

# Evaluation of DIPECHO Action Plans In Central America (1998 – 2007)

**The evaluation team:**

**Allan Lavell**

**Silvia Hidalgo**

**Sandra Zúñiga**

EUROPEAN COMMISSION



Humanitarian Aid



Development Assistance Research Associates

**Contract n°: ECHO/ADM/BUD/2007/01211**

**Cost of the evaluation: €112,090.00€ ECHO budget reviewed by the evaluation: €2.2 million**

**Evaluation costs as percentage of budgets reviewed: 0.05%**

*This report has been financed by and produced at the request of the European Commission.*

*The views expressed in the report however express the opinions only of the consultants.*

**March 2008**

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## **ACKNOWLEDGEMENTS**

The Evaluation team would like in first instance to thank all DIPECHO partners and beneficiaries who gave of their valuable, time, knowledge and experience to contribute to the evaluation.

We would like to equally express our gratitude to Nicoletta Pergolizzi, Joanna Czaplicka-Cabezas, and Dorothea Opitz from the DG ECHO Evaluation Unit in Brussels for information, advice and support offered.

To Dorothy Morrissey, DIPECHO Central America Desk Officer at DG ECHO, Brussels for her support, observations and patience. We are especially grateful for all the observations and comments we received in Brussels in the briefing and debriefing sessions which have proved fundamental for both our analysis and redrafting of the report.

To Sergio Lacambra, Virginie Andre, Jocelyn Lance, Pedro Acevedo and Ricardo Peñaherrera from DIPECHO Central America and Andean regions for their knowledge, time and experience.

Special thanks to Soledad Posada for her collaboration throughout the evaluation and addition to the team and to DARA staff for their support, in particular to Ana Romero, Daniela Ruegenberg, Lucía Fernández, Nicolai Steen Nielsen and Tomislav Ivancic.

## LIST OF ABBREVIATIONS AND ACRONYMS

AAA	<i>Agro Acción Alemana</i>
ACH	<i>Acción Contra el Hambre</i>
ACSUR	<i>Asociación para la Cooperación con el Sur</i>
ACT	<i>Action by Churches Together</i>
ACTED	<i>Agence d'Aide à la Coopération Technique Et au Développement</i>
AECI	<i>Agencia Española de Cooperación Internacional</i>
ALISEI	<i>Associazione per la Cooperazione Internazionale e L'aiuto Umanitario</i>
AP	<i>Action Plan</i>
APS	<i>Associazione per la Partecipazione allo Sviluppo</i>
ASAPRODE	<i>Asociación para la Promoción del Desarrollo</i>
ASONOGH	<i>Asociación de Organismos No Gubernamentales de Honduras</i>
BCPR	<i>Bureau for Crisis Prevention and Recovery (UNDP)</i>
BMZ	<i>Bundesministerium Für Wirtschaftliche Zusammenarbeit (German Federal Ministry for Economic Development Cooperation)</i>
CAMI	<i>Central American Mitigation Initiative</i>
CAPRA	<i>Central American Probabilistic Risk Assessment</i>
CARE	<i>CARE</i>
CCAD	<i>Comisión Centroamericana de Ambiente y Desarrollo</i>
CECC	<i>Coordinación Educativa y Cultural Centroamericana</i>
CEPREDENAC	<i>Centro de Coordinación para la Prevención de los Desastres Naturales en América Central</i>
CEPRODE	<i>Centro de Protección para Desastres</i>
CISP	<i>Comitato Internazionale per lo Sviluppo dei Popoli</i>
CNE	<i>Comisión Nacional de Prevención de Riesgos y Atención de Emergencias</i>
COCIGER	<i>Convergencia Ciudadana para la Gestión de Riesgo</i>
COEN	<i>Comité de Emergencia Nacional</i>
CONRED	<i>Coordinadora Nacional para la Reducción de Desastres</i>
COOPI	<i>Cooperazione Internazionale</i>
COPECO	<i>Comisión Permanente de Contingencias</i>
COPEN	<i>Consejo Permanente de Emergencia Nacional</i>
COSPE	<i>Cooperazione per lo Sviluppo dei Paesi Emergente</i>
COSUDE	<i>Agencia Suiza para Cooperación y Desarrollo/Swiss Agency for Development and Cooperation</i>
CR-E	<i>Cruz Roja Española</i>
CR-I	<i>Cruz Roja Italiana</i>
CRID	<i>Centro Regional de Información sobre Desastres</i>
CR-NL	<i>Cruz Roja Nederlands</i>
CRRH	<i>Comité Regional de Recursos Hidráulicos</i>
CSUCA	<i>Consejo Superior Universitario Centroamericano</i>

DANIDA	Danish International Development Agency
DCA	Dan Church Aid
DFID	Department for International Development
DG ECHO	Directorate General for Humanitarian Aid
DG RELEX	Directorate General External Relations
DIPECHO	Disaster Preparedness Programme of ECHO
DM	Disaster Management
DMC	Disaster Management Committee
DP	Disaster Preparedness
DPP	Disaster Preparedness and Prevention
DRR	Disaster Risk Reduction
EC	European Commission
ESFRA	<i>Fundación Ecuménica Guatemalteca Esperanza y Fraternidad</i>
EU	European Union
FEMICA	<i>Federación de Municipios del Istmo Centroamericano</i>
FEMID	<i>Fortalecimiento de Estructuras Locales en la Mitigación de Desastres</i>
FPA	Final Project Agreement
FUNDE	<i>Fundación Nacional para el Desarrollo</i>
FUSAI	<i>Fundación Salvadoreña de Apoyo Integral</i>
GM-E	<i>Geólogos del Mundo- España</i>
GOAL	GOAL
GTZ	<i>Gesellschaft für Technische Zusammenarbeit</i>
GVC	<i>Gruppo Volontariato Civile</i>
HQ	Headquarters
IADB	Inter-American Development Bank
IDNDR	International Decade for Natural Disaster Reduction
IFRC	International Federation of the Red Cross and Red Crescent Societies
INETER	<i>Instituto Nicaragüense de Estudios Territoriales</i>
INGO	International non governmental organisation
INSUVUMEH	<i>Instituto Nacional de Sismología, Vulcanología, Meteorología e Hidrología</i>
IO	International organisation
IPADE	<i>Instituto de Promoción y Apoyo al Desarrollo</i>
ISDR	International Strategy for Disaster Reduction
LA RED	<i>Red de estudios sociales en prevención de desastres en América Latina</i>
LRRD	Linking relief, rehabilitation and development
MOLISV	<i>Movimento Liberazione e Sviluppo</i>
NCM	National Consultative Meeting
NGO	Non governmental organisation
OAS	Organization of American States
OCHA	Office for the Coordination of Humanitarian Affairs (United Nations)

OFDA-AID	Office of Foreign Disaster Assistance of the US Agency for International Development
OIKOS	<i>Cooperação e Desenvolvimento</i>
OPS	<i>Organización Panamericana de la Salud</i>
OXFAM	Oxford Committee for Famine Relief
PAHO	Pan American Health Organization
PRESANCA	<i>Programa Regional de Seguridad Alimentaria y Nutricional para Centroamérica</i>
PREVDA	<i>Programa Regional de Reducción de la Vulnerabilidad y Degradación Ambiental</i>
PRISMA	<i>Programa Salvadoreño de Investigación sobre Desarrollo y Medio Ambiente</i>
PRRAC	<i>Programa Regional de Reconstrucción para América Central</i>
PRRD	<i>Plan Regional de Reducción de Desastres</i>
RAAN	<i>Región Autónoma Atlántico Norte</i>
RAAS	<i>Región Autónoma Atlántico Sur</i>
RCM	Regional Consultative Meeting
SAREC	SIDA's Department for Research Cooperation
SDC	Swiss Development Cooperation
SI	<i>Solidaridad Internacional</i>
SICA	<i>Sistema de la Integración Centroamericana</i>
SIDA	Swedish International Development Cooperation Agency
SINAPRED	<i>Sistema Nacional para la Prevención, Mitigación y Atención de Desastres</i>
SINAPROC	<i>Sistema Nacional de Protección Civil</i>
SNET	<i>Servicio Nacional de Estudios Territoriales</i>
TA	Technical Adviser
ToR	Terms of Reference
TROCAIRE	The Overseas Development Agency of the Catholic Church in Ireland
UN	United Nations
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
VCA	Vulnerability and Capacity Assessment
WB	World Bank
WFP	World Food Programme
WHO	World Health Organization

# EXECUTIVE SUMMARY

## INTRODUCTION

This report presents the main findings, conclusions and recommendations on approaches to disaster risk reduction, based on an evaluation of five DG ECHO disaster preparedness (DIPECHO) Action Plans 1998 to 2007 for Central America, undertaken September–November 2007, focussing particularly on community-based disaster preparedness. The evaluation was undertaken by Allan Lavell, Silvia Hidalgo and Sandra Zúñiga.

## PURPOSE AND METHODOLOGY

The goal was “to review and assess the progress made in enhancing resilience and reducing vulnerability to natural disaster of the most at-risk populations of Central America and the public institutions that seek to protect them.” The evaluation focussed primarily on the strategic approach taken by DIPECHO through the five Action Plans and the preparation for the sixth, rather than an evaluation of individual projects.

The evaluation team visited El Salvador, Guatemala, Honduras, Nicaragua, Costa Rica, and Panama, and appraised the action of 18 in-country project partners and five regional programmes. Evaluators’ visits centred on community analysis and the different institutional and operational levels of disaster preparedness at the country and regional levels. Community group-based assessments, focus groups, and other interviewing techniques were used with local populations and project beneficiaries. Interviews were carried out with over 120 non-project stakeholders from national and local government, NGOs, international agencies, universities, DG ECHO, and other EU services. In addition, a survey was completed by 17 DIPECHO partners from Action Plans IV and V, representing 20 projects. An analytical framework was used to consider the normative and strategic decisions taken, operational procedures and practices utilised, and their impact.

## A. MAIN CONCLUSIONS AND RECOMMENDATIONS

### *Building on the Past, Looking to the Future: Conclusions and Strategy*

1. From 1998 to 2007, DIPECHO has enabled organisations to become involved in Disaster Preparedness and has provided a stable programme that has filled a gap in disaster prone Central America, creating a platform for community focused disaster preparedness and a means for reaching more isolated and vulnerable communities.

The relevance, efficiency, and impact of the last two DIPECHO plans have increased with the use of innovative techniques and approaches, including:

- a. Participatory consultation meetings, providing a platform for disaster risk reduction stakeholders to contribute to decision-making on the priorities of Action Plans;
  - b. Increased personnel capacities and improved monitoring and consultation between the technical advisor and project partners for project elaboration and implementation;
  - c. Defining and strengthening priorities complementary to national strategies and clarifying opportunities for DIPECHO’s role in this increasingly important area.
2. The assessment of the DIPECHO programme in Central America highlights critical aspects which should be at the core of a renewed strategy, taking into account the following key considerations:
    - a. Conceptual strengthening and renewed definition of overall goals, and targets;
    - b. Defining area and topic intervention priorities, further specifying and enhancing the role of consultative meetings, and reducing the national imbalance in favour of areas where partners traditionally are most present;
    - c. Guaranteeing maximum benefit, impact and replicability of “pilot” projects, reducing redundancy, and the potential for decreased innovation within short-term project cycles; increasing synergy, systematisation and replicating good practice;

- d. Understanding that disaster preparedness saves lives and livelihoods and provides a basis for organising recovery;
  - e. Ensuring synergy among DIPECHO projects, providing an enabling environment for linkages, and promoting disaster risk reduction more widely, aiming not only for direct impact but also broader spillover effects;
  - f. Framing and giving further meaning to the notions of “national” and “regional” to guarantee their most adequate strategic and operational involvement in the DIPECHO programme;
  - g. Strengthening the project cycle process, from the definition of areas and themes to selection, implementation, completion, and follow up;
  - h. Continuously strengthening the capacity of DG ECHO partners and local partners.
3. Moving forward, the following strategic priorities should be examined for the future:
- a. Designing a strategic framework and establishing the basis for future planning, continuity, increased synergy and impact through a defined intervention strategy over a six-year, three Action Plan, period;
  - b. Increasing the use of a risk-zone typology in project selection and balancing the extension of simple risk analysis based on hazard, vulnerability, and capacities analysis with risk and contextual analysis (social, political, cultural, economic) within the Latin American context;
  - c. Going from national to regional approaches in order to establish the importance of regional and define national projects with local and community impact and organising regional meetings first to provide opportunities for all actors to engage, and facilitate further synergy with the Andean and Caribbean regions and greater momentum to project replicability;
  - d. Selecting partners based on considerations of disaster risk reduction policy mainstreaming, best practice in proposals, and reference to other disaster risk reduction efforts undertaken in the area targeted by the project;
  - e. Creating continuous opportunities for training and strengthening partner capacities, increasing innovation and follow up on completed projects and including a role for future partners to visit past projects, monitor their sustainability and refresh training;
  - f. Increasing exchange and interchange between partners and with outside agencies, disseminating the efforts of the ProVention Consortium and DFID;
  - g. In line with the Hyogo Framework, broadening the awareness of development-based risk reduction, linking and promoting in-project and inter-project support for disaster risk reduction more widely.

## **B. SPECIFIC CONCLUSIONS AND RECOMMENDATIONS**

### **1. Relevance and Coherence of Strategic Orientation**

- a. **Lack of an overall DIPECHO strategy** has meant that medium-term objectives and targets have not been defined. The **regional** concept, its definition and relevance **have not been given sufficient consideration**.
- b. Support for community-based disaster preparedness in Central America remains highly relevant nationally and regionally. **The consultative meeting processes** have increased **ownership** of the programme by diverse stakeholders and offered one of few opportunities for **dialogue and consensus** on risk and disaster matters.

#### ***Recommendations:***

- a. A comprehensive disaster risk reduction strategy should be developed as the basis for DIPECHO’s programme, basing the design and development of future Action Plans on the Hyogo Framework for Action, adopting complementary programmes between other national and regional disaster risk reduction stakeholders. [Strategic]
- b. The consultative meeting process should be strengthened and aligned with DIPECHO goals and objectives. An inclusive regional meeting for all of Latin America should be considered, followed by more local meetings, adapting methodologies for identifying priorities to the goals of an overall strategy. [Strategic]

## 2. Effectiveness and Appropriateness of Strategies and Actions Enhancing Resilience and Decreasing Vulnerability

- a. The partner selection process has improved over the course of different Action Plans. DIPECHO partners have developed increased capacity in disaster risk reduction. Although there is much need for improvement, increasing the number of partners implementing DIPECHO projects, including organisations with development programmes has led to more **effective integration** of preparedness work with longer-term development projects and facilitated linking relief with rehabilitation and development;
- b. **Important steps have been taken to increase information and documentation processes and to systematise and distribute evidence of good practice in the interest of encouraging replicability and improved practice.** Many innovative approaches have been implemented by partners;
- c. Efforts have been made to base project design and definition on evidence generated through participatory community or locally based diagnoses. However, **participation** is undermined by the inclusion of too many components in a project and unwillingness on the part of certain partners to raise expectations and devote resources prior to project approval;
- d. Requiring the approval **and participation of national government organisations** (technical and operative) for projects in some countries, while clearly appropriate, poses certain constraints;
- e. Overall effectiveness and impact of projects may be limited by the **levels of conceptual and professional** experience of many project staff and promoters;
- f. Greater partner capacity and presence in Nicaragua has led to further project approval, implementation, and impact in these countries, in contrast to Guatemala and El Salvador, where the **consultative meetings that rely on the inputs ongoing partners have fewer resources and tend to perpetuate imbalanced country coverage;**
- g. Communities often felt that **further training in disaster preparedness** was needed. Most local community brigades preferred to have additional time and training sessions in all aspects of disaster preparedness.

### *Recommendations:*

- a. When appropriate, encourage partners to frame their interventions within local development plans and give further impetus to disaster risk reduction mainstreaming with their preparedness intervention. In order to guarantee financial and institutional sustainability, DIPECHO projects must coordinate with **local development processes** by incorporating and considering local land use planning, environmental management, and infrastructure development, and give greater consideration to a partial multi-phase approach to further linking efforts; [Operational]
- b. Ask partners to make specific reference in their proposals to examples and **good/improved practice** foreseen in their intervention. Partners should visit each others' projects and occasionally join the Technical Assistant's monitoring visit in another area; [Operational]
- c. Greater emphasis must be placed on framing project response in terms of community or local diagnoses. The introduction of a concept paper approach would encourage partners to assume some of the risks of participatory project identification. Apply guidelines on **participation** foreseen in call for proposals, promote real community participation, and **demand community risk assessment** for pre-selected projects; [Operational]
- d. In order not to override DG ECHO's humanitarian mandate and overall aims, consider the requirement for **approval and participation of national government organisations** on a case by case basis: *What is the requirement adding and what is it taking away?* [Strategic]
- e. The DIPECHO programme and partners should continue to emphasise the need for **continuous project staff and promoter training. Simplify** the call for an expressions-of-interest document, reduce the norms and encourage **innovation, creativity, and the use of learning;** [Operational]
- f. **Harmonise National Consultative Meeting processes** on the basis of a regional meeting and strategy; [Strategic]
- g. Include in future DIPECHO Action Plans and projects follow-up capacity-building efforts and trainings to refresh and **strengthen past efforts** through agreements with local partners and follow-up from DG ECHO partners and DIPECHO monitoring. [Operational]

## 3. Strategic and Programmatic Complementarity and Synergy

- Strategic and programmatic complementarity, synergy, and coordination have increased. Endorsement of DIPECHO approved projects by national organisations has also created an opportunity for further partnership. DIPECHO interventions have helped strengthen the entire response system. Complementarity has been unevenly sought with several bilateral donors;
- The overall approach has involved multi-function interventions and synergy. Strategies for disaster risk reduction and adaptation based on development approaches have yielded greater benefits than “stand alone” efforts. In many cases, early warning systems are part of multi-purpose communication systems.

Main constraints for increased synergy include:

- a. Limited consideration and understanding of disaster risk reduction within other EC funding instruments, EC, and European Union Member State agency staff;
- b. Despite continued and increased efforts by DIPECHO and DG ECHO to increase dialogue and willingness at the regional level, coordination and synergy between EC projects in the region is low;
- c. Limited capacity of burdened DIPECHO technical assistance staff in countries other than Nicaragua;
- d. The relationship with local NGOs and associations has not always been optimal.

**Recommendations:**

- a. A desk for disaster risk reduction within the EC delegations and training for EC staff and bilateral donor staff would help increase synergy and complementarity. Attention should be given to the training foreseen by DFID for this purpose; [Strategic]
- b. Additional coordination meetings of all EC programmes within the region should be organised frequently to follow up on opportunities for increased linkages and synergies; [Operational]
- c. Additional means—even short term outsourcing—should be considered to increase DIPECHO relations with actors in countries like Guatemala; [Operational]
- d. Local NGOs should be given the opportunity to define partnership policies.<sup>1</sup> [Strategic]

**4. Coordination and Linking Relief, Rehabilitation and Development (LRRD)**

- a. The EC regional delegation recognises the **failure** of national governments to prioritise disaster risk reduction influences that development donors and actors may attempt to promote in this field **and the need to give** disaster risk reduction priority in current development schemes. The EC delegation lacks the capacity to provide necessary guidance to programmes on how to mainstream disaster risk reduction. Indicators are needed to monitor progress on disaster risk reduction on the aid provided in the form of budget support;<sup>2</sup>
- b. Meetings held at a national level between DG ECHO funded partners have increased coordination, exchange, and joint and shared training efforts. The number of global, regional, national, sectoral and local organisations engaging in disaster risk reduction has grown and coordination is more complex. International Strategy for Disaster Reduction (ISDR), as global strategy, has been established to facilitate concerted action aimed at reducing risk and vulnerability and involving all stakeholders. DIPECHO is attempting to include **ISDR and promote it in the region**. The global platform can be used more effectively and linked to local levels;
- c. **Lack of clarity about regional** relations and links with local levels limits effective coordination;
- d. Long-term development instruments have not developed sufficient momentum to enable a phasing down of the DIPECHO programme. The challenge of LRRD is illustrated by the PREVDA programme, which initially created expectations of increased synergy and linkages. Lack of progress reflects the lack of national commitment to disaster risk reduction. Still absent are adequate **attention and funding** to reduce avoidable loss of life, livelihoods, and property, and to safeguard development gains.

