overall institutional DRR policies and strategies for the regions where they work and to integrate these into their general development programmes. Several NGOs now have internal DRR policies with dedicated DRR staff and units.

**3.2.2. Partnership with national institutions**

A high level of interaction between ECHO, its partners, communities, local and central/national institutions in charge of disaster management also contributes to increasing the level of interest of other local authorities. Supporting linkages between the community and government institutions is instrumental for developing sustainable co-ordination mechanisms. Proper institutional analysis and a systematic presentation of action plans and projects to relevant DRR institutions is a must. The definition of a specific communication strategy towards these institutions with the goal to influence them can be requested as part of the project proposal.

### ***Safe Hospitals in Nepal***

*The regional PAHO programme for safe hospitals in the Caribbean and the WHO programme to include DRR in Kathmandu hospitals both aim to ensure that hospitals will be ready to resist shocks through minor retrofitting and other mitigation work and that they will be ready to play their role in a disaster response (water and energy stocks, the establishment of proper procedures to deal with epidemics or mass casualties, the setting up of proper communication systems and co-ordination mechanisms with National and Local Disaster Management agencies).*

DIPECHO projects have adopted a variety of strategies to build government engagement, for example inviting Government to trainings and involving Government in exposure visits so they are aware of on the ground realities and situations of risk. Authorities are deliberately exposed to projects' achievements with the purpose of moving them forward from site specific interventions to developing broader enabling policy and legal frameworks for DRR. This process has been very largely successful in some regions (South-East Asia and South Asia, as well as in Latin America and the Caribbean) and is still "work in progress" in others (Central Asia). At the regional level, sustainability and adoption has been managed by linking projects to binding agreements (e.g. the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) and the South Asian Association for Regional Cooperation (SAARC)).

The likelihood of a project's sustainability and replication increases within an environment where institutions and policies are explicitly committed to DRR. Successful scaling-up is more common in countries with robust national DRR policy frameworks. In locations where national systems have limited capacities, it proves a bigger challenge for partners to initiate policy change within a short period of time. In general, this has been overcome, and progress made, when DIPECHO commitments have been sustained over several Action plans.

### ***Replicating Local Flood Early Warning Systems in the Philippines***

*GIZ has been working in partnership with the Philippine Atmospheric, Geophysical and Astronomical Services Administration (PAGASA) and the Office of Civil Defence (OCD) to build the capacities of the Eastern Visayas region in relation to establishing, managing and operating Local Flood Early Warning Systems (LFEWS). Implemented under the 5<sup>th</sup>, 6<sup>th</sup> and 7<sup>th</sup> DIPECHO Action Plans in the Binahaan watershed in the province of Leyte, in Eastern Visayas, the LFEWS has been replicated and strengthened in Samar and Leyte Islands, covering eight other watersheds in the region, involving 23 local government units. The LFEWS experience is also currently being replicated under the 8<sup>th</sup> Action Plan in eight other flood-prone regions, provinces and municipalities in the country.*

### **3.2.3. Regional approaches**

Regional programmes designed to integrate DRR into regional development planning assist scaling up beyond borders. This is especially relevant in regions where there are disparities between national capacities. However, because the mobilization of regional institutions and intergovernmental bodies takes time and which cannot be undertaken during a single DIPECHO funding cycle, support to regional initiatives has proved to be effective when over several rounds of DIPECHO Action Plans.

### 3.2.4. Donor collaboration

The support of other donors is a valued resource for continuation and scale up. In many instances excellent relations between DG ECHO and regional donors (USAID, DFID, IADB, etc) resulted in DIPECHO outputs being continued and integrated into regular development activities. Wherever possible collaboration should take place throughout the programme cycle including multi-stakeholder consultation prior to the preparation of Action plans and funding guidelines.