**Recommendations:**

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<sup>1</sup> For good practice in relations with NGOs, see the Oxfam GB partnership evaluation, 2007.

<sup>2</sup> A guidance note for mainstreaming DRR in budget support has been developed by the Provention Consortium. See [http://www.proventionconsortium.org/themes/default/pdfs/tools\\_for\\_mainstreaming\\_GN14.pdf](http://www.proventionconsortium.org/themes/default/pdfs/tools_for_mainstreaming_GN14.pdf)

- a. Provide disaster risk reduction training for government staff in the region, include the topic in national development plans, and encourage budget support indicators. Interviews in communities affected by disaster should be mandatory for both civil servants and elected officials who receive basic training in disaster risk reduction, in order to raise awareness of exposure to risk and available instruments for protection; [Strategic]
- b. Increase dialogue with other actors in disaster risk reduction and provide comprehensive support to ISDR and its functions so as to increase its role regionally and locally; [Strategic]
- c. Establish a study and decision forum where notions such as regional, multinational, transnational can be discussed and decided upon in order to better **define and diversify ideas regarding local, national and regional relations**; [Operational]
- d. In the course of analysing potential synergy with other EC funding instruments and programmes, the evaluation found greater links with municipal strengthening programmes. Local development plans and instruments may present better options for LRRD processes. Greater guidance to partners on how to link efforts into local development plans should be pursued. [Strategic]

A majority of DG ECHO partners in Central America are involved in emergency response. DG ECHO's effort to mainstream disaster risk reduction **creates momentum** for linking emergency response to disaster risk reduction.

## 5. Impact

- a. The DIPECHO programme in Central America is extensive, with projects covering many areas affected by recurring natural disaster. DIPECHO acts as an **intervention response strategy** and provides an **enabling environment** for improved humanitarian response. Its presence in disaster affected areas has **facilitated disaster response, communications, access, and recovery, as, for example, after Hurricane Felix in Nicaragua**;
- b. DIPECHO projects have had **measurable, significant impact, including** reduction of loss of life, consolidation of local social organisations, strengthening of relations and increased knowledge among national-level scientific, normative and operational institutions at the local level. **Awareness of disaster risk reduction** has increased, community disaster preparedness plans were developed, and response teams established, **and preparedness** increased, benefiting many thousands of people over the course of the five Action Plans, as in the aftermath of Hurricane Mitch in 1998 and Tropical Storm Stan in 2005. Additional impact would require greater investment in **promoting self-reliance and community level responses**;
- c. DIPECHO projects tend to be characterised by **early warning and early evacuation** to save human lives, especially in high-risk areas (exposed to landslides, hurricanes, and floods). They have improved timely, informed decision-making and responses, empowered local populations, allowed ownership of the concrete response facilities/measures, and improved response on the part of national actors involved in DIPECHO projects and national governmental actors;
- d. DIPECHO projects convey **state of the art** knowledge, strategy and schemes throughout the region;
- e. There remains lack of clarity regarding the **outputs and outcomes** to be expected from DIPECHO's programme, as these are **not clearly linked** to Hyogo indicators, benchmarks and time frames;
- f. DIPECHO's leverage is insufficient to influence major stakeholders to include disaster risk reduction in their policy, strategy, legislation and long term development plans.

## Recommendations

- a. The option should be explored of having one Latin America DIPECHO programme, **organised according to risk typologies, allowing for cross national comparison and implementation and coinciding with the area of responsibility of key regional organisations**. [Strategic].
- b. A strategy with clear objectives for impact **targets**, drawing on good regional practice and systematisation for **differing risk types**; [Strategic].
- c. A more inclusive view of disaster preparedness, maintaining current priorities for saving human lives, but widened to include training for **protection of livelihoods and preparation for recovery**. [Strategic].
- d. Although many arguments favour continuing infrastructure-based mitigation work, investment should be made in **assistance infrastructure**, e.g., escape routes and multi-purpose shelters; [Strategic]

- e. Test and further develop **impact indicators**, such as those developed in the Andean countries under the last DIPECHO plan. [Operational]
- f. Improve linkages between pilot activities and **local government planning**; [Operational]
- g. Create a strategy, in line with Good Humanitarian Donorship efforts, directed by DG ECHO for **knowledge management** and **dissemination** to better capture and disseminate learning and case studies. [Strategic]

## 6. Sustainability

- a. The regions migrations and polarised politics impede sustainability and cause institutional technical staff to leave with each electoral change. The 15 month DIPECHO project time period is also problematic. Sustainability can only be achieved if projects are planned for this time frame and linked **to longer-term development based initiatives** in intervention zones;
- b. **Full operating capabilities are eroded** after project termination, despite **communication systems** established to offer greater sustainability. In areas where partners continue to actively monitor situations or where change is maintained through successive external interventions capacity is maintained;
- c. The **support of local government** is key to successful project implementation.

### *Recommendations:*

- a. Clear procedures, norms, and guidelines are needed to optimise **continuity** in a particular zone and provide for cross-stage projects that consolidate previous work. Projects located near earlier ones could monitor and refresh training efforts carried out in completed projects; [Strategic]
- b. Diversification of stakeholders to include more stable actors, e.g., teachers; [Strategic]
- c. Partners should establish **clear, normative working relations with development projects** in their areas and promote integration with the efforts of development based organisations. [Operational]

## 7. Intra Regional Advocacy, Dissemination, Replication of Best Practice

- a. The impact of DIPECHO initiatives on reducing vulnerabilities depends on how Disaster Risk Reduction activities are adopted and replicated under the Action Plans. A comprehensive, long-term disaster risk reduction **strategy is needed**;
- b. The Hyogo Framework was developed after the DIPECHO programme began and organisations involved with “Disaster Preparedness” have undergone a **paradigm shift** regarding the vocabulary and actions of “Disaster Risk Reduction”;
- c. DIPECHO has increased awareness of other EC Directorates and bilateral donors of the wider integration of disaster risk reduction into policy, planning and programme activities;

### *Recommendations:*

- a. Advocacy to integrate disaster risk reduction with **other EU external assistance services**, and strengthen inter-service cooperation in disaster risk reduction should be intensified in Country Assistance Strategy processes. [Strategic]
- b. Provide greater input from DG ECHO to the EC Delegation to include Disaster Preparedness issues in higher level government discussions; [Strategic]
- c. Dedicate a **focal person** within the EC delegations to advocate (within the EC and to EU Members States) and increase linkages with other EC instruments with project partners; [Strategic]
- d. Consider mainstreaming Disaster Risk Reduction in DG ECHO partner policies. [Strategic]

## C. MAIN LESSONS LEARNED

- It is not enough to identify priority risk zones based on simple risk conditions. The **risk typology concept** is a powerful tool to add to existing criteria for selecting projects covering a wide range of situations. Disaster preparedness projects in the Guatemalan highlands and the Bolivian altiplano may be more alike than two projects within the same country or political region. Focussing on risk types based on community risk assessments and vulnerability and capacity analysis would give pilot projects greater meaning and increase DIPECHO’s impact;
- There is a trade-off between targeting the most vulnerable communities and ensuring **sustainability**;

- Opportunities exist to promote greater disaster risk reduction mainstreaming within DG ECHO partner policies;
- The concept and significance of **regional approaches** and local-national-regional must evolve in line with developments.
- The Hyogo Framework, combined with ever increasing numbers of other actors, requires a **careful consideration of the role, methods and coordination** of DIPECHO with other initiatives.

## 1. BACKGROUND AND CONTEXT

1. DIPECHO (Disaster Preparedness ECHO) is a programme developed by DG ECHO to improve the capacities of communities at risk to better prepare for and protect themselves against natural disasters. Central America is one of three regions that were targeted in 1996 since the beginning of DIPECHO. Five DG ECHO, DIPECHO Action Plans were approved in Central America between 1998 and 2007. To date finance for the Action Plans has grown from €2.1 million for six projects in 1998 to €7.5 million and 22 projects in Action Plan V. Of total DIPECHO financing worldwide, Central America has accounted for almost one third of all finance allocated over the last nine years. The density of investment per capita and per area has been much higher than in practically all other regions targeted by DIPECHO. Thirty-four FPA signatory organisations have received project finance support. Most projects have been implemented in the four most disaster prone countries in the region: Guatemala, El Salvador, Honduras and Nicaragua. Costa Rica and Panama are currently included in regional projects.

### 1.1. Disaster risk in Central America (*see Annex 8 for detailed context analysis*)

2. Central America is a hazard prone region particularly exposed to threats including volcanic eruptions, earthquakes, hurricanes, tropical storms, tsunamis, landslides, droughts, and forest fires. Increased exposure to global warming, environmental degradation, poor land use practices, exploitation of natural resources, rapid urban growth, as well as uncontrolled human settlement increasingly threaten thousands more people.<sup>3</sup>

3. The prevailing hazard context is associated with extremely high levels of vulnerability and exposure, much of it related to existing poverty levels and lifestyle weaknesses that provide an extreme disaster risk scenario for many parts of the region. The dynamics of this risk constantly provide new and unexpected manifestations of small, medium and large scale disaster throughout the region. In fact the element of surprise is perhaps one of the region's most salient features and reveals that many aspects of the dynamics and causes of risk are as yet un-chartered in the region. Mitch, the Limon earthquake, the Nicaraguan tsunami, the Casitas landslide and the recent earthquake and Danli flooding in Honduras all took scientists and analysts by surprise.

4. As a result, Central America figures high on disaster risk maps and priorities developed by regional and international organisations. Although most concern is shown for the so-called "Mitch countries" (Nicaragua, Honduras, El Salvador, Guatemala), both Costa Rica and, to a lesser extent, Panama, further to the south, are also disaster prone.

5. Although vulnerability is a product of underdevelopment, in Central America disaster is also the consequence of lack of preparedness. **Disaster preparedness and risk prevention and mitigation have rarely been a political priority or factored into the development process.** The ability to cope with disaster in Central America is low in general, particularly at the local level where many communities and institutions lack capacity. Despite ongoing efforts, disaster preparedness in much of Central America is still weak as the replication of successful disaster risk reduction initiatives is limited and the issue of sustainability remains a key problem. This is the result of multiple factors, including changing authorities and technical personnel in institutions, migration, and meagre investments.

### 1.2. The European Commission and Central America: mandates in disaster prevention and preparedness

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<sup>3</sup> According to the U.N.'s Economic Commission on Latin America and the Caribbean, during Hurricane Mitch approximately 75 percent of the losses of goods and services were related to building houses too close to rivers or constructing roads and bridges in vulnerable places.

6. While a concrete legal basis allows for broad coverage of DRR measures through European Commission instruments other than DG ECHO,<sup>4</sup> **disaster prevention and preparedness is not systematically mainstreamed** into all EC external relations aid programmes and related documents<sup>5</sup>. The European Commission is by no means alone in its lack of substantial progress on this key issue. A Tear Fund report on institutional donor progress with mainstreaming disaster risk reduction (DRR) revealed that this was given a relatively low priority within donors' relief and development plans, processes and implementation. Barriers to mainstreaming disaster risk reduction within relief and development programming include:

- A lack of knowledge and understanding of the concept of risk reduction.
- The divide between "relief" and "development" sectors, resulting in risk reduction not being fully "owned" by either.
- Risk reduction "competing" with other needs.

### 1.3. Preparedness within DG ECHO's humanitarian mandate

7. Humanitarian aid donors have a recognised role in DRR. The Good Humanitarian Donorship (GHD) initiative, endorsed by donors in 2003, declares in its first principle that: "The objectives of humanitarian action are to save lives, alleviate suffering and maintain human dignity during and in the aftermath of man-made crises and natural disasters, as well as to **prevent and strengthen preparedness** for the occurrence of such situations". Principle number eight further encourages donors to "strengthen the capacity of affected countries and local communities to prevent, prepare for, mitigate and respond to humanitarian crises, with the goal of ensuring that governments and local communities are better able to meet their responsibilities and coordinate effectively with humanitarian partners".

8. There is discussion at the GHD level to see how donors can promote the DRR agenda at field level with a proposal to:

- systematise existing guidance notes on DRR that may be shared between GHD members and to develop new ones for the gaps that exist.
- set up a strategy for further work on how to achieve more accountability on DRR, including greater clarity on expected outcomes, all linked to the development of indicators, benchmarks and time frames, within the Hyogo Framework for Action.<sup>6</sup>

9. Compared with its main mandate on response activities, preparedness is considered as a minor part of DG ECHO's overall mandate with a relatively low budget<sup>7</sup> that has however steadily increased. Its efforts are operationalised in practice through "*three DRR pillars*": the DIPECHO programme, DRR mainstreaming and advocacy.<sup>8</sup>

### 1.4. The DIPECHO programme

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<sup>4</sup> The Council Regulation (EC) no.1257/96, states that in addition to its mandate on relief, rehabilitation and reconstruction work during emergencies and the immediate aftermath of natural disasters, the Commission shall: "*ensure preparedness for risks of natural disasters or comparable exceptional circumstances and use a suitable rapid early-warning and intervention system*".<sup>4</sup>

The Council Regulation (EEC) No 443/92 for the developing countries in Asia and Latin America states that: "*part of the aid may be used for rehabilitation and reconstruction following disasters of all kinds and for disaster-prevention measures*" (Article 5). The Regulation further specifies that: "*financial and technical assistance, shall be extended to the relatively more advanced ALA developing countries, in particular in the following specific fields and cases: prevention of natural disasters and reconstruction in their wake*" (Article 6).

<sup>5</sup> DG ECHO Working Paper on DPP.

<sup>6</sup> "Good Humanitarian Donorship and Disaster Risk Reduction", Concept Paper, Government of Norway, July 2007.

<sup>7</sup> "Overall Evaluation of DG ECHO's Strategic Orientation to Disaster Reduction", Final Report, December 2003, [http://ec.europa.eu/echo/pdf\\_files/evaluation/2003/disaster\\_report.pdf](http://ec.europa.eu/echo/pdf_files/evaluation/2003/disaster_report.pdf)

<sup>8</sup> "Disaster Preparedness and Prevention (DPP): State of play and strategic orientations for EC policy", Working Paper, DG ECHO 4.

10. Preparedness is implicitly included in Council Regulation 1257/96, which governs DG ECHO. Disaster Preparedness ECHO (DIPECHO) and its activities are defined in Articles 1 and 2 (f)<sup>9</sup>, is a dedicated and specific DG ECHO programme for DP at the community level established in 1996 and has its own budget line (B7-219). Action Plans have been established on a regional basis, which focus on geographical zones in areas at high risk of disasters and with low coping capacities. DIPECHO's main focus has been on "preparation" rather than "mitigation" or "prevention". Mitigation activities are carried out for demonstrative purposes only (see Annex 8 for the way in which terms are used by DG ECHO and the alternatives proposed by the authors of this report, where relevant). DIPECHO projects have mainly focused on the local level where short-term results are possible and where DG ECHO partners are most effective. Its rationale on disaster preparedness has been based on small scale, community based, replicable interventions. Some projects have also supported regional activities for coordination and information activities in order to promote the exchange of best practices. Although it is increasing annually, the DIPECHO programme budget, in proportion to the overall DG ECHO budget in response to natural hazards, is relatively low, representing just 4% in 2006.

### **1.5. Mainstreaming disaster preparedness measures into relief operations**

11. DG ECHO's mandate in DP goes beyond the DIPECHO programme. DG ECHO's major humanitarian financing decisions, especially those in responses to recurrent disasters, should ideally incorporate a DRR element. In Central America, this feature is, in principle, easier to mainstream, as many actors – and DG ECHO FPA partners in particular – are involved in both response and disaster preparedness efforts. The European Commission's decision in response to Hurricane Felix, which hit Nicaragua on 4 September 2007, has incorporated disaster risk reduction into humanitarian operations financed.

### **1.6. Advocacy towards mainstreaming DP into development cooperation**

12. DG ECHO has been a strong advocate for other European Commission services working in the area of development cooperation and external relations to integrate DP into their own programming and operations. DG ECHO has also been the main advocate for "*Linking Relief and Rehabilitation to Development*" (LRRD). Progressively, DPP has received higher priority in other European Commission services. DG RELEX, for example, plans to allocate more than €70 million for DPP in its strategy for Latin America. Despite such progress the European Commission is still far from systematically mainstreaming DP into its development programmes.

## **2. INTRODUCTION TO THE EVALUATION**

13. **DRR-focused evaluations** are being sought in order to accelerate progress on strategic decisions integrating DRR across the relief-development divide and to provide quantitative and qualitative evidence of DRR effectiveness. Donors are also encouraged to regularly **review** their progress with mainstreaming DRR to address potential gaps and priority issues.

### **Evaluation aims and criteria**

14. This evaluation was conducted by a team of three independent consultants (two international and one national, from the region) who worked in Central America from September 5 - 19; September 27 - October 13 and November 1 - 25. The period November 26 - December 4 was devoted to preparing the final report.

### **Purpose and specific objective of the evaluation**

15. The purpose of the evaluation was: "*to review and assess the progress made in enhancing resilience and reducing vulnerability to natural disaster of the most at-risk populations of Central America and the*

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<sup>9</sup> CE Regulation N°1257/96 of 20 June 1996, OL L163 of 02.07.1996. [http://eur-lex.europa.eu/smartapi/cgi/sga\\_doc?smartapi!celexapi!prod!CELEXnumdoc&lg=en&numdoc=31996R1257&model=guichett](http://eur-lex.europa.eu/smartapi/cgi/sga_doc?smartapi!celexapi!prod!CELEXnumdoc&lg=en&numdoc=31996R1257&model=guichett)

*public institutions that seek to protect them. The evaluation will include the measurement of the impact of DIPECHO projects in terms of how well preparedness helped the population when they were afterwards affected by a natural disaster”.*

16. The evaluation has respected DG ECHO’s mandate and understood the existing boundaries of the Humanitarian Aid department. The evaluation has sought to provide analytical and advisory outputs, providing a sound basis for informing the evolution of existing DIPECHO disaster risk management strategies in the region, as well as contributing to deliberations on DG ECHO’s overall approach to disaster preparedness and risk management. Five Action Plans were reviewed and the evaluation sought to inform the guidelines of the 6<sup>th</sup> Action Plan, whose Call for Expressions of Interest is to be launched at the beginning of 2008.

17. Focus has been placed on existing differences in levels of DP and DRR in regions where DIPECHO has been present, is currently present and those where it is not. Specific attention was placed on visiting communities that had afterwards been affected by disaster and measuring impacts, including how DIPECHO impacts on DG ECHO’s overall action and response and contributes to saving lives and livelihoods. The evaluation also sought to provide information on DG ECHO’s contribution to awareness raising, mainstreaming at the level of the EC, potential linking and phase out strategies.

## **Methodology**

18. The team comprised three independent consultants, two international and one local, two women and one male, all working under the aegis of DARA International. These consultants received technical and logistical support from DARA. The team leader has lived and worked in Central America for nearly 30 years and has undertaken numerous studies and evaluation consultancies in the region and elsewhere in Latin America, including for GTZ, OFDA-AID, PAHO and IADB. He is a specialist in risk and disaster with an academic background in urban and regional development. The second international consultant is the head of DARA and a specialist in evaluation techniques and methods (with experience in over 15 countries worldwide), and humanitarian action, donor roles and GHD. She was part of the Tsunami Evaluation Coalition process and has worked for DG ECHO and the Red Cross movement. The local consultant is a psychologist that has worked for national disaster agencies, UNDP and CEPREDENAC. She has an intimate knowledge of the region and its risk and disaster organisational and institutional actors and is a specialist in aspects of community and gender.

19. With regard to possible evaluator bias, none of the three have been involved directly or indirectly in previous DIPECHO activities and projects in the Central American region. The lead consultant had, in 2001, formed part of the BMZ-inspired evaluation of the GTZ-FEMID project in the region, a project that had given sway to a first DIPECHO action plan project on early warning systems at the community level. All three evaluators have clear expertise in the field of disaster risk reduction to meet the requirements of the evaluation.

20. The evaluation team visited the six countries of the region: Guatemala, Nicaragua, El Salvador, Honduras, Costa Rica and Panama. Two visits were made to the first four countries prioritised by DIPECHO, one in each of the two phases of the evaluation. On the second occasion, the team attended the national and regional consultation meetings and undertook additional interviews and visits to project areas, widening the information base and searching to further corroborate or reject first phase analysis and conclusions put forward in the intermediate report presented in mid-October.

21. While work in the four priority countries covered a wide range of actors and projects (see Annexes 3 and 4), visits to Panama and Costa Rica were limited to a number of key actors and projects. In Costa Rica interviews included professionals from the National Risk Prevention and Emergency Commission, from the Red Cross Reference Centre and the Regional Disaster Documentation Centre-CRID, as well as a field visit to the first Action Plan’s GTZ sponsored early warning system project for the Reventazón River Valley in Cartago. In Panama visits and interviews were undertaken with regional actors and projects (IFRC, UNICEF, PAHO, OCHA, ISDR).

22. Projects visited for a maximum of two days each were selected based on the following criteria: advice of DIPECHO technical staff, type of organisation (humanitarian, development, environmental etc), number of DIPECHO projects undertaken by the organisation to be visited; type of intervention and country balance. While visits concentrated on ongoing and recently completed Action Plan IV and V projects, projects from Action Plans I and II were also visited and, where possible, documentation was consulted and interviews undertaken within the existing time constraints of the evaluation (161 days total between the three consultants).

23. Eighteen national projects were visited or consulted.<sup>10</sup> Limiting visits to approximately one day was compatible with evaluation objectives and the intention of covering plans, not projects. This approach took into account the work levels of organisations in the rainy and flooding season (various areas were subjected to flooding whilst the evaluation was under way: RAAN area under influence of Felix; Yoro in Honduras; Gracias a Dios, Honduras and RAAS, Nicaragua). Moreover, some project staff had displaced to areas affected by flooding in order to help and were not available at the times the evaluation team could visit.

24. An analytical framework was used considering the normative and strategic decisions taken; operational procedures and practices utilised; and strategic and programmatic impacts. Considered from a methodological perspective, analysis was directed to DIPECHO as an overall structure (normative, strategic, programmatic, financial etc.) with its potential links to the efforts of other EC Directorates and international or bilateral actors in DRR and DIPECHO seen through the eyes of the 64 projects it has promoted over the nine-year period. Moreover, consideration has been given to cross cutting issues, the LRRD and other development challenges and advocacy and visibility aspects. In addition, a survey was completed by 17 DIPECHO partners from Action Plans IV and V, representing 20 projects.

25. The methodology utilised in data collection and analysis consisted primarily of the following:

- Pre-evaluation commencement reading and systematisation of relevant web based and other documentation (August 20 - September 1).
- An initial **briefing** session at the DG ECHO headquarters in Brussels (4 – 5 September 2007) with the evaluation department and staff responsible for the programme. At the end of the briefing, the evaluation team submitted an *Aide Mémoire* outlining the intended planning and scope of the evaluation.
- Purposive sampling of projects was undertaken to plan community visits to areas covered by different DIPECHO projects in accordance with different criteria, including geographic spread, type of hazard addressed, type of project, partner characteristics with a specific emphasis on visiting DIPECHO project areas that had afterwards been affected by disaster.
- In-depth **desk study and reviews** of all project documentation that could be gathered from the files of DG ECHO Brussels and the DIPECHO regional office in Managua. These included EU/DG ECHO policy and strategy papers, project appraisal worksheets, external evaluations, project financial reports, regional and national consultative meeting reports, funding decisions, programme guidelines and documents provided by the partners.
- Use of secondary source data including information on **internet**, principally of the EC websites but also of other relevant sites.

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<sup>10</sup> See Annexes 3 and 4.: GVC, RAAN; CARE France in plans IV and V (Telica and Cerro Nuevo); ACSUR-Dipilto; GAA, El Sauce and Villanueva; and the Red Cross, RAAS projects from Plans IV and V in Nicaragua. Red Cross-NL, Santo Domingo (and interviewed staff from AP IV); Oxfam, Guatemala City; and ACH, San Marcos in Guatemala. OIKOS, Ahuachapan; Oxfam San Salvador; CARE Usulután; Red Cross, Usulután, GM AP II (the latter two consulted, not visited). CARE Tegucigalpa (consulted not visited); Italian Red Cross, Tegucigalpa; GOAL, Yoro (AP IV); Trocaire, Colon y Olancho. Regional projects visited or consulted comprised: GTZ, AP I - La Masica (Honduras), Los Diques (Costa Rica); UNDP AP V; IFRC, AP V; UNICEF AP V; PAHO-CRID, AP IV and I. Interviews as regards the CEPREDENAC AP III and IV projects were undertaken.

- **Design of two different matrices** used at the community level for data collection: (1) to assess the appropriateness and results of community risk assessment processes; and (2) for determining the effectiveness and impact of the project.
- **Survey** of partners from AP IV and V and analysis of responses to questionnaire.
- **Summary financial analysis** of AP I to V.
- **Interviews** held with the DIPECHO team in Managua, regional EU delegations, major donor institutions and organisations (AECI, IADB, World Bank, SDC, GTZ, OFDA-AID etc); national and local government agencies and offices, and other non-DIPECHO organisations that are directly involved in disaster risk management. The full list of organisations and individuals visited is attached (see Annex 5).
- **Field visits** to communities and municipalities covered by DIPECHO. Visits included semi-structured interviews with expatriate and local project managers and their field operations staff; with local government authorities, and group discussions, focal groups and semi-structured interviews with beneficiaries and other inhabitants living in the project areas.
- An intermediate report produced after the first 30-day phase of the evaluation intended to summarise major ideas and preliminary findings. Consolidated feedback was provided by DG ECHO.
- A final debriefing was held in Brussels on the 12<sup>th</sup> December and the final report was presented on 15 January 2008.

26. Evaluators faced several constraints and limitations, principally the following:

- Less documentation regarding the first, second and third APs, which may have influenced findings and recommendations as these are largely based upon the 4th and 5th APs and preparations for the 6th. There is no closure documentation, nor final evaluation of projects in a process sense.
- The absence of key informants at various levels with the institutional memory of the DIPECHO projects prior to the more recent APs.
- Response operations and the impossibility of visiting some projects and interviewing some staff when originally planned, due to the heavy rains during the evaluation.

As a result of these initial limitations, evaluators sought to undertake additional site visits and interview a greater number of actors from previous plans during the latter half of the evaluation process.

### **3. OVERALL STRATEGIC DESIGN AND APPROACH**

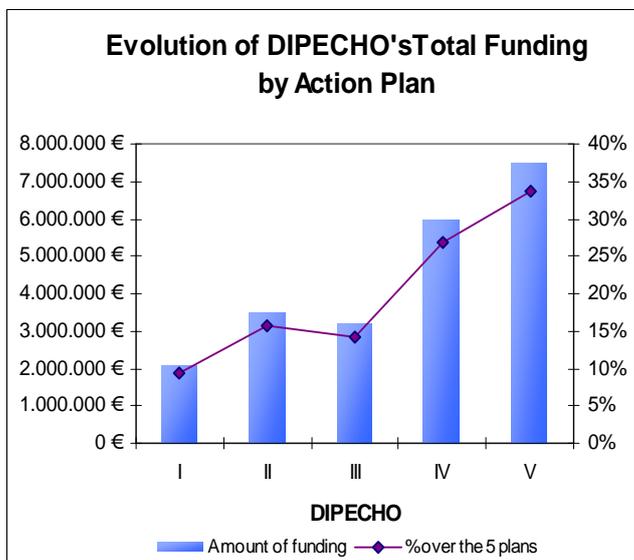
**3.1. The conceptual base of DIPECHO** (*see Annexes 2, 8 and 9 for additional analysis of concepts and objectives*).

27. Over the years disaster prevention, mitigation and preparedness; vulnerability reduction; root causes, coping capacities and resilience amongst others have all appeared in the terminologies used in the DIPECHO programme. The introduction of different terms is clearly époque driven. The post-Mitch period led to the more frequent use of development based concepts and goals. Post-Hyogo led to the use of resilience and disaster risk reduction as central ideas. The hierarchies and relations and the practical significance of these terms has not always been adequately developed.

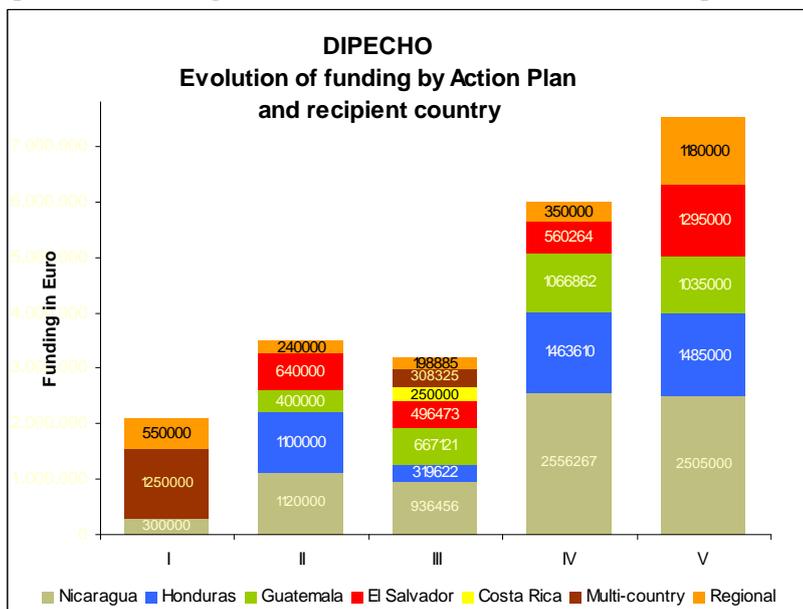
28. While the concept of coping capacities is more easily understood by disaster preparedness organisations, resilience, the more recently introduced term, is not easily understood in Latin America. Current affirmations relating increases in coping capacities with greater resilience are conceptually flawed. Without losing precision or focus, DIPECHO objectives could simply refer to increasing the capabilities of communities to face up to recurrent and non-recurrent events with lower loss of life and welfare, advancing where possible their livelihood options. At times the frequent use of “disaster risk reduction” as an apparent substitute for disaster preparedness also leads to confusion.

**3.2. Programme Development over the period 1998 to 2007.**

29. From 1998 to 2007 the European Commission has provided a little over €22 million for five successive DIPECHO Action Plans.<sup>11</sup> These Plans have comprised 64 projects, including national projects carried out predominantly in Nicaragua, Honduras, El Salvador and Guatemala, and multi-country and regional projects covering the whole or part of the Central American region. The four previously mentioned countries have been prioritised due to their levels of vulnerability when compared to the higher per capita income nations of Costa Rica and Panama.



30. The number of requests for financing increased constantly between Plans I and III, in which it reached 52, and since then has dropped to around 40 for the last two plans. Financial decisions have grown from 2.1 to 7.5 millions, a 257% growth, and AP V financing accounts for 35% of the total funding allocated over the nine-year period. Funding for Central America over the full period



has accounted for near to thirty percent of all DIPECHO financing worldwide (accounting for a little more than 70 million euro, given to the different programming regions worldwide). This means that the region has received a far higher per capita contribution than much larger and complex regions such as SE Asia and the Andean countries., Nicaragua, the dominant country in terms of financing, has increased its share from between 15 and 20% of the total in Plans II and III, to 37% in AP V (it reached an all time high of 44% in AP IV). The other extreme is Guatemala which received 22% in AP III but only 15% in AP V.

31. The lack of balance in allocations to the different countries is clear and has been the subject of debate and concern. Guatemala, and to a lesser extent El Salvador, are consistently under-represented. The situation may be explained by various factors including:

- competing NGO priorities and themes.
- lack of NGO experience in the risk topic.
- greater international NGO presence in Nicaragua and Honduras post-Hurricane Mitch.
- resistance, due to historical reasons, to synergising with government.
- lack of a direct DIPECHO presence in these countries as opposed to Nicaragua.

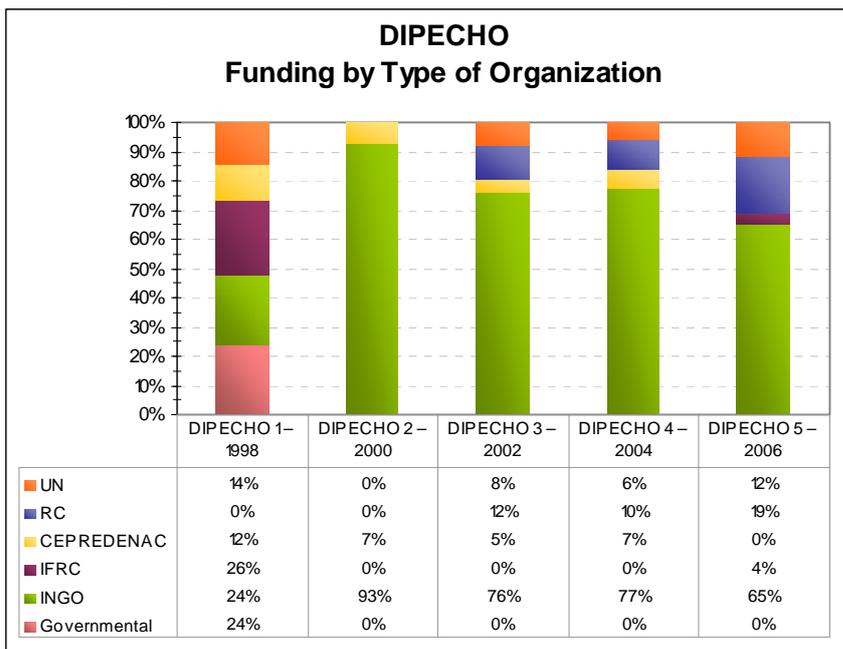
32. With regard to the relationship between the numbers of projects presented and approved in Guatemala and El Salvador, in DIPECHO III, 10 projects were proposed in Guatemala and two were financed and 12 were proposed in El Salvador with also only two financed. By DIPECHO V, 60% of Guatemalan projects were approved, a considerable improvement over previous plans.

33. Regional and multi-country projects that dominated AP I financing assumed a very low profile from AP II to IV and only with the latest AP V have regional projects come back in to play. An evaluation of AP I undertaken for the European Commission on completion of the Plan recommended that regional

<sup>11</sup> See Annex 16 for a detailed financial analysis.

projects be given a low priority given that they were “vague”, had high administrative costs and little finance reached the local levels. Thus, between Plans II and III only CEPREDENAC, the Central American intergovernmental disaster risk reduction coordination agency, received finance for regional projects. Under Action Plan IV, CEPREDENAC proposed a project for Guatemala on behalf of CONRED.

34. Thirty four different organisations have received support over the nine-year period. With the exception of AP I, international NGOs (INGOs) have always dominated access to funds, although this dominance has decreased between AP II and V. 14.6% of total funds have gone to Red Cross organisations. The IFRC, which received 26% of AP I funds, was not financed through APs II to IV and under the current plan it receives 4% of total funding. National and Participating Red Cross societies were not present in the first two APs and since then have accounted for 12, 10 and 19% of total financing for APs III through V.



35. Analysed from the perspective of the different participating organisations, CARE France, the Spanish Red Cross and GAA have received the greatest accumulated support. Eight organisations have received accumulated support of over €1 million. CEPREDENAC, Movimundo and GAA have the longest track records with DIPECHO (four projects each) whilst 17 organisations have only been financed once. With AP V, nine new organisations were financed. The data indicates a dynamic mix of continuity, renovation and newness. Increases in INGO participation have been associated with a growth in the number of “development” NGOs or those that combine humanitarian goals with development actions.

### 3.3. The National and Regional Consultation Meeting Process.

36. For APs V and VI, National and Regional Consultation Meetings have significantly contributed to the identification of priority zones and activities. Based on a participatory principle, these meetings have been celebrated in the four priority countries and at the regional level with the presence of a wide range of DIPECHO implementing and collaborating partners. This has included government, international agencies, and NGO representatives. The national workshops are preceded by the elaboration of a draft country document in which the bases are set for discussion on priority areas and themes. This is undertaken by contracted consultants who, moreover, facilitate the workshop and discussions. The priorities agreed at these meetings are subsequently incorporated in the next call for expressions of interest documents.

37. The meetings, both national and regional, have most certainly increased the level of participation and the feeling of ownership of the DIPECHO process amongst direct and indirect partners. Moreover, beyond their DIPECHO oriented objectives, these meetings at present constitute one of very few opportunities for the coming together of and discussion between diverse risk and disaster actors in the countries and region and in this way they help fill an important gap at a moment when encounters tend to be more specialised and sectorialised. This has immense benefits and constitutes another of the spin off benefits of the DIPECHO process.

38. A number of critical observations arise, however, as regards the process:

- a. There are important differences in the quality of the country document and workshop process in the different countries and these are associated with the different quality of the methodological approaches used by those that direct and guide the process.

- b. The scale of resolution achieved in the identification of priority geographical zones is overly coarse (zone, sub-regional or municipal) given the community level nature of DIPECHO interventions.
- c. The notion of identifying key intervention sectors or strategies in workshops without direct local and community participation goes against the notion of participatory decision making at the local level. An opportunity for local or community participation in the NCM process could derive from the implementation of sub national meetings in key areas of the country once the national level process has been completed.
- d. The problem of multi-hazard and mono-hazard approaches and the incorporation of vulnerability considerations have not been resolved.
- e. The way in which the process is “controlled” by DIPECHO partners, through their participation in financing and organisation may be overly time consuming and not the most efficient way of achieving the required end product, despite its virtues in terms of perceived ownership and appropriation.

39. A more particular question arises as to where the process should go in the future, the role of a process that at present is enacted every 18 months to two years, and the relevance of attempting to re-identify priority zones and intervention sectors over such short time periods. It therefore faces challenges in the need for innovation and the requirement for constantly renovated logic and new final objectives. As it is designed to promote participatory approaches to programme definition and design, the meeting process can be seen as a key aspect in innovation and pertinence, coherence and impact. This introduces both virtues and challenges. A move towards definition in terms of risk typologies may be beneficial and allow a standardisation of workshop methodologies (see Annexes 11 and 12 for a discussion of typologies and ideas to categorise them).

#### **3.4. National-Local, Multinational and Regional Projects.**

40. Since the first DIPECHO Plan in 1998 the notions of national, multinational and regional projects have been present. From an early preference for regional projects, preferences rapidly changed in favour of national projects, accepting at all times that these were to be designed from a local or community perspective. As the early dominance of regional and multi-country projects gave way to national projects run by INGOs the notion of local under a regional umbrella took hold. During DIPECHO II and III only regional projects in the hands of CEPREDENAC were approved. DIPECHO V has seen a relatively strong reappearance of regional projects.

41. The return to regional projects run by international organisations such as the UN and the IFRC has been stimulated by the real and perceived need to systematise and standardise disaster preparedness good practice, a need identified and discussed in national and regional consultative meetings. This reappearance of non-CEPREDENAC run regional projects provides an opportune moment to reflect on the balance, relationship and definition of regional, multinational and national projects.

42. The new generation of regional projects outside the CEPREDENAC domain has, in the case of UN agencies, led to certain problems related to the lack of adequate or sufficient consultation procedures with national and regional disaster management systems. Moreover, despite the fact that observations were raised in 1999, after the first DIPECHO plan, on the need to reconsider financial and administrative arrangements for regional projects run through international organisations, this latest round of projects has faced problems and delays due to the very same types of problem.

43. The topic and definition of “regional projects” within a regionally based programme has not been considered in detail and the relations and synergies that should exist with SICA and its disaster organisations - CEPREDENAC in particular - seem to be lacking. A strategic definition of how DIPECHO is to relate to regional actors in terms of desired outputs and outcomes is missing.