**World Bank:** *The World Bank implemented a 7.5 million dollar project for Saint Lucia (2004) to ensure the replication, scaling up and connectedness of DIPECHO programmes with development.*

**IFRC:** *The IFRC project in the Dominican Republic (DIPECHO 1) has paved the way for many additional programs supported by other donors (OFDA, World Bank). Since then, the Red Cross has established an on-going relationship with governmental institutions like the Office of Disaster Management (ODM) and the National Emergency Planning Organization (NEPO). It has become an important stakeholder in the national disaster management plan and continues to conduct training activities (financed by OFDA).*

### 3.2.5. Facilitating national and regional co-ordination between CBDRR partners

Over the years, DG ECHO has consistently encouraged its DIPECHO partners to co-ordinate with each other. DG ECHO regularly brings together ‘DIPECHO partners’ at the national and regional levels to stimulate inter-agency collaboration and cross-fertilisation. This has created a valuable framework for sharing methodologies and for strategic cooperation, for example, with the creation of local intervention teams, sharing of EWS technology and skills transfer. Good communication between DIPECHO and its partners is a key factor of success for DIPECHO-funded projects.

### 3.2.6. Knowledge management and advocacy

Learning, documentation and sharing of “good practice” are essential. DIPECHO projects increasingly develop user friendly and attractive formats and advocacy techniques that have been used in other DRR projects and beyond project areas. For example, the Regional DM Practitioners’ Meetings, organized by ADPC (with ECHO co-funding), have provided appreciated opportunities to find out about approaches tested in other countries, to adapt them and apply them to different contexts. Other successes include the funding of publications such as the “CBDRM Field Practitioner’s Handbook” (to design community-based projects). Dissemination of successful community based DRR and disaster preparedness projects among DIPECHO partners and within the wider DRR community is helped by the annual DIPECHO national and regional consultative meetings.

Advocacy is factored into all DIPECHO projects. ECHO conducts advocacy vis-a-vis the major development institutions and other donors, including relevant government ministries, but more can and should be done in this area. The challenge remains to find the appropriate “CBDRR friendly entry points” in government structures.

### 3.2.7. Managing DIPECHO in complex situations

Attempts to set up DIPECHO projects in or around conflict zones, former conflict zones and difficult areas, such as Cité Soleil and Martisan in Haiti, have met with mixed results. Engaging with local and national authorities in situations of conflict or high tensions is not an easy task, especially in contexts where these authorities are a party to the conflict, where NGOs do not have a good image or where authoritarian regimes do not engage in dialogue with civil society. In many cases, institutional instability, political changes and migration make exit strategies difficult to define and implement. For instance, in several projects in Afghanistan, the complex situation prevented the emergence of strong local institutions to take over project activities.

In complex situations DIPECHO projects require different approaches and different expectations. DIPECHO partners need to find the right balance between humanitarian principles and the need to engage with the State stakeholders.

Opportunities for sustainability, scale up or replication in complex situations are limited. This does not negate the need for CBDRR in complex situations or the value of the lessons learnt – many can still be applied to complex situations elsewhere. It can still be shown that CBDRR cost effectively reduces losses and is ethically justifiable (i.e. action now to reduce future losses).

#### ***Afghanistan***

*Though DRR is extremely relevant in Afghanistan due to the many different hazards that exist there because of its geology (active tectonics), its topography (areas prone to flash floods and landslides, large inundation plains, areas affected by long winters) and climate (drought), DIPECHO projects have experienced a great deal of difficulty because of the on-going conflict. Gaining access to the population to engage in community based DRR is often challenging in terms of logistics and security. When local institutions are non-existent or weak due to the conflict situation, the chances of replication or scaling-up are limited.*

### 3.3. Two areas for attention

#### 3.3.1. Exit strategies and funding cycles

Despite their successes at the community level, DIPECHO projects have often not been able to be maintained and consolidated by communities themselves or by external partners. In many instances Government, even where de-centralised, have limited resources and other priorities (to DRR). In others, a reliance on “the next DIPECHO Action Plan” has induced a form of dependency and some partners have not necessarily taken all the steps needed to ensure that community and institutional capacity gains (training, response plans, EWS, mitigation work, etc.) could be maintained, continued and consolidated after the closure of the projects.

One of the common “issues” raised in almost all AP evaluation reports and frequently mentioned by partners about DIPECHO projects is their short implementation period. Many partners state longer funding timeframes (than 18 month DIPECHO) are required if projects are to be sustainable, replicable and scaled up. Another criticism is that this short timeframe

can hinder innovation; trying new approaches and even customizing elements of projects designed in another context takes time.

The inclusion of an exit strategy in project designs is fundamental to support the sustainability of the investments made, ensure continuity and help stakeholders to take over the project. DIPECHO guidelines should state even more clearly that provisions made for the sustainability of projects will be a key factor in the selection process. Examples of good practices should be provided to potential partners.

### **3.3.2. Documentation and evidence**

More efforts are required to capture and document the impacts of community-based disaster risk reduction projects in terms of reduced vulnerability. The cases where DIPECHO programmes were tested following a disaster should be better and more documented and positive examples more widely disseminated. Greater emphasis should be placed on collecting evidence and data to demonstrate benefits and to persuade others.

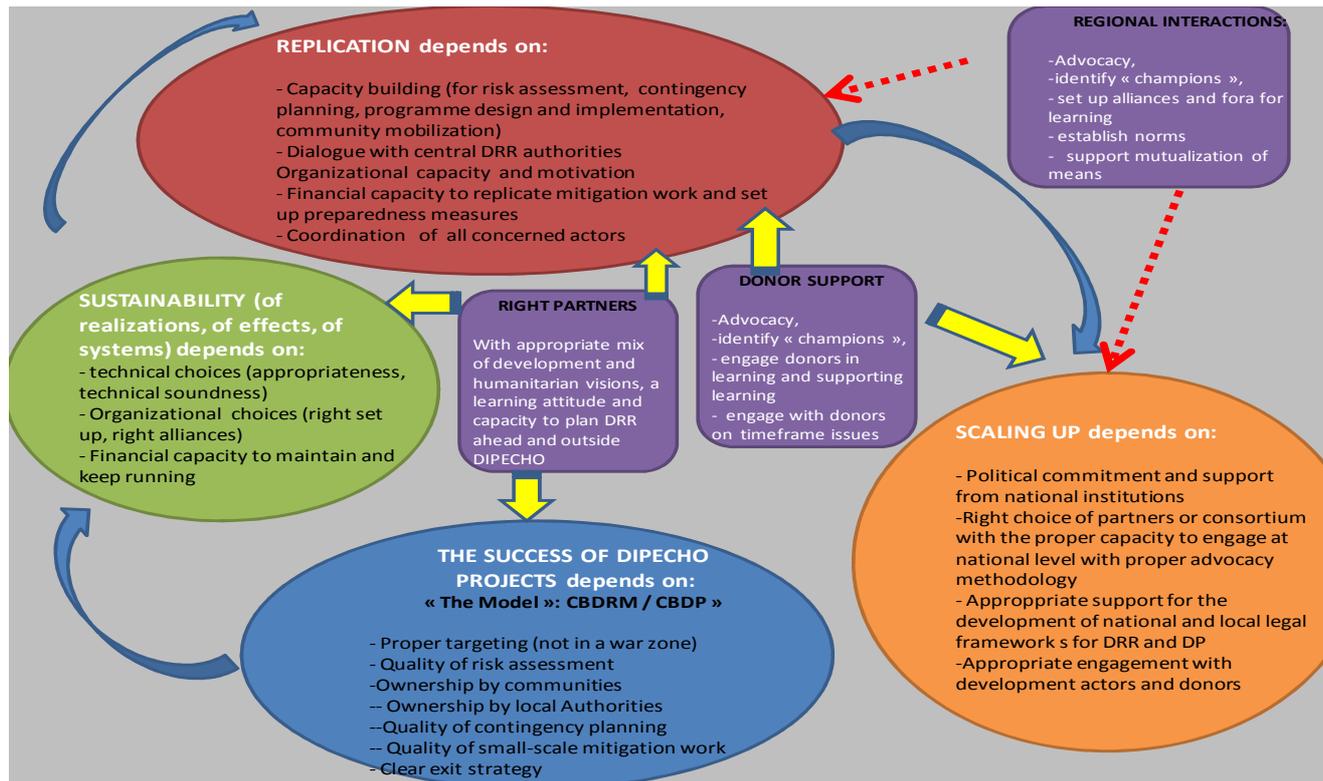
#### ***Improved coordination in Haiti***