44. Questions such as: “what is a regional project as opposed to a multinational or trans-national one?” and “what can and should they achieve?”, have not been detailed or taken up in any real sense. Calls for expressions of interest documents do not distinguish or detail what is required of regional as opposed to

national projects. Besides the strengthening of the regional system under the domain of CEPREDENAC and the systematisation of experiences, what other topics and needs could and should be dealt with by regional projects has not been closely considered. Moreover, the structure and functioning of regional projects and the ways in which they can and should contribute to the strengthening of national and local organisations and approaches has not been discussed in depth. Further clarity on how to operationalise a mutually beneficial partnership with CEPREDENAC would be beneficial considering the EC's priority of strengthening regional integration, and PREVDA's funding of CEPREDENAC.

## 4. COMPLEMENTARITY, SYNERGY AND COORDINATION

### 4.1. Strategic and programmatic complementarity and synergy

45. The national and regional consultative meeting process has created a platform for enhancing strategic and programmatic complementarity, synergy and coordination. Endorsement of DIPECHO approved projects by national organisations has also created an opportunity for further partnership. DIPECHO interventions have helped strengthen the entire response system. Despite continued and increased efforts by DIPECHO and DG ECHO to increase dialogue and willingness at the level of the regional delegation, the level of **coordination and synergy among EC projects in the region is low**. Taking into account DG ECHO's mandate, complementarity with Swiss Development Cooperation is feasible in both Nicaragua and Honduras where it is focussing its efforts. At the time of the evaluation, there was further coordination within Nicaragua with the DIPECHO TA's participation in the donor quartet (EC, Japan, Sweden, IADB) on risk management. Complementary funding arrangements have also been sought by partners with AECID (acronym for the Spanish Agencia Española de Cooperación Internacional para el Desarrollo).

There is greater potential for identifying synergies with the latter in both Guatemala and El Salvador. Synergy is a key target of disaster risk reduction which requires effective partnerships. The complementary roles and core competencies of different organisations have to be successfully intertwined. Partnerships must be formed as a first step to develop synergies on the ground.

46. Constraints for further synergy include:

- a. Limited consideration and understanding of DRR within other EC funding instruments, EC and EU Member State agency staff.
- b. The view that DG ECHO has more limited dialogue and relations at the national government level.
- c. Overburdened DIPECHO staff in the region that do not have the capacity to ensure a more regular and permanent presence in countries in order to further link DIPECHO efforts to national and local development plans or coordinate with other donors on a regular basis outside Nicaragua. Gaps are more visible in the context of Guatemala, a larger and more complex country with less DIPECHO presence.

47. A number of examples of **synergy amongst DIPECHO partners** and other stakeholders can be found. The evaluation sought to consider synergy with the aim of determining how the DIPECHO programme as a whole was greater than the sum of the parts and identifying spill over effects. Spill over effects generated by the programme are visible through the approach undertaken by the IFRC and the capacity building and development activities of the Red Cross National Societies. The IFRC, through the regional Red Cross centres, provides capacity building and training both to DIPECHO funded partners (Participating National Red Crosses and European NGOs), national institutions and other non DG ECHO funded DRR actors and NGOs. Plan International, for example, is not currently funded by DIPECHO but benefits from the IFRC funded project. Synergies have also involved multi-function interventions as part of an overall approach. Strategies for DRR and adaptation that are embedded in development approaches have had far more benefit than ones that are "stand alone". In many cases early warning systems are part of multi-purpose communication systems. Previous experiences from programmes supported by other donors have also been positively used in the context of DIPECHO project implementation. Important benefits have accrued to project relations with government organisations where these are strengthened.

48. The relationship with local NGOs and associations **has not always been optimal**. There have been some instances where local NGOs involved or leading the partnership at the proposal identification stage are later given lesser roles in implementation once the DG ECHO FPA partner receives the contract and funding, and may even withdraw from the project due to this. (IPADE in Nicaragua under ACTED's project in DIPECHO V; and disagreements between CEPRODE and Geólogos del Mundo in a previous plan are a couple of known examples). This is an aspect which may be insufficiently monitored during project implementation. In addition, some of the local or extra regional partners which were supposedly consulted, in the design of projects and proposed as participants in project implementation had not been approached or were unaware of the project (eg. UNDP mentioning La Red and CRID in their DIPECHO V project). National Red Cross project representatives have also felt excluded from some of DIPECHO's proceedings as there has been an indication that the European Red Cross representative should attend meetings.

#### **4.2. Coordination and LRRD**

49. The number of global, regional, national, sectoral and local organisations engaging in disaster risk reduction has grown and coordination challenges at all levels have become more complex. ISDR is a global strategy established to facilitate concerted action towards reducing risk and vulnerability and involve all stakeholders. DIPECHO is attempting to include ISDR and there is a need to promote its presence in the region and see how the global platform can be further engaged and linked to local levels. It is present in the DIPECHO UNICEF implemented project.

50. Meetings held at national level between DG ECHO-funded partners have facilitated increased coordination, exchange and joint and shared training efforts.

#### **Recommendations**

51. Training within the EC at the level of delegations and of government personnel on DRR is necessary for linking and mainstreaming DRR integration.

#### **4.3. Approaches and responses of international organisations, the RC movement, and NGOs**

52. International organisations (IOs) have been funded by DIPECHO for regional projects. Aside from the CRID project funding foreseen under AP III and then funded under AP IV, so-called regional projects were no longer considered between 2000 and 2006. The approaches of international organisations are now intended to generate spill over effects beyond the actual implementation of the AP projects and the interventions funded within them. Initially, DIPECHO under the initial APs, also foresaw multi-country projects. UNICEF and ISDR have recently been implementing a regional programme on DRR and education and following a rights-based approach. UNDP has been funded by DG ECHO to gather information and systematise tools on specific components of DRR. Their approach foresees working primarily on a country level within the different countries targeted by DIPECHO interventions in Central America. CEPREDENAC has proposed projects on behalf of CONRED and has yet to fully define its strategic role and approach within DIPECHO. CEPREDENAC has a coordinating role to play.

53. For the International Federation of Red Cross and Red Crescent Societies (IFRC), DIPECHO has created the possibility of covering disaster preparedness needs at the local community level, a need that was not being met by any other donor. The relationship with the Red Cross movement in the context of the DIPECHO programme has evolved over time. Prior to the DIPECHO programme, the IFRC had requested and received EC support for its series "*Es mejor prevenir*", in 1993. Since 1998, in the aftermath of Hurricane Mitch, there has been a transformation in the Red Cross. The IFRC has helped improve relations between National Societies and their counterpart government agencies. Through the IFRC regional reference centres DIPECHO funding is having an impact beyond the projects funded as in addition to providing support to National Societies and DG ECHO funded Red Cross partners, the regional centres service other organisations working in DRR. The Red Cross Movement has several assets in terms of making use of its volunteers and extensive network. At the same time, Red Cross DIPECHO proposals

have tended to be more expensive. As a result, larger portions of the budget have also been funded by other sources (eg. The American Red Cross in El Salvador).

54. NGOs funded under DIPECHO projects have used different approaches in an attempt to forge effective partnerships and encourage local ownership and sustainability. While the Red Cross movement has a network of volunteers, several NGOs have established agreements with universities to have students from communities participate in project implementation (CARE, GVC). A number of NGOs such as Oxfam (in Guatemala, Nicaragua and El Salvador) and Trocaire and Goal in Honduras work in partnership with local NGOs. It is in areas with less capacity, such as in rural Guatemala, where these options are less feasible and organisations must rely more heavily on their own personnel or subcontract certain services (ACH). In Nicaragua, NGOs have opted for involving Civil Defence as the preferred and most effective means of providing training in communities. In El Salvador, the Salvadoran Red Cross is playing a greater role in providing training in DIPECHO projects implemented by NGOs. NGOs have adapted their approaches to the context of intervention and more importantly to the beneficiary population group. NGOs have also tailored their approaches to the needs of different ethnic communities. Training in urban contexts and with working populations requires a different approach, as do interventions in security deficient areas. DIPECHO has provided its partners with the necessary flexibility to address differing needs and challenges.

#### **4.4. National Red Cross Societies, National hazard monitoring and national response institutions**

##### **National Red Cross**

55. The Red Crosses in Central America have developed greater capacity in DRR since 2000. The movement received much funding in the wake of Hurricane Mitch. Lower levels of funding after 2000, enabled the movement to further consolidate its activity and created greater incentive for collaboration. The capacity of national societies varies and some are affected by internal problems. On the whole however, DIPECHO has helped decentralise national societies and given further impetus to the process of strengthening local Red Cross structures. The IFRC with the Red Cross regional centres and the agreement between both European Red Crosses (Italian, Spanish and NL) and the support of the American Red Cross have created greater options for synergy and programme strengthening.

##### **National institutions**

56. Through DIPECHO projects, national institutions involved in DP have been able to gain practical experience and contextual knowledge at the local level. In addition, DIPECHO provides for partnerships between NGOs and national institutions which provide for the necessary flexibility for trial and innovation in DP. INETER in Nicaragua, through the successive agreements it has had with CARE in three different APs, has been able to take on innovative lower-cost early warning systems because the NGO is able to promote the initiative and assume the risk of trying different non-commercial means. With certain projects, DG ECHO partners have also helped foster internal coordination between different departments within institutes (eg. ACSUR with INETER).

## **5. IMPACT ASSESSMENTS**

### **5.1. Overall impact<sup>12</sup>**

57. DIPECHO projects in areas affected by natural disasters have helped communities react more rapidly and in a more organised manner, allowing lives to be saved and also providing support for practical measures to reduce risks.

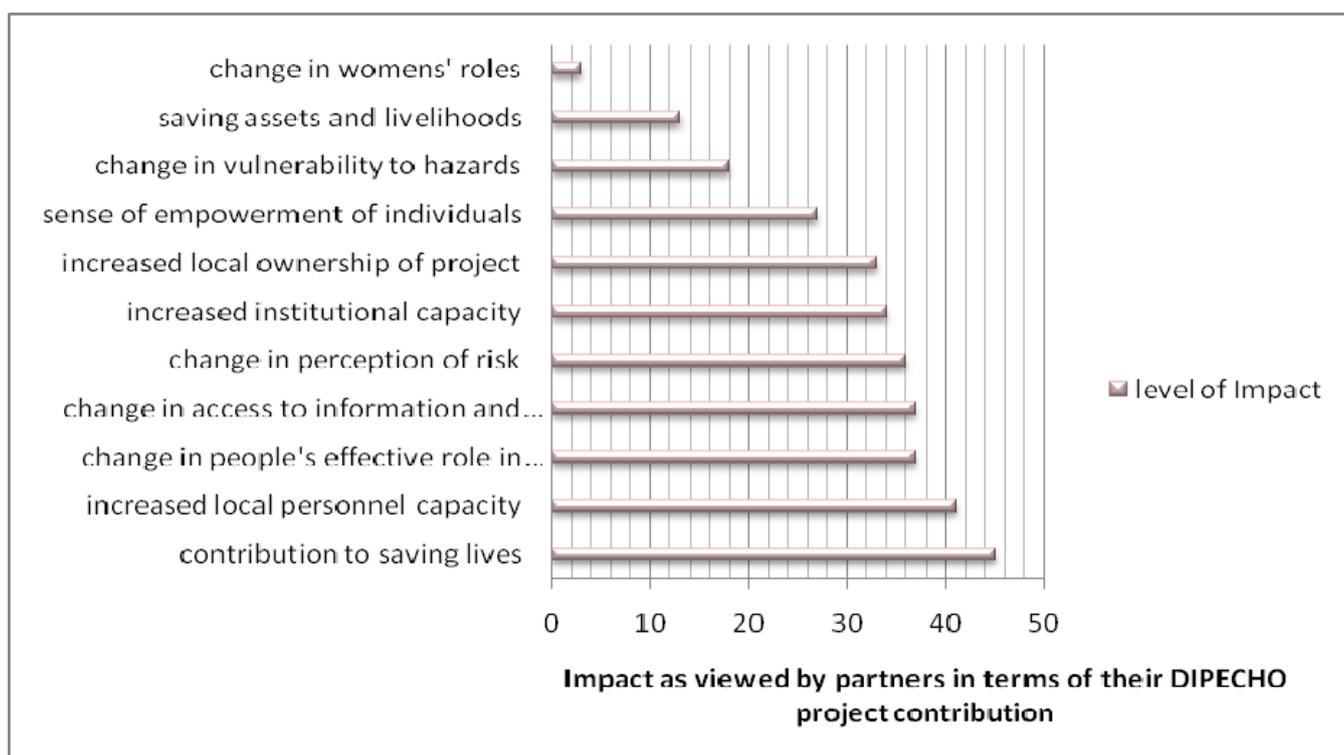
58. In Central America the DIPECHO programme is considerable both in absolute and relative terms. Projects currently cover a large proportion of areas affected by recurring disaster. DIPECHO has an impact

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<sup>12</sup> For partner responses as regards the programme and its impact and needs, see Annexes 10, 13 and 14.

in terms of providing an enabling environment for response. There is a case for considering the role DIPECHO projects and action plans have in Central America as an **intervention response strategy**. Not only do projects facilitate the response and reaction of communities themselves and governmental institutions such as Civil Defence or auxiliary organisations like the Red Cross in areas that are affected by disasters, but they also provide an opportunity for channelling aid to affected persons - often in remote areas - that would otherwise not receive assistance (eg. WFP providing food aid as a result of ACH DIPECHO V project). Recurring disasters in Central America include smaller events that do not result in an additional DG ECHO intervention in response to a sudden onset disaster.

**Average of partner responses based on their assessment of their project's impact on different issues**  
(where 50 represents the highest level of impact, and scores below 25 are considered to have little impact).



59. In general, the outcomes of the majority of projects undertaken by partners in the five DIPECHO Action Plans have contributed to increased disaster preparedness and reduced vulnerability of inhabitants in many municipalities of Central America who have benefited from the programme and its approach. In addition, there has been a demonstrated increase in the **capacity of local institutions**, mandated with protecting vulnerable populations (including Civil Defence, municipal councils, disaster management committees at different levels in project areas and implementing partners themselves).

60. As DIPECHO projects target high risk areas, partners are present in many localities that are affected by persistent and recurrent hazards. This is the case in areas that are subsequently targeted for additional assistance and response to a sudden onset disaster on the part of DG ECHO, as in the cases of Hurricanes Mitch, Stan and Felix. Partner presence in this area has provided key information for needs assessment and decision making. Target areas have proven relevant in this sense because DIPECHO partners are present in areas affected by heavy rains and other hazards this year. In Nicaragua, 216,000 people were affected by torrential rains this rainy season in the western part of the country. In this country, where DIPECHO funds most of its projects under the Fifth Action Plan, all partners have been working in areas persistently affected by natural hazards. In Guatemala, two out of three projects were affected and triggered a response.

**5.2. Disaster risk reduction capacities at the local level**

***Reduction in community vulnerability through increased preparedness, capacities, and resilience***

61. In terms of boosting the resilience of local people to the most frequent hazards, there is a greater level of preparedness by communities in the target areas. A large number of communities in all project areas

have developed some basic DP plans over the course of the APs, although this varied according to the quality of risk assessments undertaken. Although the quality of these plans has not been thoroughly assessed, this is significant evidence of an increased level of preparedness and enhancement of people's capacity to prepare for and to respond to disasters. In the case of recent disasters, there is evidence that the projects did improve response by local people; most of the projects involved the mobilisation and organisation of community disaster response teams.

62. The enhanced level of preparedness comes as a result of community DP awareness raising and training of significant numbers of local implementing partner staff, local governments, and citizens. Overall, the local government entities in the project areas have increased awareness of DRR and developed better capacities to manage their own DRR programmes. Whilst long-term in nature, there have been gradual improvements in knowledge, attitude, and practices of such stakeholders, and there has been evidence of application of methodologies and tools.

63. The **impact, in terms of volume**, has been greatest at a national level in Nicaragua. It is, however, in El Salvador and Guatemala where there is evidence of linkages between national and local levels for the first time as a result of DIPECHO project implementation. The establishment of the first decentralised SNET in a micro-region of El Salvador through OIKOS is a good example of how DIPECHO impacts the DP system and creates an enabling environment for improved local preparedness and response. A similar project at the micro-regional level implemented by Solidaridad Internacional in Nicaragua did not prove sustainable. OIKOS, however, seems to have secured joint interest and Spanish Cooperation funding for the micro-regional centre in Ahuachapan.

64. There is an **increased level of preparedness and improvement** in people's capacity to prepare for and respond to disasters. There is evidence at a local level in several recent and ongoing projects in all four countries (eg. Oxfam in Guatemala, CARE El Salvador, Trocaire in Honduras, GVC in Nicaragua).

65. A majority of **DIPECHO projects are increasingly focusing on the municipal level** and select municipalities as the point of entry for DIPECHO project design. The community level is then incorporated via consultation processes. However, a **factor counterproductive to impact and sustainability** in many projects is either lack of interest on the part of municipal authorities or municipal authority turnover.

66. Political polarisation in Central America is such that elections often entail the complete removal of all technical personnel at practically all levels. At the same time, the **DIPECHO funding instrument** has a value added and plays an important role in these contexts. In Nicaragua, where most donors currently face problems implementing their aid, DIPECHO receives the highest number of proposals.

67. Greater emphasis should be placed on understanding and protecting people's livelihoods as it is integral to saving lives and protecting future livelihoods. Together with the change in women's roles, it is in this area where partners felt that their DIPECHO project had had the least impact. Where early response is enacted and community participation includes considering assets, communities could focus on options for saving livestock, critical instruments of trade, etc. Moreover, training in rehabilitation methods and techniques could also be attempted. Guidelines for saving livelihoods could be incorporated in partners training formats.

## **6. UNDERSTANDING THE CHALLENGES OF LRRD**

68. Despite the momentum created for DRR in a post-Mitch environment, governments in the region have yet to fully integrate and prioritise the topic within their development plans. Failure on the part of national governments to prioritise DRR influences what development donors and actors may attempt to promote in this field. This is especially the case in Nicaragua where cooperation is primarily provided in the form of

budget support<sup>13</sup>. The World Bank is attempting to create national demand for Disaster Risk Reduction as governments are not submitting requests for the \$1 million funding it makes available to countries for investment in DRR mapping.<sup>14</sup> There is recognition at the level of the EC regional delegation on the failure and the need for prioritising DRR in current development schemes. There is a lack of capacity within the EC delegation to provide the necessary guidance to programmes on how to mainstream DRR and a need to introduce indicators to monitor progress on DRR in the aid provided in the form of budget support.<sup>15</sup> It is recognised that in addition to donor agency staff, a welcome move so as to foster inclusion of DRR would be to provide training to government staff in the countries of the region. This suggestion also coincides with a plea from communities affected by disaster that it be mandatory for both civil servants and elected officials at all levels to receive basic training on DRR along with education on exposure to risk and instruments for protection.

69. Long term development instruments have therefore not yet developed sufficient momentum to enable a phase down of the DIPECHO programme. A clear example illustrative of the challenges of LRRD is the PREVDA programme which initially created some expectations on the possibility for increased synergy and linkages. Implementing the regional project has proved difficult thanks to its regional set-up which foresaw the channelling of €20 million through CEPREDENAC and a complex modus operandi involving the establishment of national secretariats at country levels. At the time of the evaluation it is in those countries, where DIPECHO is most active and where environmental policies are less advanced, that PREVDA had made less progress in terms of establishing a project management unit. Lack of progress is also seen as a reflection of lack of national commitment to DRR. In practical terms, and because PREVDA is a regional programme involving six countries and envisaging four levels of results, actual projects at country level are foreseen as pilots – for an €8 million amount - and will usually involve only one river basin. The location of the pilot river basin project not always coincides with vulnerability criteria established by the DIPECHO programme.

70. In the process of analysing potential synergy with other EC funding instruments and programmes, the evaluation found greater links with municipal strengthening programmes such as *Municipios Democráticos* in Guatemala<sup>16</sup> where environmental issues are cross-cutting and the potential for municipalities to request funding for DRR in the development plans is being explored. In addition, the regional PRESANCA food security programme targets many municipalities and communities covered by the DIPECHO programme. With the exchange that the longer term PRESANCA foresees between different municipalities, communities that have benefited from different DIPECHO action plans have shared their knowledge with other communities in other countries. These initiatives have yet to develop traction for any future phasing out of DIPECHO, however. The level of attention and funding needed to reduce avoidable loss of life, livelihoods and property, and to safeguard development gains is absent. Risk reduction measures must in fact be expanded to avert or reduce the scale of future disasters.

## **7. MAIN CONCLUSIONS AND RECOMMENDATIONS**

71. This section of the report summarises the main conclusions of the evaluation and provides corresponding recommendations. The conclusions are presented according to the main evaluation criteria, while the recommendations correspond exactly to the order and numbering of the conclusions, unless otherwise indicated.

### **7.1. Relevance and coherence**

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<sup>13</sup> The term budget support is used to describe external assistance channelled directly to recipient governments using the governments' own management processes and systems.

<sup>14</sup> The Central American Probabilistic Risk Assessment (CAPRA) project.

<sup>15</sup> A guidance note for mainstreaming DRR in budget support has been developed by the Provention Consortium. [http://www.proventionconsortium.org/themes/default/pdfs/tools\\_for\\_mainstreaming\\_GN14.pdf](http://www.proventionconsortium.org/themes/default/pdfs/tools_for_mainstreaming_GN14.pdf)

<sup>16</sup> (ALA/2000/3062 DTAGUA/B7-310/00/0020)

72. A **DIPECHO strategy** defining mediumterm objectives and targets and the steps and means to achieve them has been lacking. Such a process would **provide a basis** for planning continuity and sustainability, strengthening options for replicability and dealing with the problems and challenges of synergy and inter-project cooperation. An incremental approach to solving typical DP risk context problems could also be imagined with a strategic perspective that establishes the bases for continuity with areas and communities most at risk.

73. Support for community based Disaster Preparedness in Central America has been and remains very relevant in the national and regional contexts. The programme's overriding objective of reducing risk by better preparing vulnerable populations in the most disaster prone areas remains highly pertinent. Disaster preparedness remains a key factor in saving lives and ensuring an appropriate response in disaster prone Central America. The programme **continues to fill a gap** addressed by very few other agencies or programmes. DIPECHO programmes and objectives are generally well understood by beneficiaries. The DRR initiatives of other EC services, national and regional efforts, and of bilateral cooperation agencies are meagre and do not provide a basis for phasing out DIPECHO in the short or even medium term.

74. Despite clear statements of the fact that DIPECHO takes a **“regional” approach** and that local projects are conceived under a “regional umbrella”, there is enough evidence to suggest that the regional side of the equation, its concept, definition, relevance, opportunities and needs **have not been given sufficient consideration**.

75. The **National and Regional Consultation meeting process** has **increased the ownership** of the programme by diverse stakeholders and has offered one of very few opportunities for **dialogue and consensus** in the countries on risk and disaster matters as a whole. Renovation and innovation in ways of delimiting priority areas and themes should be considered constantly, Plan to Plan. One immediate opportunity is to choose priorities for intervention from a range of areas delineated according to an identified risk typology.

## **Recommendations**

76. A **comprehensive DRR strategy should be developed** to form the basis for DIPECHO's programme and inform the process of design and development of future Action Plans. This should consider programme development over three successive Plan periods - six years - and take as one of its bases the risk typology concept (see point 65). The Hyogo Framework for Action should be explicitly used as the basis for this overarching strategic approach and to facilitate the adoption of complementary programmes between other national and regional DRR stakeholders. [Strategic]

77. A specific study should be commissioned in order to examine the notion, role and opportunities associated with a regional DIPECHO approach that would maximise impact and improve the likelihood of replication within the region.

78. The NCM and RCM processes should be maintained and strengthened, enhancing their role in both the definition of DIPECHO goals and objectives and more widespread national and regional risk reduction objectives. This should be achieved introducing the following modifications and innovations:

- a. A single methodology should be developed, cross country, and applied by a single team of experts located optimally in public universities or research centres of the region.
- b. The incorporation of the notion of **risk typologies** as the basis for analysis and subsequent selection of projects during the next Action Plan, achieving throughout the region a balance of different types such that DIPECHO contributes to innovation and real options for replicability under different circumstances. Further links should be established with DIPECHO interventions in other regions of Latin America.

- c. The running of the regional RCM first - with the presence of all key national actors and potential partners - so as to provide a real regional dimension and framework for project selection and definition at the national level and an enabling environment for the improved definition of a DIPECHO strategy in the region, further linked to the European Commission's strategy in Central America.
- d. Organisation of the workshops by professionals in meeting organisation and the design of adequate administrative and financial procedures in order to achieve this.

## **7.2. Effectiveness**

79. The partner selection process has improved over the course of the different action plans. The increase in the number of partners implementing DIPECHO projects in the region, including organisations with development programmes, has led to an effective integration of DP work with longer term development projects and facilitated LRRD. Partners have developed increased capacity in the DRR sector through DIPECHO project implementation. Staff turnover has not been a significant problem in the region and the programme has been able to benefit from relative stability of human resources. Continued presence has enabled staff to incorporate good practice into successive projects. The nature of the relations and the distribution of attributes and functions between FPA signatories and their local partners has not always been adequate. The lack of norms and normative behaviour contribute to unequal treatment of some parties. Strengthening of local partner's capabilities and attributes has not always been an important aspect in the development of these relationships.

80. The call for Expression of Interest document has grown in size and demands and may be becoming user-unfriendly. This is especially true where the time period between calls of interest and project presentation is short and the requirements for making proposals are complex. Efforts need to be made to reorganise and redesign the intervention sectors and requisites-parameters now in place. Project implementation has been challenged by the short-term nature of DIPECHO funding and the inclusion on the part of partners of too many components and activities, which limits some partners from achieving certain outcomes and focussing on process. As partners focus heavily on implementation indicators, there is little time for risk analysis in the course of the project. The shorter timeframe of project implementation decreases opportunities to engage in corrective action when problems arise. DIPECHO could reach a greater level of effectiveness, innovation and reflexive action if partners were able to focus more on fewer components. Many communities greatly appreciated the training they had received through DIPECHO projects but felt they needed more training and capacity building to be able to respond adequately as rescue and evacuations brigades. Most preferred to have additional time and training sessions. Additional themes such as radio repair, basic items for swimming or flotation devices were also mentioned. In the case of Nicaragua, an agreement with Civil Defence for the purpose of providing additional training could be envisaged post project implementation.

81. Efforts have been made to base project design and definition on evidence generated through participatory community or locally based diagnoses. However, there is still much room for improvement and for varying reasons a number of organisations interviewed do not undertake such analysis to the extent required for a project to reach the foreseen level of effectiveness.

82. The requirement of having approval and participation of national government organisations (technical and operative) in projects in some countries, whilst clearly advantageous and correct, does pose problems and these may increase in the future. The technical capabilities and resources of these organisations are limited in size and scope and may put a brake on the number of projects that can be developed at any one time.

83. Overall effectiveness may be limited by the levels of conceptual and professional experience of project staff and promoters. Experience is undoubtedly of great importance but in the end is no direct substitute for up-to-date concepts, methodological understanding and knowledge. This factor may in fact be restricting efficiency and impact as many projects become routine rather than innovative.

84. Important steps have been taken to increase information and documentation processes and to systematise and distribute evidence of good practice in the interest of encouraging replicability and improved practice. Whereas processes to improve documentary sources and access are now long lived - through the CRID system in particular efforts at systematisation of good practice are new. A typology approach to project selection would have impacts on the conceptual and practical aspects of systematisation of good practice.

## **Recommendations**

85. DIPECHO should privilege financing of those organisations that have medium-term development goals and presence in attended regions and encourage the linking of the DP projects to these. Options for sustainability will only be improved under such circumstances. DIPECHO projects should, whenever possible, link into local development processes by means of their relationships with local land use planning, environmental management, infrastructure development schemes etc. This is the only way to ensure sustainability in financial, institutional and community terms. [Operational]

86. Selection should also be based on a consideration of those FPA organisations that develop and maintain healthy partnerships with local humanitarian or development NGOs or associations. The role, decision-making sharing principles, financial conditions, and areas of participation of local organisations should be clearly laid out in the project document approved. [Operational]

87. Simplify the call for expressions of interest documents, reducing the norms and encouraging innovation, imagination and reference to good practice. Intervention sectors should be reconsidered and revamped according to clearly identifiable integral mechanisms for intervention. Proposal formats should be designed in order to guarantee that partners do not propose overly burdensome tasks that take time away from efforts to adequately and thoroughly develop training and other schemes. Clearly lay out opportunities and contexts for continuity in the same intervention areas, plan to plan. [Operational]

88. Promote wider ranging real community participation and demand community risk assessment for pre-selected projects. Address financial limitations faced by some organisations and the unwillingness on the part of partners to create undue expectations or excessively burden local communities. Introduce the concept paper approach, potential future cost coverage and clear guidelines as to method and objectives of community and beneficiary participation. [Operational]

89. Shortfall on national technical expertise in priority countries could be overcome by using technical and professional resources from universities and disaster organisations in Costa Rica and Panama, thus serving as a mechanism for the construction of a non-exclusive regional approach. [Operational]

90. Provide opportunities for the permanent professional training of project staff over the AP-period. Working groups and networks should be established to consider the relationship and strengthen the link between concepts and practice. Promoting lessons-learned exchange within these project networks would be an important aspect of this type of a DIPECHO staff “certification” scheme.

91. Documentation and dissemination procedures should be encouraged by the projects themselves. It should be obligatory for all partners to deposit utilisation focused briefs, reports and/or documents in existing documentation centres or websites. Project preparation procedures should require partners to clearly quote, cite and detail the good practices they have reviewed and considered in project elaboration. The impact and utility of the systematisation procedures and schemes now under way should be evaluated on project termination and, to the extent typology considerations are considered, new ideas on systematisation and guidelines on an inter-regional basis should be adopted

## **7.3. Efficiency**

92. A large number of the more traditional and newer DIPECHO partners are of very high quality. Despite this, even some approved proposals remain weak in very significant criteria such as technical abilities of professional staff (the characteristics of personnel which allow it to adequately lead and innovate in a project) and sustainability.

93. Promotion, evaluation, selection, project control and monitoring are all undertaken efficiently by field staff and the Brussels office. The TA provides an important advisory role during project implementation. The growth in the number of financed actions and, potentially, a further future growth in number of requests inevitably places greater pressure on DIPECHO professional staff, possibly taking time away from process and innovation in favour of more routine activities.

### **Recommendations**

94. Consideration should be given to discussing partner project proposal performance with both selected and non-selected partners, (where the latter are considered in principle good options for future partnership). Specific workshops could be staged to improve project preparation in critical areas - methodology, key concepts, technical requirements, sustainability etc. Greater emphasis on the use of internationally available guidelines and reference to good practice would help increase project quality. Clear definitions of concepts used in DIPECHO literature should be undertaken and clear indications given to partners as to the significance and pragmatic relevance of these as regards definition of intervention actions. This is particularly important in dealing with development based concepts such as resilience, resistance, risk and vulnerability reduction. [Operational]

95. Pressure could be taken off TA and other local staff if a concept paper approach was introduced to filter first round proposals for projects. A programmatic approach to DRR needs to be developed over more than one action planning cycle, wherein brief concept papers would be developed prior to a substantive proposal and consideration given to approval of partners' annual work plans and budgets over several Action Plans. The bi-annual calls for proposals would continue to draw in fresh partners. [Strategic]. In order to facilitate innovation, exchange between and amongst partners, introduction of novel approaches and provision of advisory services to partners, follow up on older DIPECHO projects and their current levels of sustainability should be put into operation. A regional risk management and disaster preparedness advisor should be appointed. [Operational]

### **7.4. Coverage**

96. DIPECHO projects complement government policy and provide benefits and assistance to areas that would not otherwise receive attention. The recent inclusion of **large city marginal communities** is a very positive step. Present and projected future trends do however tend to suggest that poverty and risk are and may continue to grow more rapidly in **intermediate and small urban centres in the future**.

97. **Imbalance in the number of projects** presented and approved in the different priority countries is of concern. Under-representation of Guatemala and, to a lesser extent El Salvador and the permanent dominance of Nicaragua may be explained by structural, historical and contextual factors. Costa Rica and Panama should be encouraged to present projects where the nature of these can be seen to offer innovative elements for future DP schemes.

98. DIPECHO's objective of working in the most disaster-prone areas (highly vulnerable areas subject to recurrent small scale disasters or affected by an important disaster during the last ten years) is not always followed, with other criteria being weighted more heavily. In these cases, the partner may consider their staff capacity, the receptiveness of communities and local authorities towards implementing a project. It should be understood that addressing the most vulnerable communities implies a trade-off with ensuring that development processes are in place in the community or ensuring further likelihood of sustainability.

### **Recommendations**

99. The future definition of priority areas for intervention should be achieved through the use of the aforesaid risk typology concept. This should guarantee a more comprehensive incorporation of diverse types of risk areas in rural and in large and smaller urban areas, where the ultimate criteria for selection is the potential for saving life and livelihoods.

100. More promotional activities should be undertaken in countries that present a limited number of projects and efforts made to have DIPECHO representation in each of these countries - linked to other EC services if necessary.

101. Efforts must be made to incorporate those areas that suffer from high disaster risk but which have little awareness, social capital and organisational bases and which would not normally be considered by partners in the framework of 15-month projects. This could involve two-stage projects where the first stage is undertaken with more limited funds - up to €100,000 - and the second stage with increased funding commensurate with training and early warning needs, for example.

## **7.5. Coordination, complementarities, coherence and synergy**

102. There is limited consideration of DRR within other EC funding instruments, and EC and EU Member State agency staff in the region have only partial understanding of the nature of DRR and of DIPECHO's projects. Despite continuing and increased efforts by DIPECHO and DG ECHO to increase dialogue and discussion and the search for synergy, coordination and complementarities between EC projects in the region, these continue to be low. There are prospects for further cooperation with food security and municipal strengthening programmes. More progress has been made with Swiss Development Cooperation and the potential exists for further interaction with Spanish Cooperation, especially in Guatemala. DIPECHO's leverage is insufficient to influence major stakeholders to include DRR in their policy, strategy, legislation and long-term development plans. The World Bank and other major actors have limited knowledge of DIPECHO. The EC Regional Delegation is also in favour of prioritising DRR, mainstreaming DRR in EC programmes, developing further knowledge both among EC personnel and national government personnel, and defining appropriate DRR indicators for budget support.

103. Opportunities clearly exist for synergy and collaboration, but transforming opportunity into reality requires the existence of programming, and spatial and temporal considerations that are not yet in place. It is unrealistic to believe that DIPECHO can be the champion of mainstreaming and LRRD. The movement in favour of these fundamental aspects can be supported by DIPECHO but the major initiative must come from larger humanitarian and development based schemes promoted by DG ECHO and other EU services and international agencies.

104. Some partner organisations have developed techniques and methodologies using other financing mechanisms that are now being perfected or widened through participation in DIPECHO projects. This is the case of CARE and its methodological developments, which have come out of the OFDA-AID financed Central American Mitigation Initiative. It is also the case of the IFRC with the development of its VCA methodology with support from the DFID and PROVENTION Consortium. DIPECHO has provided a unique opportunity for the development and testing, refinement and improvement of these techniques with impacts in other organisations and settings. Support for the IFRC reference centres is an extremely positive measure which facilitates complementarity, coherence and synergies throughout the region and assists actors beyond those directly supported by DIPECHO.

105. A number of examples of synergy amongst DIPECHO partners and other stakeholders can be found. These have tended to be concentrated, although not exclusively, within organisations from the same "consortium" (Red Cross, CARE, Oxfam, for example). The number of cross organisational collaborations is rising.

## **Recommendations**

106. Dialogue with other EC funding instruments and EU Member States should be increased, particularly those supportive of DRR. This will require more professional human resources linked to DIPECHO. A DRR focal person within EC delegations should be supported to improve coordination, advocacy and complementarity. [Operational]

107. Development of a strategic framework and the ability to predict spatial and temporal patterns for project development would create options for synergy with other agency projects and plans. [Strategic]

108. Continuous efforts should encourage and support inter-partner and inter-project collaboration in conceptual, methodological, experiential and practical terms. This can be achieved during project preparation, project implementation and project closure. Consideration should be given to financial allocations that may be used to sponsor and stimulate inter-project discussion during implementation, where needs and options occur ad-hoc. [Operational]

## 7.6 Impact

109. The notion of impact covers community, local, sub-national, national and regional levels and also individual, family, social group, institutional and organisational aspects. DIPECHO projects have had measurable, and at times very significant, impacts on all these levels. Reduction of loss of life, consolidation of local social organisation, strengthening of relations and knowledge of one another between national-level scientific, normative and operational institutions and the local and community levels, the development of local infrastructure and an improvement in local analytical capabilities, including their understanding of the root causes of disaster, are amongst these.

110. In Central America the DIPECHO programme is considerable both in absolute and relative terms. Recent and ongoing projects cover a large proportion of areas affected by recurring natural disaster. The presence of DIPECHO projects in disaster affected areas has, on a significant number of occasions, **facilitated disaster response, communications, access and recovery** on an ad-hoc basis. This is clear in the interventions of several partners during the 2007 rainy season, including after Hurricane Felix in Nicaragua. Increased communication greatly benefited isolated communities and improved their living conditions. In measuring the impact of DIPECHO projects in terms of how well preparedness helped the population when they were afterwards affected by a natural disaster, the evaluation found evidence of increased local response, including evacuation of people in life threatening situations in high risk areas, timelier and better-informed decision-making, a greater level of empowerment on the part of local populations and ownership of the response, along with improved responses on the part of national actors involved in DIPECHO projects.

111. In all programme areas **awareness of DRR** has increased progressively, community DP plans have been developed and response teams established. Significant direct impact in terms of **increased preparedness** is evident in project areas, benefitting several hundreds of thousands of people over the course of the five APs. Overall, the **local government entities** throughout the project areas also have **increased awareness of DRR**. DIPECHO Action Plan impacts have been positively boosted in the aftermath of Hurricane Mitch in 1998 and Tropical Storm Stan in 2005, which both affected the vast majority of territories covered by the programme. As a result, the **level of motivation of stakeholders** has been significant. There have been gradual improvements in knowledge, attitude, and practices of such stakeholders, and there has been evidence of application of methodologies and tools. Additional impact would require greater human resource, financial and time investment in **promoting self-reliance and community level responses**.

112. DIPECHO projects tend to be dominated by notions of early warning and early evacuation in order to save human lives. Present and past interventions have **concentrated on flooding and landslide prone areas**, affected directly or indirectly by hurricanes and tropical storms. Despite the fact that some organisations, under their own volition and financing, reach out to other types of risk reduction activity

(land use planning, cropping patterns etc) within the framework of the project, notions associated with **safeguarding livelihoods** (domestic animals, for example) are scarce. Moreover, DP activities mainly concentrate on immediate response aspects whilst the idea of preparedness for recovery is not raised much beyond the evaluation of damages and loss.

113. Mitigation works have had **positive impacts** on communities, including the way participation in the decision making and construction of these has increased social cohesion and consolidation and consciousness of causes. Moreover, some works are used beyond the immediate needs associated with disaster - bridges for example, in linking and integrating communities. Investment in DP infrastructure has had a great impact in communities. Low-cost bridges that serve as vital emergency evacuation routes have had an impact on improving living conditions. In Honduras access to markets and schools improved

114. There are very clear examples of DIPECHO projects **developing state of the art** knowledge, strategy and schemes that have transcended the region. This is the case of the early warning schemes developed by GTZ in a DIPECHO I project in all the countries of the region. However, the **level and range of replicable experiences** generated due to innovations or methodological developments undertaken in DIPECHO projects is **still a grey area**.