*A consensus has been reached between the national DRR institutions, DG ECHO, DIPECHO partners and the IFRC to harmonize all community-based projects with a single, common methodology to form, train and equip Community Intervention Teams (EICs). All the partners use IFRC tools tested in Central America which have been adapted to the local context and use the Haitian Red Cross (HRC) training centre. The fact that the partners use similar materials, adopt a single methodology, are connected to each other and to the system, report to the DPC and the HRC contributes to strengthening the DRM national system and consequently the sustainability of current DIPECHO activities and the potential replication of community-based DRR projects.*

## 4. CONCLUSION AND RECOMMENDATIONS

The work done at the community level in building effective local Disaster Risk Reduction, Disaster Preparedness and response mechanisms has clearly demonstrated that it saves lives, protects livelihoods and helps communities to “bounce back” and improve their safety.

Making these achievements sustainable, replicable and to be expanded to scale requires a series of conditions and specific efforts. The following model presents these different factors of long term success:



The capacity of partners to carry out proper risk assessments with the communities and integrate DIPECHO projects into an extended timeframe and longer-term funding are critical ingredients for this success. The sustainability and replication of projects depend a great deal on the technical and organisational choices made during the design phase: low cost and easy to maintain technologies are essential. Building strong links between DIPECHO projects and the disaster risk reduction and preparedness activities of local, national and regional institutions as well as international development organizations is another key factor in terms of sustainability, replication and scaling up. Efforts made by DIPECHO to share lessons learned and organize regular experience-sharing events have raised the profile of DIPECHO and contributed to the development of a very active and vivid Community of Practice. Special efforts have been made in the direction of the development institutions of the European Commission but much more can still be done.

DG ECHO's mandate in relation to Civil Protection provides new opportunities that should be explored. The possibility of Civil Protection specialists training their counterparts in

sophisticated Urban Search and Rescue techniques and using INSARAG methodologies has yet to be developed.

The European Commission's commitment to the Hyogo Framework for Action and climate change adaptation as well as its recent Communication on Resilience are all strong signals on its intention to do more and better in terms of risk-informed humanitarian and development programming and in the field of DRR. The DIPECHO programme as well as other DRR ECHO initiatives can contribute to this renewed EU commitments to safer communities and a more resilient world.

#### **4.1. Recommendations for DG ECHO**

- ✓ R1: Ensure that potential partners strengthen project design before selection and request that the strategy for sustainability, replication and scaling up is made more explicit in project design as a pre-condition for approval. Proposals should include a clear process rationale of why selected approaches will deliver expected results within the community and how these will be used to influence others.
- ✓ R2: Strengthen partners' monitoring and lesson learning capacities, with a particular focus on analysing the impact of DIPECHO projects in areas and communities which are affected by a disaster during or after the implementation of a project. More quantitative portrayals of costs and benefits associated with DRR are required to persuade others.
- ✓ R3: Facilitate post disaster DIPECHO programme review by local mechanisms with support for methodology design and equipment. This could also be introduced in the job description of DIPECHO staff, with specific time allocation.
- ✓ R4: Extend (if possible) the time-frame for the implementation of DIPECHO projects and /or strategically consider from the onset of the programme that proactive planning of "consecutive" phases is possible.
- ✓ R5: Ensure the 'programmatic and financial" link between DIPECHO and the other EC development instruments (European Development Fund, Development Cooperation instruments). Use DIPECHO success stories and experiences to increase/improve Delegations' roles and commitments to promoting DRR activities vis-a-vis national and regional institutions.
- ✓ R6. For the most vulnerable countries elaborate common (ECHO+DEVCO+EEAS+MS?) resilience strategies at country/region level with DRR as a core component;
- ✓ R7. Request partners to use national risk/resilience assessments to prioritise communities. In turn partners should use local risk experiences to inform national risk profiles.
- ✓ R8: Continue, and if possible increase, the support of DG ECHO to the development of the CBDRR Community of Practice and to the multi-stakeholder experience sharing efforts. It