115. There is some lack of clarity as to what should be expected in terms of **outputs and outcomes** within DIPECHO's programme as these are not clearly linked to the development of indicators, benchmarks and timeframes within the Hyogo Framework for Action. Indicators used were generally SMART and verifiable but partners found the identification of **impact or outcome indicators** for DRR challenging to develop. Some partners are weak in impact monitoring due to the absence of baseline information from the beginning of projects and also due to the short-term nature of funding. Ideally, information should be provided before and after project intervention.

## Recommendations

116. With a programme that is able to finance a relatively limited number of projects every two years, consideration should be given to how representative project interventions are in terms of **the "typology" of risk** in the region and as how to increase this representativity. Thought - without affecting funding levels - should be given to the option of having one Latin American DIPECHO programme that also includes the Dominican Republic, Cuba and Belize that is organised according to risk typologies and in which cross national comparison and implementation are achieved. At present DIPECHO projects are repetitive as regards hazard types and DP interventions.<sup>17</sup> [Strategic]

117. Regional projects that intend to systematise good practice should take into close consideration applications in differing types of risk area. Such projects should be promoted on a multi-regional level (throughout LA), where cross national comparison can be made of strategies and mechanisms used in similar types of risk zone (for example, multi-ethnic and lingual communities in lowland areas; dispersed subsistence rural areas; rapidly growing urban settlements due to in migration.) [Strategic]

118. Measures should be taken to promote a more inclusive view of DP, maintaining the current priorities as regards the saving of human life, but widening interests and training in order to consider protection of livelihoods and preparation for rehabilitation and reconstruction. This could be associated with pre-project workshops for coordinators where new and up to date visions are provided and discussed. [Operational]

119. Although there are many arguments in favour of carrying on with mitigation work when these are infrastructure based, the investment should be put into DP assistance infrastructure such as escape routes

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<sup>17</sup> For example, promote two or three projects in up to three countries that test strategies and mechanisms in multi-lingual, multi-ethnic communities in the Andes and Guatemalan highlands; promote interventions in the lowlands of Ecuador, Honduras and Costa Rica where commercial agriculture employs highly poor and vulnerable persons working and living under extreme conditions; DP work in marginal urban communities of Bolivia, Colombia, Guatemala and Honduras where these are typified by high rates of immigration and occupation of urban slopes.

and multi-purpose shelters. If mitigation is to be carried on then this should also focus on actions that do not necessarily involve building such as environmental management schemes.[Operational]

120. Test and further develop impact indicators such as those developed in the Andean countries under the last DIPECHO plan. [Operational]. Develop a realistic set of **impact indicators** for various DRR interventions<sup>18</sup> and support partners through training in monitoring. [Operational]

121. DIPECHO interventions would gain in efficiency if they were to address lack of information and the insufficient regional institutional memory of DP interventions. The provision for baseline studies in DIPECHO V projects will facilitate future evaluation of impacts. Consideration should be given to **categorising levels of community resilience**<sup>19</sup> before and after DIPECHO interventions. [Operational]

**Levels of Community Resilience - Characteristics of a Disaster Resilient Community:**

Level 1. Little awareness of the issue(s) or motivation to address them. Actions limited to crisis response.
Level 2. Awareness of the issue(s) and willingness to address them. Capacity to act (knowledge and skills, human, material and other resources) remains limited. Interventions tend to be one-off, piecemeal and short-term.
Level 3. Development and implementation of solutions. Capacity to act is improved and substantial. Interventions are more numerous and long-term.
Level 4. Coherence and integration. Interventions are extensive, covering all main aspects of the problem, and they are linked within a coherent long-term strategy.
Level 5. A “culture of safety” exists among all stakeholders, where DRR is embedded in all relevant policy, planning, practice, attitudes and behaviour.

122. Improved linkages between pilot activities and **local government planning** processes are an option for scaling up. The EU can suggest introducing DRR indicators in budget support.[Operational]

123. In line with GHD efforts, a strategy directed by DG ECHO in Brussels for **knowledge management** and **dissemination** to ensure that learning and case studies are captured and disseminated more widely. There is a need for using material to advocate for the adoption and institutionalisation of a community based approach and to mainstreaming DRR. [Strategic]

**7.7. Sustainability**

124. Sustainability is a constant problem in Central America. Stakeholders also view the 15-month time period for DIPECHO projects as a major constraint for achieving sustainability.

125. Sustainability remains a problem despite partner effectiveness in developing a sense of community ownership for DP and providing appropriate technology that is not difficult to manage and maintain. In most cases institutional sustainability, political change and migration create the greatest problems when the project terminates. These factors affect all programmes in Central America.

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<sup>18</sup> Impact indicators for DRR were developed in 2006/07 by John Twigg for BOND/DFID DRR group of agencies and there are others available from UN ISDR, UNDP, etc.

<sup>19</sup> John Twigg for the DFID Disaster Risk Reduction Interagency Coordination Group, “A Guidance Note, Characteristics of A Disaster Resilient Community”, Version 1, June 2007.

126. In a significant number of cases **full operating capabilities are eroded** after projects finished. The **communication systems** put in place tend to offer the greatest levels of sustainability. Where acceptable levels of sustainability have been seen this is associated with the **density of diverse sorts of support** received prior to and following the intervention. Migration and change of authorities and civil servants affect sustainability. Sustainability is less of a problem in those areas where partners continue to be active and monitor the situation. When partners are funded within the same country with DIPECHO projects covering different areas, the opportunity for follow-up and monitoring exists and is usually pursued.

127. A key to successful project implementation is having the **support of local government** at the municipal and district levels. Some more successful projects have managed to encourage municipalities to incorporate budgetary allocations in their annual plans for maintenance and support. However, local government changes every four years and many times interest wanes as new financial responsibilities are assumed.

## **Recommendations**

128. Project schemes that can be feasibly undertaken within the given timeframe and options for linking into longer-term development-based initiatives in intervention zones, including the opportunity for continuity of DIPECHO projects in the same area over more than one Plan period should be foreseen. [Operational]

129. Partners should establish clear and normative working relations with development projects in their area of action or, in the case of development-based organisations, promote integration with their own projects. Focus, when feasible, on including other more stable stakeholders in projects such as teachers and, in many communities targeted through DIPECHO interventions, women. Provide instruction on LRRD and other more wide-reaching DRR issues of relevance to DP initiatives to potential partners and to DG ECHO and EC staff in the regions. [Operational]

130. Specific attention should be paid to existing municipal plans and projects foreseen so as to introduce means for continuity and mainstream DRR in local development plans. Training of trainers programmes should be envisaged and a role provided for previously targeted communities to share learning with new DIPECHO interventions. [Operational]

131. Equipment foreseen for DP should become the property of the community response teams as opposed to municipal authorities. Means for partners to loosely monitor past project interventions (stakeholder compliance with established agreements) and refresh training should be envisaged in future Action Plans. [Operational]

## **7.8. Linking Relief, Rehabilitation and Development**

132. A majority of DG ECHO partners in Central America are involved in emergency response. DG ECHO's effort to mainstream DRR in response creates momentum for linking emergency response to disaster recovery and rehabilitation. Organisations made progress in taking up the LRRD approach and there has been a natural progression from relief response to long-term support to communities.

133. DIPECHO has created a growing awareness of the importance of this approach, although more needs to be done in practical terms to put it into practice, both by DIPECHO and other EC funding instruments. LRRD required flexibility and purposive identification of means which are still lacking. The shorter-term nature of DG ECHO funding, specifically for emergency responses, limits the ability to establish greater links with other longer-term development programmes.

## **Recommendations**

134. Training within the EC at the delegation level and of government personnel on DRR is necessary for linking and mainstreaming and DRR integration. [Operational]

135. There is an opportunity to develop DRR indicators to monitor government progress in budget support, specifically in Nicaragua in the aftermath of Hurricane Felix and where the EC provides most of its aid in the form of budget support. In addition, on the tenth anniversary of Hurricane Mitch, there will be a new opportunity for greater governmental interest in the field of DRR. [Strategic]

## **7.9. Cross-cutting Issues**

136. In general partners have sought to include too many components within their projects within a limited time period. Only a selected number of partners have in addition considered fully integrating cross-cutting issues within their projects. Attention to cross-cutting issues further anchors DIPECHO within DG ECHO's humanitarian mandate and vulnerability focus, however. Where structural constraints in a society result in exclusion from decision-making or economic security, risks are unevenly spread. **Inclusive and consultative processes are needed that engage those most at risk.** Often those most at risk are the least included in economic and political life. This will include women, children and the elderly.

### ***Women***

137. Gender influences the types of hazard to which an individual is exposed and an individual's access to resources with which to build resilience to hazard and to recover from disaster. The continued exclusion of women from all levels of political decision-making is one of the greatest lost opportunities for human development and disaster risk management. Long-term cross-cutting goals for development and disaster risk reduction encourage a self-analysis on the social structures within which women and girls live their lives. Enabling a greater voice for the views of women will allow women to identify priorities. Highlighting gender in development and disaster risk to enable women to address disaster risk reduction raises a broader issue of inclusiveness in decision-making.

### ***Children***

138. Children are at greater risk of being affected, injured or killed by disaster impacts than adults. Loss of livelihoods can lead to extreme poverty and homelessness for children. DIPECHO, through the AP IV Plan International in El Salvador and UNICEF/UNISDR project, has been directly focussing on children and DRR. Other DIPECHO projects include specifically targeting schools and the Ministry of Education (NL Red Cross in Guatemala).

### ***Environment***

139. Soil degradation, biodiversity loss, over-fishing, deforestation and drinking water scarcity undermine rural livelihoods and pave the way for vulnerability to environmental hazard. In cities, pollution of waterways and the air and inadequate provision of drinking water, sanitation or solid waste management systems shape patterns of illness that erode resistance to everyday hazards. Many measures can be taken at the community level to improve sanitation. Risk accumulation that ends in disaster is often closely tied to problems of environmental sustainability. Strategies to enhance environmental sustainability will make a contribution to breaking this chain of risk accumulation.

140. In general, there was limited incorporation of cross-cutting issues in the projects reviewed due to several factors: limited time, excessive numbers of components and activities foreseen within a project, uncertainty of continued funding, organisational mandates, lack of partner expertise and knowledge of community vulnerability criteria. There have been some efforts on the part of the DG ECHO Regional Office to heighten awareness on specific issues such as gender, the physically challenged, children and ethnic minorities.

141. Many projects address the themes of education and school children to such an extent that UNICEF is working with these projects through its safer school practice DIPECHO project. Gender relations and the promotion of gender equality have been more unevenly addressed.

## Recommendations

142. Further **indicators** to measure the success and impact of projects **in terms of outcomes** in cross-cutting issues should be included. [Operational]

143. Assessments as foreseen in the Single Form should consider groups that have specific needs and draw attention to them if necessary. [Operational]

144. Defining interventions by type, including references to cultural specificities, may help strengthen mainstreaming of cross-cutting issues. This is already done by partners working in multi-cultural areas. Partners hire field staff that speak indigenous languages and training materials are adapted to local cultural contexts, translated into local languages, etc. [Operational].

### 7.10. Advocacy

145. DIPECHO has increased the awareness of other EC directorates and bi-lateral donors with regard to wider integration of DP/DRR into their policy, planning and programme activities. There is a growing realisation that DRR should be a higher priority in the region.

## Recommendations

146. The area of documentation, diffusion, historical memory, information access and use is under-worked and under-prioritised and requires more consideration - from web-based services, through online and on site documentation services and other mechanisms. [Operational]

### 7.11. Implementation strategy for future DIPECHO activities and relations with overall DRR and LRRD

## Recommendations

147. Further advocacy of the integration of DRR into other EU external assistance services, strengthening of inter-service cooperation in DRR should be intensified at key moments of the Country Assistance Strategy process. [Strategic]

148. A dedicated **DRR focal person within the EC** delegations is a pragmatic way to undertake advocacy (within the EC and to EU Members States) and increase the likelihood of linkages to other EC instruments with project partners. It was suggested by the regional delegation that projects be circulated to DIPECHO for their review for the purpose of mainstreaming. [Operational]

149. Capacity building should focus on empowering the community to respond on its own. The **community should be considered the key resource in disaster risk management and the key actor** as well as the primary beneficiary of disaster risk management process. In a number of limited cases, when the system does not function, the impact can be negative. In Guatemala, in many areas affected by Hurricane Stan, there is a lack of credibility in CONRED. DIPECHO projects can empower communities to know how systems should function in practice while also enabling them to rely on themselves if necessary. Communities should not necessarily depend primarily on a central response. [Strategic]

150. There is a **need for greater clarity** as to what should be expected **in terms of outputs and outcomes**, and this should be linked to the development of indicators, benchmarks and timeframes within the Hyogo Framework for Action. DFID's Conflict and Humanitarian Fund has funded agencies to work on DRR initiatives. A common set of "characteristics of a disaster-resilient community" that can be used by local partner organisations to demonstrate the impact of community DRR projects has been developed in 2007. Opportunities exist for DIPECHO and its partners to either trial and pilot this simple categorisation or develop its own common approach to monitoring and evaluation as a means of measuring

progress in DRR. Indicators are being discussed in the context of the DIPECHO in the Andean region. The evaluators drew up “Characteristics of a Disaster-Resilient Community”: a guidance note for government and civil society organisations working on DRR initiatives at community level with DIPECHO partners.<sup>20</sup> It is worth noting, as mentioned earlier in this report, that the concept of resilience in Latin America is not integrated into practice and has the great disadvantage of making DRR difficult to understand. [Strategic]

151. In the process of prioritising geographic locations for DIPECHO interventions, consideration should be given to developing **criteria for community selection** and for categorising and defining different types of interventions. While DIPECHO projects usually target a community for a 15-month period, it may be that the level of resilience and disaster preparedness of the community is so low to begin with that its characteristics would eventually require DG ECHO to consider repeating an intervention in the project area. This is in fact what has been done under the fourth and fifth Action Plans by the Spanish Red Cross in the RAAS in Bluefields and El Rama, along with the Guatemalan Highlands with ACH. A similar course of action could be considered in communities such as those targeted by GVC in Sandy Bay, even if they had not suffered from hazards during project implementation. This has been foreseen in the Call For Proposals which states “recognising that the process of raising risk awareness, risk identification, strengthening capacities, increasing resilience, installing sustainable planning and management systems etc. at community level is a process that can only be achieved over the long-term, DIPECHO will not ignore proposals for DP strategies that are *multi-phased in nature* (ie. can entail a series of phases financed over  $\geq 1$  action plan)”. A typology of communities and criteria for community selection would add clarity to this process and enable DIPECHO to gather further information on its impact. [Operational]

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<sup>20</sup> The first edition of the guidance note, published in October 2007, is a pilot version, which is now being tested in the field. It shows what a disaster-resilient community might consist of by setting out the many different elements of resilience. It provides ideas on how to progress towards resilience and can be used at different stages of project cycle management, particularly in planning and assessment, and monitoring and evaluation. It can also be linked to other tools used in DRR projects and research (eg. vulnerability and capacity analysis). The guidance note is designed to support processes of community mobilisation and partnership for DRR but the findings of reviews and assessments carried out using the note may also have some value in advocacy work at local and higher levels.



EUROPEAN COMMISSION

DIRECTORATE-GENERAL FOR HUMANITARIAN AID – ECHO

ECHO 01 – Evaluation Sector

### TERMS OF REFERENCE

#### For the evaluation of DIPECHO Action Plans<sup>21</sup> in CENTRAL AMERICA

Contract n°: ECHO/ADM/BUD/2007/01211

Name of consultant(s): **Mr Allan Lavell (UK), Ms Silvia Hidalgo (US & ES) and Ms Sandra Zúñiga (NI)**

Firm: **DARA - Development Assistance Research Associates**

#### Introduction

##### Context of the humanitarian crisis (political, natural, etc)

1. DIPECHO (Disaster Preparedness ECHO) is a programme set up by DG ECHO<sup>22</sup> to improve the capacities of communities at risk to better prepare for and protect themselves against natural disasters. Initially the DIPECHO programme focused on three regions: Central America, South East Asia (including Bangladesh) and the Caribbean. In 1998, the DIPECHO programme was expanded to include two further regions that are highly exposed to natural disasters, that is, South Asia and the Andean Community. In 2003 ECHO launched a global evaluation on Disaster Risk Reduction (DRR)<sup>23</sup>. Owing to their exposure to risks, to their economic and socio-cultural vulnerability and to the weakness of the existing local response capacities, Guatemala, El Salvador, Honduras and Nicaragua were classified as having a high level of risk. Certain regions of Costa Rica and Panama can also be included in this category.

2. Central America (CA) is particularly exposed to natural disasters such as volcanic eruptions, earthquakes, tsunamis and hurricanes; many risks are also associated with factors such as environmental deterioration or the unplanned occupation of land, which multiply the frequency and intensity of floods, landslides, droughts and forest fires. More than 10 million people have been affected by natural disasters since 1990 in this risk-prone region<sup>24</sup>.

3. Hydro-meteorological events have been predominant over the last 10 years and have been on the rise since 1996. These events are the cause of more than 93% of human lives lost over the period 1990-2006<sup>25</sup>. The same observation can be made concerning economic losses: over a longer period from 1970 to 2000, 70% of economic losses resulting from natural disasters are connected with hydro-meteorological phenomena<sup>26</sup>.

4. The Central American Region experiences several recurrent hazards each year and an important hurricane season lasts from June to November. In the UNDP's 2006 Human Development Index, the four Central America countries predominantly covered by the DIPECHO programme are ranked among the lowest of all Latin America countries: Nicaragua (112), Guatemala (118), Honduras (117) and El Salvador (101). Costa Rica and Panama are better placed in the ranking but similar situations can be found in certain regions as socio-economic disparities within the countries are extremely acute. From an economic point of view, the countries have still not managed to completely recover from successive large and small-scale disasters in the last 10 years (*El Niño* phenomenon in 1997-1998, Hurricane *Mitch* in 1998, earthquakes in El Salvador in 2001, drought in 2001-2002, Hurricane *Stan* in 2005).

5. The high-risk levels in Central America arise from the exposure to natural threats and the vulnerabilities connected with all types of factors: economic, social, cultural, environmental, etc. These vulnerabilities (and to a lesser extent the exposure to the threats) can be reduced by long-term risk reduction policies, closely linked with development instruments. High physical exposure and systemic weaknesses in the national and local government systems, the high percentages of affected arable land, fragility of rural livelihoods, environmental degradation, climate fluctuations, land re-allocation, low GDP per capita and rapid/unplanned urban growth found in the Central America region have all contributed to increased vulnerability, reduced capacity to mitigate loss and decreased resilience.

##### Humanitarian Situation

6. Despite the efforts made in the region, disasters have increased gradually while response capacity or preparedness have not followed at the same pace. Several interventions are developed from time to time at local level but remain very restricted. The level of local coping strategies/capacities is commonly very low, particularly at local level where many communities and local

<sup>21</sup> The term *Action Plan* refers here to an Intervention Plan in a specific region covering several countries and including a number of projects.

<sup>22</sup> European Commission Directorate-General for Humanitarian aid – DG ECHO.

<sup>23</sup> December 2003, Evaluation of DG ECHO's strategic orientation to disaster reduction available on DG ECHO's Web site: [http://ec.europa.eu/echo/pdf\\_files/evaluation/2003/disaster\\_report.pdf](http://ec.europa.eu/echo/pdf_files/evaluation/2003/disaster_report.pdf)

<sup>24</sup> CRED (Centre for Research on the Epidemiology of Disasters)

<sup>25</sup> CRED (Centre for Research on the Epidemiology of Disasters)

<sup>26</sup> CIESA (Centre of Economic and Environmental Studies)

institutions are woefully short of resources, are isolated, do not have access to basic services or proper infrastructure and do not have adequate preparedness skills.

7. Despite the large presence of donors, few of them give priority to disaster prevention through “directly” financing community based activities; more attention is paid to the ‘upper levels’ of responsibility embracing national priorities, leaving aside local vulnerabilities. Even with this ‘upper level’ attention there is still a lack of coordination and advocacy at national and regional levels.