is important that DIPECHO experts have the time to keep themselves informed of the scientific and methodological developments on DRR and share this knowledge with their partners. Consider contributing to multi-partner national or regional multi-stakeholder platforms (i.e. not DIPECHO stand-alones).

- ✓ R9: Promote the implementation and coherence of the upcoming DRR policy guidelines and resilience implementation plan: dissemination activities, training for ECHO staff, DEL staff, partners and local institutions should be factored into the DRR Working Group's next Action Plan.
- ✓ R10: Continue the promotion of DRR mainstreaming humanitarian operations to ensure risk informed humanitarian aid. This should in addition facilitate risk informed recovery processes under more strategic LRRD approaches;
- ✓ R11: Explore further collaboration with the Civil Protection Community using all the links already established by the European Civil Protection mechanism, especially through the UNDAC Disaster preparedness missions.
- ✓ R12: Increase visibility of DRR with European institutions, including the EU Parliament for Europe, so they can advocate more forcefully for a more strategic approach to worldwide risk reduction and support the Commission resilience agenda.

## **4.2. Recommendations for the partners**

- ✓ R12: Improve risk assessment methodologies: Risk assessment methodologies, central to DIPECHO programming, should be up-dated with the latest methodological developments in social sciences and global disaster-related sciences. In addition DIPECHO project documents should be better backed up by proper multi-hazard typology and mapping of vulnerabilities to explain how priorities have been established. The rationale for social targeting should be better documented.
- ✓ R13: Proposal design should be based on a firm risk assessment and an articulation of how that risk will change during the project. An experienced based rationale will set out how results will be realised and progress captured.
- ✓ R14: Partners should be more clearly informed that provisions made for the sustainability of projects will be a key factor in the selection process. Examples of good practices should be provided to potential partners to support them in this area.
- ✓ R15: Ensure the optimal involvement of high risk populations, women and priority groups such as children, in the design and dissemination of DRR messages: Experience shows that these groups, which are the primary victims in case of disaster, have a high interest in ensuring that DRR works.
- ✓ R16: Further develop linkages between the community and government institutions: Put dialogue with institutions at the core of DIPECHO interventions, with special caution in situations of conflict or social tension, as it is essential for replication, sustainability and

scaling up; The definition of a specific communication and advocacy strategy towards these institutions can be requested as part of the project description. This implies consultation with concerned DIPECHO partners at the time of the introduction of DIPECHO guidelines for Action Plans.

- ✓ R17: Further explore collaboration with the specialized scientific community: Additional information on past, current and future factors of risks coming from scientific analysis contribute usefully information on risk generated at the community level;
- ✓ R18: Strengthen the community of practice: Strengthen/promote coordination and collaboration between partners at country and regional levels. Develop mechanisms for “across the board” experience sharing (between practitioners, decision makers, academics) and for cross region learning;
- ✓ R19: Improve knowledge management: Sharing knowledge and collecting and documenting DIPECHO good practices. Special web pages can be created and information can be fed into existing web sites such as [www.provention.org](http://www.provention.org).
- ✓ R20: Promote “CBDRR champions” at the regional level. Analysis of the key regional DRR institutions should allow the DIPECHO network to identify the most appropriate player to manage collective memory and experience and act as a catalyst for DRR at all levels in each region. Exploring this issue with regional UNISDR branches and with intergovernmental institutions such as ICIMOD in the Himalaya, the Mekong Commission in South East Asia or ECOWAS in West Africa, for instance, should help identifying the proper depository of collective experience and memory.
- ✓ R21: Target advocacy and documentation (evidence) at those you want to influence using language and methods they understand. If trying to persuade finance ministries to support community initiatives use economic cost benefit tools.