8. The needs identified by DIPECHO in Central America in the field of preparedness and in particular in terms of intervention systems, early warning mechanisms, strengthening of capacities and pre-positioning of stocks arise from the certainty that response to disasters is a temporary action with high costs in human and economic terms, whereas the reduction of risks in the domain of natural disasters through preparedness activities can decrease the probability of losses thereby averting a tragedy. The risk can be reduced by any action aiming to reduce the intensity of the threat, to reduce vulnerability, or to improve the community capacity to respond in a situation of risk. Since 1998, DG ECHO has allocated around EUR 70 million for disaster related response throughout the region.

9. Considering the magnitude of damage caused by natural disasters in Central America and the emergency assistance which DG ECHO regularly provides, disaster preparedness is of paramount importance.

10. Since 1998, DG ECHO has allocated around EUR 20 million for disaster preparedness in Central America.

11. Populations are still vulnerable despite the provision of disaster preparedness programmes. Good practices are not yet fully identified and disseminated, especially at regional and national levels. Replication of successful initiatives is very limited and sustainability is a pending issue. National authorities and external development assistance have not paid sufficient attention to risk management issues at the local and national levels, thus hindering exit strategies for disaster preparedness programmes.

#### *DG ECHO's response: DIPECHO objectives and strategies in the region*

12. DG ECHO has sought to address these needs by implementing 5 Action Plans covering the region (the 5<sup>th</sup> Action Plan is currently being implemented, covering the period 1<sup>st</sup> December 2006 to 31<sup>st</sup> May 2008). In the formulation of national and regional strategies for the 4<sup>th</sup> Action Plan, DIPECHO CA developed the strategic dialogue methodology called the National Consultative Meetings which culminate in a Regional Consultative Meeting for CA. For the 5<sup>th</sup> Action Plan, this strategic dialogue methodology was also applied.<sup>27</sup> Following these exercises, DG ECHO was able to draw up a comprehensive regional and per country strategy with precise identification of needs according to areas and activities.

13. The DIPECHO programme aims at improving the state of preparedness through targeting the poorest and most vulnerable people in the case of a natural disaster. This will contribute to the reduction of the number of victims and material damage which could have a long-term effect on the development of these populations.

13. DG ECHO has assessed the needs in terms of preparedness in this region on several occasions and through different assessment tools. A regional diagnosis study was carried out in Central America in 1997, with a large number of site visits. On the basis of the strategic recommendations drawn up by this study, the first DIPECHO Action Plan was launched in 1998. Subsequent Action Plans have been re-assessed and priorities refined. Although no formal overall external evaluation has been carried out, the strategy initiated in the first Action Plan has been broadly evaluated and refined using various tools: the strategic dialogue methodology mentioned above, which includes dissemination of Lessons Learned and Best Practices; and the external evaluations that are carried out at individual project level.

14. Regional integration is considered to be a very relevant issue in Central America; therefore regional disaster preparedness projects have been common in the DIPECHO Action Plans in Central America.

15. In 2003, DG ECHO promoted a better definition and sharing of the risk reduction actions in the external services of the Commission (between Development –DG DEV- and External Relations – DG RELEX- and DG ECHO). As a result, DG ECHO focuses on preparedness activities in areas already affected by natural disasters or neglected by authorities, while the other external Commission services support programmes that are more efficiently implemented at national or regional levels, where appropriate disaster management institutions are involved or for activities that require a long term perspective. This new definition of roles brings out the dominant role of DG DEV/RELEX in the EC risk reduction strategy. DIPECHO is seen as an additional and complementary strategy addressed to high risk areas, orientated more towards working at community level. However, a gap still exists at local (municipal and community) level, since neither the national authorities nor external development assistance have provided sufficient support to risk management strategies that would allow a progressive phase-out of disaster preparedness programmes at the local level.

#### *Brief description of the different DIPECHO Action Plans*

15. DIPECHO is a worldwide programme initiated by DG ECHO in 1996 to fund natural disaster preparedness, initially in three particularly high-risk regions.

16. At the end of 1997 a diagnostic study was carried out in Central America to identify the risks, evaluate the socio-economic vulnerability of communities and the risk for properties, and to determine the local, national and regional emergency response

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<sup>27</sup> The conclusions and recommendations of this process were published in the ‘Instructions and Guidelines for DG ECHO potential partners wishing to submit proposals under the Fifth DIPECHO Action Plan in Central America’. [http://ec.europa.eu/echo/whatsnew/calls\\_en.htm#5c\\_america](http://ec.europa.eu/echo/whatsnew/calls_en.htm#5c_america)

capacity and the external support present in the Central American region. In 1998, based on the recommendations and conclusions of this diagnostic study, DG ECHO launched a **First DIPECHO Action Plan** for Central America, which included six projects for a total amount of €2.1 million.

17. In 2000 a **Second DIPECHO Action Plan** was launched for Central America with 10 projects and for a total amount of €3.5 million.

18. The **Third DIPECHO Action Plan** for Central America was launched in 2002 for an amount of €3.1 million, and included 12 projects aiming at reducing the risk through the level of preparedness of the vulnerable population in the areas most exposed to recurrent natural hazards.

19. The **Fourth DIPECHO Action Plan** was launched in 2004, for a total amount of €6 million with 18 projects. Projects targeted the most vulnerable communities and categories of population using bottom-up participatory methods and relevant local materials/resources that can be easily replicated. The selected projects focused on the regions most exposed to natural hazards and, generally, with difficult access. A distinctive feature of the DIPECHO-IV Action Plan was the organisation of a national and regional consultative process to define the priorities of the next action plan, in terms of geographical areas, hazards and intervention sectors (also mentioned in section 12 above). Over 400 experts from governmental institutions, Red Cross national societies, local and international NGOs, UN agencies, donors, etc, participated in this consultative process. Their recommendations were the basis for the Call for Proposals for the Fifth DIPECHO Action Plan. The interest aroused by this consultative process was overwhelming: DG ECHO received 40 proposals amounting to over €15 million, for a total available of €6 million.

20. The **Fifth DIPECHO Action Plan** was launched in 2006, for a total amount of €6 million with 18 projects. The specific objectives of this action plan were:

- to reinforce the coping capacity at local level integrating and co-ordinating activities at local, sub-national, national and regional levels and contributing to the identification of best practices and standardisation of preparedness programmes through the implementation of pilot activities of a demonstrative nature; and
- to contribute to the compilation of disaster risk indicators, dissemination of lessons learned on disaster preparedness and to the exchange of experiences at national and regional levels in cooperation with national disaster preparedness and prevention systems and CEPREDENAC, respectively.

DIPECHO-V Action Plan shared with the previous plans a regional approach towards risk reduction. Four countries were prioritised: Nicaragua, Honduras, Guatemala and El Salvador. Costa Rica and Panama were also covered through regional projects.

21. A national and regional consultative process similar to that organised in the previous action plan was carried out for DIPECHO-V. A similar response was received (43 proposals amounting to over €15 million).

#### **Justification and timing of the evaluation:**

22. Although the national and regional consultative processes organised for the last two action plans are good opportunities to better define DIPECHO strategy for CA, after five consecutive plans in the region, it is of great importance to analyse the pertinence of the orientation as well as the impact of the programme in the region, taking into account not only the activities of other Commission services, but also those of the other stakeholders involved in the disaster reduction field.

23. Furthermore as additional DG ECHO country programmes in CA region begin the phase-out of humanitarian intervention (Guatemala, El Salvador), increasingly DIPECHO remains the only programmatic presence of DG ECHO in many contexts.

24. A review of DIPECHO CA's impact and strategy thus far is therefore opportune as it launches the 6<sup>th</sup> Action Plan for CA. This evaluation will contribute substantially to informing the evolution of existing disaster risk management strategies supported by DIPECHO in the region, as well as encouraging the development of more coherent and pertinent programme strategies in future Action Plans.

25. After five DIPECHO Action Plans in CA, one of the longest periods in which a DIPECHO strategy has been tried and tested anywhere globally, an evaluation of its actions and impact will contribute substantially to deliberations on DG ECHO's overall approach to disaster preparedness and risk management.

#### **Purposes of the evaluation**

Article 18 of Regulation (EC) 1257/96 concerning humanitarian aid states that: *"(t)he Commission shall regularly assess humanitarian aid operations financed by the Community in order to establish whether they have achieved their objectives and to produce guidelines for improving the effectiveness of subsequent operations"*.<sup>26</sup> Furthermore, Article 7, states:

*"When determining a non-governmental organization's suitability for Community funding, account shall be taken of the following factors:*

- a) its administrative and financial management capacities;*
- b) its technical and logistical capacity in relation to the planned operation;*
- c) its experience in the field of humanitarian aid;*
- d) the results of previous operations carried out by the organization concerned, and in particular those financed by the Community;*
- e) its readiness to take part, if need be, in the coordination system set up for a humanitarian operation;*
- f) its ability and readiness to work with humanitarian agencies and the basic communities in the third countries concerned;*

- g) *its impartiality in the implementation of humanitarian aid;*  
h) *where appropriate, its previous experience in the third country involved in the humanitarian operation concerned.”*

### **Global objective**

The purpose of this exercise is to review and assess the progress made in enhancing resilience and reducing vulnerability to natural disaster of the most at-risk populations of Central America and the public institutions that seek to protect them. The evaluation will include the measurement of the impact of DIPECHO projects in terms of how well preparedness helped the population when they were afterwards affected by a natural disaster.

### **Specific objectives**

26. To have an independent, structured evaluation of past (and current) DIPECHO action plans for Central America and in particular to evaluate:

- a. the **pertinence and coherence** of regional and national DIPECHO strategies for disaster risk reduction and risk management at all levels during all Action Plans in CA since 1998;
- b. the **appropriateness and effectiveness** of individual programme strategies and the actions contained therein in addressing the needs, vulnerabilities and coping capacity constraints of target populations / institutions;
- c. the **complementarity and synergy** of national DIPECHO programme strategies with other disaster risk reduction initiatives planned or ongoing be they developed, endorsed or supported by national governments, EC cooperation instruments or other external development assistance;
- d. the **impact** of DIPECHO CA's actions since 1998 in enhancing the resilience of at-risk populations and relevant institutions in target countries and thereby reducing their vulnerability to natural disaster, including how well preparedness helped the population when they were afterwards affected by a disaster; and
- e. improved strategies for **greater effectiveness** of the DIPECHO instrument in achieving its primary goals and objectives and ensuring **maximum replicability, sustainability and impact**.

### **Countries**

1. Operations supported under the DIPECHO programme in the Central American region have taken place in the following countries – Guatemala, El Salvador, Honduras, Nicaragua, Costa Rica and Panama as well as including operations of a regional nature. The evaluation will assess the pertinence of a regional approach towards disaster preparedness in Central America, allowing country prioritisation on the basis of vulnerabilities and coping capacities, but without excluding any country in particular from the action plan.

### **Desired results**

2. The evaluation should contain analysis, conclusions and recommendations about DIPECHO and DG ECHO's approach to disaster risk reduction, and particularly community-based disaster risk management, as well as commenting on those of other services of the European Commission.
3. It will review the achievements of 5 DIPECHO Action Plans in the CA region and critically appraise lessons learned from past strategic approaches.
4. The evaluation will be undertaken applying the pre-requisite analytical perspectives below:
  - Regional and national strategy;
  - Operational modus operandi; and
  - Impact, both strategic and programmatic.
5. All analyses and recommendations are to be undertaken and formulated with knowledge of, and contribution to, the implementation of the Hyogo Framework for Action 2005–2015 at national and regional levels.
6. The desired outputs of the evaluation will be both analytical and advisory.

### *Analysis:*

- 6.1. To assess the **pertinence and coherence** of DG ECHO's strategic orientation and intervention logic with respect to natural hazards, vulnerabilities and coping capacities encountered at the various levels of intervention for the period 1998 to date, in regional, national and local contexts.
- 6.2. To evaluate the **effectiveness** of programme strategies and related actions of DIPECHO partners in enhancing the resilience and reducing the vulnerability of at-risk populations to natural hazards – including an analysis of its **appropriateness** to the local context and operational environment.
- 6.3. To analyse the strategic and programmatic **complementarity** and **synergy** of DIPECHO CA action plans with (ongoing or planned) actions developed, endorsed and/or supported by national governments, EC cooperation instruments or other external development assistance, taking into account DG ECHO's mandate.

- 6.3.1. **Co-ordination** between DG ECHO and other stakeholders shall also be assessed at regional, national and local levels. Consideration must be given to the relationship, if any, between the DIPECHO programme and EC objective to link relief to rehabilitation and development (LRRD)<sup>28</sup>.
- 6.3.2. The evaluation should analyse the different approaches and responses delivered by the **NGOs, IFRC/European Red Cross Societies and IOs**.
- 6.3.3. As on the national/local level the **National Red Cross Societies** play a significant role and are a major partner for the other stakeholders in implementation, in each country to be visited the role of the National Red Cross Society shall be studied. This also applies to **National emergency response institutions** (e.g. Civil Defence or its equivalent) and to **National hazard monitoring agencies** (e.g. INETER in Nicaragua, SNET in El Salvador, etc).
- 6.4. To examine the **impact** of 5 successive DIPECHO CA Action Plans in reducing vulnerabilities, enhancing the capacity to cope and boosting the resilience of targeted populations at risk, national institutions and the wider disaster risk reduction stakeholder community to recurrent natural hazards in the Central American region.
- 6.5. To assess the degree to which DIPECHO has been able to successfully **disseminate** and **replicate its best practices** in both an intra-national and intra-regional manner in Central America.
- 6.6. To evaluate the **sustainability** of DIPECHO projects' results after hand over. In particular, the evaluator is expected to assess whether national authorities, EC cooperation instruments and other external development assistance have systematically provided support to beneficiaries for a DIPECHO exit strategy in each one of the target areas where DIPECHO projects have been implemented.
- 27.1. To assess whether long-term development instruments (including those of the EC) on disaster reduction in the region have developed sufficient momentum (especially at the local level) to allow DIPECHO programme's phase down.
- 27.2. To assess whether and how DIPECHO can have an impact on the formulation and implementation of disaster reduction activities (including those of the EC) in the foreseeable future.
- 6.7. To evaluate the **feasibility** of developing a formal role for DIPECHO / DG ECHO in **advocating** for the wider integration of disaster risk reduction / risk management in policy, planning and programming activities of the European Commission, bi- / multi-lateral financing institutions and national governments.

*Advisory:*

- 6.8. To identify and recommend the means by which DIPECHO/DG ECHO can most practically operate to ensure maximum **impact** and **sustainability** of supported actions and strategies at the local, national and regional level. Relevant, practical and feasible recommendations applicable to the following will be required:
- 6.8.1. the **DIPECHO funding instrument**;
- 6.8.2. the strategic formulation process for **DIPECHO CA** at both regional, national and local levels;
- 6.8.3. the programme strategies and operational methodologies of **DIPECHO CA's partners**, particularly at national, sub-national and local levels (including comment on the merits and disbenefits of the use of local implementing partners / sub-contractors).
- 6.9. To propose specific and innovative recommendations to DG ECHO, DIPECHO partners, local, national and regional authorities for **dissemination** and **replication** of best practices.
- 6.10. To produce recommendations for the strengthening of strategic and programmatic **linkages** with other relevant instruments of the European Commission, as well as other bi-/multi-lateral financing institutions, and national governments.
- 6.11. Specific practical recommendations concerning technical assistance to, and enhanced advocacy for, the rapid and effective **integration** of disaster risk reduction/risk management<sup>29</sup> in the policy, strategic planning and programming of DG ECHO in the CA region, will be required.
7. Wherever relevant, the evaluators will assess the LRRD objective and how the following cross-cutting issues, which may be relevant for the study, have been taken into account:
- Children;
  - Effects on the environment;
  - Gender, in particular women's involvement, consultation and participation in projects;
  - Handicapped;
  - Community networks in the implementation of projects;

<sup>28</sup> When preparing the report, the evaluators are required to compare the Maastricht Treaty's definition of the 3Cs (coherence, complementarity and co-ordination) with the 1999 OECD-DAC / ALNAP definitions.

<sup>29</sup> DG ECHO refers to this as disaster preparedness (and mitigation). Other services of the European Commission will additionally refer to this as disaster prevention.

- Participation.

8. It is suggested that the evaluators visit the four priority countries in the region: Guatemala, El Salvador, Honduras and Nicaragua. At the same time it is imperative to have contacts in Managua (Nicaragua) with the DIPECHO T/A and the EC Regional Delegation, and regional organisations such as CEPREDENAC (based in Guatemala City), CRID (based in San Jose; Costa Rica), and regional offices of IFRC, UNDP, PAHO, OCHA, UNICEF and ISDR (based in Panama City). Ongoing as well as completed projects should be visited.

## ANNEX 2 Terminologies Used

The following are the basic terms of disaster risk reduction used by DG ECHO and other services of the European Commission (a list of terms as used by the authors of this evaluation is presented later).

**Capacity (Capability)** - A combination of all the resources and knowledge available within a community, society or organisation that can reduce the level of risk, or the effects of a disaster. Capacity may include physical, institutional, intellectual, political, social, economic, and technological means, as well as individual or collective attributes such as leadership, coordination and management.

**Coping capacity** - The level of resources and the manner in which people or organisations use these resources and abilities to face adverse consequences of a disaster. In general, this involves managing resources, both in normal times, as well as during adverse conditions. The strengthening of coping capacities usually builds resilience to withstand the effects of natural and other hazards.

**Disaster** - A serious disruption of the functioning of a community or a society causing widespread human, material, economic and/or environmental losses which exceed the ability of the affected community or society to cope using its own level of resources. Although disasters are generally categorised as natural or man-made, recent understanding of these events show that most “natural disasters” are also caused by human interactions with environment and nature, thus they are not purely “natural”. The term “natural disasters” however, is commonly used to refer to events that are triggered by natural hazards. A disaster is a function of a risk process resulting from the combination of hazards, conditions of vulnerability and insufficient capacity or measures to reduce the potential negative consequences of risk.

**Disaster risk management** - The systematic management of administrative decisions, organisation, operational skills and abilities to implement policies, strategies and coping capacities of the society and communities to lessen the impact of natural hazards and related potential environmental hazards. This comprises all forms of activities, including structural and non-structural measures to avoid (prevention), to limit (mitigation and preparedness) adverse effects of hazards and/or to manage (emergency response) and recover from the consequences of the event.

**Disaster (risk) reduction** - The conceptual framework of elements considered capable of minimising or reducing disaster risks within a community or society, to avoid (prevention) or to limit (mitigation and preparedness) and to manage (emergency response) and recover from the adverse impacts of natural and man-made hazards, within the broad context of sustainable development. For simplicity, UNISDR uses the phrase “disaster reduction.”

**Early warning** - The provision of timely and effective information, through identified formal and informal institutions and communication networks, that allow individuals exposed to a hazard to take action to avoid or reduce their risk and prepare for effective response. Early warning systems include three primary elements (i) continuous monitoring and public information dissemination about the hazard/s, (ii) forecasting of the impending occurrence of hazard/s event/s, (ii) processing, formulation and dissemination of warnings to political authorities and population who should undertake appropriate and timely actions.

**Emergency management** - The organisation and management of resources and responsibilities for dealing with all aspects of emergencies, particularly preparedness, response and recovery. Emergency management involves plans, structures and arrangements established to engage the normal endeavours of government, voluntary, private agencies and local communities in a comprehensive and coordinated way to respond to the whole spectrum of emergency needs. Emergency management is also known as disaster management.

**Hazard** - A potentially damaging physical event, phenomenon and/or human activity, which may cause the loss of life or injury, property damage, social, economic disruption and environmental degradation. Hazards can include potential conditions that may represent future threats and can have different origins:

natural (geological, hydro-meteorological and biological) and/or induced by human processes (environmental degradation and technological hazards). Hazards can be single, sequential or combined in their origin and effects. Each hazard is characterised by its location, intensity, frequency, probability and its likely effects/impacts.