© Croix-Rouge française et Croix-Rouge haïtienne

## Acronyms

AADMER	ASEAN Agreement on Disaster Management and Emergency Response
ACF	Action contre la Faim
AHAC	ASEAN Humanitarian Action Center
AP	Action Plan
APG	AADMER Partnership Group
APSEMO	Albay Public Safety and Emergency Management Office
CDEMA	Caribbean Disaster Emergency Management Agency
<i>CENAI</i> S	<i>National Center for Seismological Research</i>
CoES	Committee of Emergency Situations
CDRT	Community Disaster Response Team
CIDA	Canadian International Development Agency
DCI	Development Cooperation Instrument
DCP	Directorate for Civil Protection (Haiti)
DFID	Department for International Development, United Kingdom
DG ECHO	Directorate General European Commission Humanitarian Office
DG RELEX	Directorate General for External Relations
DG DEVCO	Directorate General for Development Cooperation
DIPECHO	Disaster Preparedness ECHO
DP	Disaster Preparedness
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EC	European Commission
EDF	European Development Fund
EEAS	European External Action Services
EIC	Equipe d'Intervention Communautaire
ERC	Emergency Relief Coordinator
EU	European Union
HFA	Hyogo Framework for Action
IADB	Inter American Development Bank
IGAD	Inter Governmental Authority for Development
IPCC	Intergovernmental Panel on Climate Change
IFS	Instrument for Stability
IMG	International Management Group
JANI	Joint Advocacy <i>Network</i> Initiative for CBDRM
FAO	Food and Agriculture Organisation
FRC	French Red Cross
HC	Humanitarian Coordinator
HFA	Hyogo Framework for Action
HIP	Humanitarian Implementation Plan
HRC	Haitian Red Cross
ICG	International Coordination Group
IFRC	International Federation of the Red Cross and Red Crescent Societies
INSARAG	International Search and Rescue Advisory Group
MoES	Ministry of Emergency Situations
NARRI	National Alliance For Risk Reduction And Response Initiatives
NGO	Non Government Organisation
NLRC	Netherlands Red Cross

NRCS	National Red Cross Societies
LGU	Local Government Units
OCHA	Office for Coordination of Humanitarian Aid
OFDA	Office for Foreign Disaster Assistance
PAHO	Pan American Health Organization
RCNS	Red Cross National Societies
SNGRD	<i>Système National de Gestion des Risques de Désastres (Haiti)</i>
UNDP	United Nation Development Programme
UN ISDR	United Nations Office for Disaster Risk Reduction
UNDAC	United Nations Disaster Assessment and Coordination
UNEP	United Nations Environment Programme
UN-HABITAT	United Nations Human Settlements Programme
UNICEF	United Nations Children Fund
USAID	United States Agency For International Development
USAR	Urban Search and Rescue
PPP	Public Private Partnership
SCD	Swiss Agency for Development and Cooperation
RCM	Regional Consultative Meeting
REACT	Rapid Emergency Assessment and Coordination Team
VCA	Vulnerability and Capacity Assessment
WB	World Bank
WHO	World Health Organization

The INSPIRE Consortium supports DG ECHO in developing policies through research, workshop facilitation and the dissemination of results.

The INSPIRE Consortium brings together three leading European institutions within the humanitarian sector: Groupe URD (France), as consortium coordinator, GPPi (Germany) and IECAH (Spain).