**Mitigation** - Structural (physical) and non-structural (non-physical) measures undertaken to protect and/or strengthen vulnerable elements to minimise the adverse impact of natural hazards, environmental degradation and technological hazards. Elements of important consideration include population, livelihood, settlements, and basic social, economic and institutional services at the primary level and development investments and environment at the secondary level.

**Preparedness** - Activities and measures taken in advance by people and organisations to ensure effective mobilisation of response to the potential impact of hazards, including the issuance of timely and effective early warnings, the temporary removal of people and property from a threatened location and support to indigenous coping capacity of the population at risk.

**Prevention** - Activities and/or physical measures to provide outright avoidance of the adverse impact of hazards or the means to control the hazards at their source whenever possible. Due to the unpredictability and magnitude of most natural hazards, prevention is either costly or impossible. However, most human induced hazards and other types with elements of human interaction with nature are oftentimes preventable.

**Recovery** - Traditionally, actions taken after a disaster with a view to restoring the living conditions of the stricken community and society to its normal and/or pre-disaster conditions. However, recovery (rehabilitation and reconstruction) is an opportunity to develop and apply disaster risk reduction measures by encouraging and facilitating necessary adjustments, based on lessons learnt and better planning and practices to reduce disaster risk.

**Relief / response** - The provision of assistance or intervention during or immediately after a disaster to meet the life preservation and basic subsistence needs of those affected. It can be of an immediate, short-term, or protracted duration. In the relief stage, change in people's perception and skills development leading to acceptance of and practice of disaster reduction can be achieved through participation in assessment, planning and implementation.

**Risk** - The probability of harmful consequences, or expected losses (deaths, injuries, property, livelihoods, economic activity disrupted or environment damaged) resulting from interactions between natural and/or human induced hazards and vulnerable conditions. Conventionally, risk is expressed by the formula  $\text{Risk} = \text{Hazards} \times \text{Vulnerability/Capacity}$ . It is important to consider the social contexts in which risks occur and that people therefore, do not necessarily share the same perceptions of risk and their underlying causes.

**Vulnerability** - A set of conditions and processes resulting from physical, social, cultural, political, economic, and environmental factors, which increase the susceptibility of a community to the impact of hazards.

**The following are the basic terms of risk management taken from Lavell, A. Local Risk Management: from Concept to Practice. CEPREDENAC-UNDP, 2004. These are the way terms are used in this evaluation report (some coincide with EU terminology, others do not, and still others are the product of deliberations on the part of the author and colleagues as concepts evolved and changed over the past ten years).**

**Anthropogenic or anthropic hazard** - A latent threat associated with economic production, commerce, transport, and consumption of goods and services and the construction and use of infrastructure and buildings. These comprise a wide range of threats including different types of water, air and land pollution, fires, explosions, spills of toxic substances, accidents in transport systems, the rupture of dams, building collapse, etc.

**Capacities** - A combination of community or organisational attributes and resources that may be positively directed towards risk management.

**Chain, serialised, concatenated or complex hazards** - Two or more dangerous physical phenomena occurring in chain reaction where one triggers the other, and so on. An example may be seen with the possibility of an earthquake rupturing dams and dykes, leading to flooding, causing fires and the rupture of pipelines carrying volatile substances or pollutants detonating landslides and bringing about severe modifications in the natural environment, all with direct and indirect negative repercussions on human beings and other species of fauna and flora.

**Coping capacity** - The means by which people or organisations use available resources and abilities to face adverse consequences that could lead to a disaster. In general, this involves managing resources, both in normal times, as well as during crises or adverse conditions. The strengthening of coping capacities usually builds resilience to withstand the effects of natural and human induced hazards.

**Corrective risk management** - A process aimed at reducing existing levels of risk within society. Examples of corrective management activities or instruments include the construction of dykes to protect population located in flood prone zones, the seismic retrofitting of buildings, changes in cropping patterns to adapt to adverse environmental conditions, reforestation or watershed recuperation to reduce existing processes of erosion, landslides and floods (see risk mitigation (reduction) below).

**Dangerous phenomenon (event)** - A natural, socio-natural (see definition below) or humanly generated phenomenon which may cause damage to society. It is the materialisation in time and space of a hazard. It is important to distinguish between a potential or latent phenomenon represented by the notion of hazard, and the phenomenon itself, once it occurs.

**Direct (economic) effects or impacts** - Effects or impacts that maintain a direct and immediate causal link with the occurrence of a physical phenomenon and which are usually represented in loss and damage to infrastructure, productive systems, goods, services and the environment (see direct and indirect human impacts below).

**Disaster** - A social crisis situation occurring when a physical phenomenon of natural, socio-natural or anthropogenic origin negatively impacts vulnerable populations and their livelihoods, production system infrastructure and historical heritage, causing intense, serious and widespread disruption of the normal functioning of the affected social unit. The impacts and effects can not be normally overcome with the resources autonomously available to the affected society. Impacts are expressed in different forms such as the loss of life, health problems, the destruction, loss or rendering useless of the totality or part of private or collective goods and severe impacts on the environment. These negative impacts require an immediate response from the authorities and from the population in order to attend to the affected and to re-establish acceptable thresholds of wellbeing and life opportunities.

**Disaster risk** - The probability of losses and damage which would exceed the autonomous coping and response capabilities of the affected areas and populations and lead to a serious disrupting of their routine functioning.

**Disaster risk management** - A complex social process through which disaster risk is measured and evaluated, understood, reduced or predicted and controlled. It should be considered a dimension of sustainable development plans and actions and recognise different levels of intervention. These range from the global, integral, sectorial and macro-territorial levels to the local, community and family levels. It also requires the existence of organisational and institutional structures which represent these levels and work as a coordinated and integrated whole.

**Disaster risk mitigation (reduction)** - Intervention measures aimed at reducing or decreasing existing risk. Mitigation assumes that the total elimination of existing risk is neither possible nor feasible. In other words, it is not possible to totally prevent or avoid all damage and loss. Thus, mitigation must be guided by notions of acceptable risk. Disaster risk mitigation may involve the reduction or elimination of existing primary risks (see definition below) or an acceptance of these and, through preparedness measures, including early warning and evacuation systems, seek to reduce losses and damage resulting from the occurrence of a dangerous phenomenon.

**Emergency** - A social crisis context directly related to the imminence or occurrence of a dangerous physical phenomenon and which requires an immediate response by state institutions, the media, civil society and the community in general. When the event is imminent, confusion, disorder, uncertainty and disorientation may exist among the population. The phase immediately after impact is characterised by the intense and serious disturbance of the normal functioning or operation of a community, zone or region and the minimum conditions necessary for the survival and functioning of the affected social unit are not satisfied. It is a phase or a component of disaster but is not a synonym for disaster, per se. While emergency conditions can exist without a disaster, all disasters experience an emergency phase or stage.

**Environmental degradation (deterioration)** - Processes induced by human actions and activities which damage the natural resource base or which adversely affect natural processes and ecosystems, thus reducing their quality and productivity. Potential effects are numerous and include the transformation of resources into socio-natural hazards. Environmental deterioration can be the cause of a loss in the ecosystems' capacity to recuperate following external impacts. This loss of recuperation capacity can, in turn, generate new hazards of a socio-natural type.

**Everyday or chronic risk** - A series of living conditions which characterise (although not exclusively) poverty, under-development and structural human insecurity and which restrict or endanger sustainable human development. Examples of this can be found in poor health conditions, low life expectancy, malnutrition, lack of employment and income, lack of access to potable water, social and family violence, drug addiction/substance abuse, alcoholism and overcrowding of residential areas and individual housing.

**Exposed elements** - Persons, resources, production, infrastructure, goods and services which may be directly affected by a physical phenomenon due to their location in its area of influence.

**Forecast** - Information regarding the probable future occurrence of a physical phenomenon and based on several factors: the study of the physical generating mechanism, the monitoring of the perturbing system and/or the registering of past events. A forecast can be short term, generally based on the interpretation of precursors of the dangerous phenomenon; medium term, based on statistical parameters indicative of the potential occurrence of the phenomenon; and long term, based on the determination of the maximum probable or credible event likely to occur within a determined period of time.

**Goods and services** - Tangibles and intangibles that have an economic value and provide benefits to those who possess them. Goods are susceptible to private or public appropriation, while services can only be consumed.

**Hazard** - A latent threat associated with the probable occurrence of a physical phenomenon of natural, socio-natural or anthropogenic origin that may be expected to have adverse effects on people, production, infrastructure, goods and services. Hazards are risk factors that are external to the exposed social elements and represent the probability that a phenomenon of determined intensity will occur at a specific location within a defined period of time.

**Hazard analysis or evaluation** - The process by which the possible occurrence, magnitude, location and temporality of a damaging physical event is ascertained.

**Human disaster impact** - Deceased, missing persons, injured or sick resulting from the direct or indirect impact of a physical phenomenon.

**Indirect (economic) effects or impacts** - Effects or impacts that maintain a causal relationship with direct effects or impacts (see definition above). Quantified indirect impacts are normally those which have adverse effects in social and economic terms, for example, loss of production opportunities and future income, increases in the levels of poverty, increases in transport costs due to the loss of roads and bridges, etc. However, there will be cases of positive impacts when seen from the perspective of those individuals and private enterprises that are able to benefit from the negative impacts on others.

**Life lines (networks)** - Basic or essential infrastructure. Energy: dams, substations, electric grid, fuel storage facilities, oil and gas pipelines. Transport: road networks, bridges, transport terminals, airports, river and coastal ports. Water: Treatment plants, water pipelines, sewage systems, irrigation and drainage canals. Communications: telephone networks and exchanges, radio and television stations, postal and public information offices.

**Local disaster risk management** - Respecting the logic and characteristics of Disaster Risk Management in general (see definition above), local management comprises a particular level of territorial intervention requiring full participation, appropriation and ownership by local stakeholders.

**Natural hazard** - A latent threat associated with the probable occurrence of a phenomenon of natural origin – for example, an earthquake, a volcanic eruption, a tsunami or a hurricane. The origins of such phenomenon may be found in the natural processes by which the Earth and the environment are transformed and changed. Natural hazards are often classified according to their origins in the biosphere, allowing the identification of geological, geomorphologic, climatologic, hydro-meteorological, oceanic and biotic threats, among others.

**Preparedness** - Measures used to organise and facilitate operations for the effective and opportune warning, rescue and rehabilitation of population and economy in case of disaster. Preparedness is undertaken through the organisation and planning of warnings, evacuation, search and rescue, help and assistance that are required during an emergency and should guarantee that the systems, procedures, and resources required to deal with an emergency or disaster are available in order to offer opportune help to the affected, using where possible, existing mechanisms (training, sensitisation, emergency plans, early warning systems). Preparation also involves activities that increase the options for the population to use local resources to deal with rehabilitation and recuperation (damage assessment, project formulation training, knowledge of construction techniques, etc.)

**Primary or structural risk** - Risk conditions which exist in society under normal conditions, the product of skewed development processes fuelled and re-shaped to some extent by the cumulative impacts of prior disaster triggering physical phenomena and economic and social crises.

**Prospective risk management** - A process by which future risk is foreseen and intervened or controlled. Prospective management should be seen as an integral component of development planning and the planning cycle of new projects, whether these are promoted by the government, the private sector or civil society. The final aim of this type of management is to avoid new risks, guarantee adequate levels of

sustainability of investments, and avoid having to take expensive corrective management measures in the future. (See risk prevention below.)

**Recuperation** - Process of re-establishing acceptable and sustainable living conditions through the rehabilitation, repair and reconstruction of destroyed, interrupted or deteriorated infrastructure, goods and services and the reactivation or promotion of economic and social development in affected areas.

**Resilience** - The capacity of an ecosystem, society or community to assimilate a negative impact and to recuperate once it has been affected by a dangerous physical phenomenon.

**Risk analysis** - A projection of the probable social, economic and environmental impacts of future physical phenomenon on particular social and economic groups, areas or territories. This is achieved through an analysis of the hazards and vulnerabilities of exposed social and economic units. Changes in one or more of these parameters modify the levels of risk, the total expected losses and the consequences for a given area.

**Risk continuum** - An expression of the dynamic and changing nature of risk within defined territorial, social and temporal circumstances (see primary risk above and secondary or derived risk below).

**Risk management plan** - A coherent and organised series of strategies, programmes and plans drawn up to guide risk reduction and control and recuperation in the case of disaster. By guaranteeing appropriate levels of security in the face of a variety of existing risks and by reducing material loss and the social consequences of disasters, the quality of life of the population is maintained and sustainability is increased.

**Risk prevention** - Anticipatory measures and actions which seek to avoid future risks. This means working with probable future hazards and vulnerabilities. Seen from this perspective, risk prevention is a facet of prospective risk management, while risk mitigation or reduction relates to corrective management. Given that total prevention is rarely possible, prevention has a semi-utopian connotation and should be seen in the light of considerations as regards socially determined acceptable risk levels.

**Risk reduction** - See risk mitigation above.

**Risk scenarios** - An analysis of the dimensions and types of risk that affect defined territories or social groups and presented in written, mapped or other graphic forms using quantitative and qualitative techniques and based on participatory methods. This implies a detailed analysis of hazards and vulnerabilities. Risk scenarios provide a basis for decision making on risk reduction, preparedness and control. Recent developments of the notion of risk scenarios include a parallel understanding of causal social processes and of the social actors that contribute to existing risk conditions. A risk scenario is the result of an integral risk analysis process.

**Secondary or derived risk** - Specific risk conditions that arise more or less abruptly with the impact of a dangerous physical phenomenon on society. Examples are the risk of illness and death, malnutrition and severe food insecurity, the lack of access to drinking water, rape and mistreatment of women and children in shelters. These risks are built on primary risk conditions and vulnerabilities that exist prior to impact, allowing us to refer to a disaster risk process or continuum. If secondary or derived risks are not adequately resolved through disaster response mechanisms, they will contribute in accumulative fashion to future primary risks.

**Social appropriation** - The process by which organisations and institutions that represent development and risk stake holders assume the challenges of management, guaranteeing continuity and sustainability.

**Social participation** - The process by which the subjects of development and risk take an active and decisive part in decision making and activities designed to improve their living conditions and reduce or prevent risk. Participation is the basis of empowerment and the development of social capital.

**Socio-natural hazard** - Latent threat associated with the probable occurrence of physical phenomena, the existence and intensity of which is related to processes of environmental deterioration or human intervention in natural ecosystems. Examples of these can be found in floods and landslides related to deforestation and the degradation or deterioration of watersheds; coastal erosion due to mangrove logging; urban flooding due to the lack of adequate fluvial drainage systems. Socio-natural hazards are generated at the interface between nature and human activity and are the product of a process by which natural resources are converted into hazards. The new hazards associated with Global Climate Change represent the most extreme example of socio-natural hazards.

**Sustainable development** - Natural, economic-social, cultural and institutional processes and changes that lead to an accumulative and durable increase in the quantity and quality of goods, services and resources, accompanied by social changes which tend to improve human security and quality of life. This must occur without excessive deterioration of the natural environment or a reduction in the possibilities for a similar level and type of development accessible to future generations.

**Vulnerability** - The propensity of human beings and their livelihoods to suffer damage and loss when impacted by external physical phenomenon. Distinct levels of human and livelihood vulnerability may be explained by the incidence of diverse processes and conditions relating, among others, to the presence of insecure buildings and infrastructure, limited economic resources and incomes, lack of social protection, insecure livelihoods, poverty, inadequate educational, organisational and institutional arrangements and underdeveloped social and political capital.

**Vulnerability evaluation** - The process by which the susceptibility and predisposition to damage or loss is determined when faced with the possible occurrence of a dangerous physical phenomenon. This also includes an analysis of the factors and contexts which can substantially impede or render difficult the subsequent recuperation, rehabilitation and reconstruction of the affected social unit using the resources autonomously available to it.

**Warning (early)** - An announcement or declaration, emitted by previously identified and responsible institutions, organisations and individuals, which allows for the provision of adequate, precise and effective information prior to the manifestation of a dangerous phenomenon. This allows emergency organisations or groups to activate pre-established security procedures and the population to take specific precautions. In addition to informing the population of the hazard, early warnings are declared with the objective of permitting the population and institutions to adopt specific actions when faced with imminent danger.

**ANNEX 3**

**DIPECHO Projects (1998-2006)**

	DIPECHO 1	DIPECHO 2	DIPECHO 3	DIPECHO 4	DIPECHO 5
COSTA RICA	Cartago. GTZ Multi-country		Municipalities of Dota, Tarrazu, Parrita, Paraiso, Turrialba, Siquirres, and Cañas. UNICEF		
	Guanacaste. FIRC Multi-country				
GUATEMALA	Dept. Retalhuleu. Municipality San Sebastián. GTZ Multi-country	Dept. Chiquimula, Municipality Jocotan. ACF-F	Dept. Chuquimula. Municipality Jocotan, Camotan and San Juan de la Emita. ACH-E	Dept. San Marcos, Municipalities Sibinal and Tecana. ACH-E	Dept. San Marcos, Municipalities Ocos, Ayutla, Pajapita, Tacana and Sibinal. ACH
	Depts. of San Marco and Quetzaltenango. FIRC Multi-country		Dept. Zacapa. Municipalities Gualan. Dept. Izabal Municipalities Puerto Barrios, Livingston, and El Estor. Dept. El Peten Municipality Poptun and San Luis. Spanish Red Cross	Dept. Huhuetenango, Quiche, Santa Rosa, and Jalapa. CEPREDENAC	Dept. Guatemala City, Municipalities Guatemala City and Chinautla. OXFAM
				Dept. Alta Verapaz. Municipalities Cobán and 30 Communitieases of Cuenca del Río Chixoy Red Cross	Dept. Suchltepequez, Municipality. Santo Domingo. CR-NL

	DIPECHO 1	DIPECHO 2	DIPECHO 3	DIPECHO 4	DIPECHO 5
EL SALVADOR	Depts./ Municipalities: San Vicente, Usulután. GTZ Multi-country	Dept. San Miguel. Municipality San Miguel. GM-E	Dept. Morazán: Lolotillo, Divisadero, Soledad, Jocoro, San Carlos, Delicias de Concepción, Meanguera, Yoloalquin, Coriento, Chilanga and Jocoaltique. Dpto. San Miguel: San Jorge, Tránsito, San Rafael de Oriente. Dept. Usulután: Eregualquín and Concepción. SI in conjunction with Geólogos del Mundo.	Dept. La Paz, Municipalities Guadalupe, El Rosario, San Pedro Masahuat, San Amegdio, San Luis Talpa, and San Antonio Masahuat. CARE-F	Dept. San Salvador, Municipalities Mejicanos and District V.OXFAM
	Depts. of Santa Ana, Ahuachapan, and Sonsonate.FIRC Multi-country	Dept. Morazán (10 municip.). APS-I	Dept. La Unión: Intipuca, El carmen, Conchagua, Unión. Dpto. San Miguel: San Miguel. CRE	Dept. Chalatenango, Municipalities La Laguna, El Carrizal, Comolapa, Ojos de Agua. Plan Inte-UK	Dept. Usulután, Municipalities Santa Maria, Ereguayaquin, San Dionisio, Usulután and Concepción Batres. CARE
	Dept. Ocotepeque. APS Bi National		Dept. La Unión, Pasaquina CARE-F Trinational Project		
					Dept. Ahuachapan, Municipalities San Francisco Menendez, Jujutla, Guaymando, San Pedro Putxla. OIKOS
					Dept. La Paz, Municipalities San Luis, La Herradura. CR-E
HONDURAS	Dept. Atlántida Municipalities Masica and Arizona. GTZ Multi-country	Dept. Cortéz, Municipalities Ornoas and Puerto Cortes. NFI	Dept. Colón: Santa Rosa de Aguán, Tocoa and Trujillo. TROCAIRE	Dept. Gracias a Dios. Municipalities Pto. Lempira and Villena Morales. ALISEI-I	Dept. Yoro. Municipalities El Negrito and Progreso. TROCAIRE
	Dept. Cortéz, Yoro and Santa Bárbara. FIRC regional	Dept. Colón. Municipality Tocoa. COOPI	Dept. Choluteca, Choluteca; Dept. Valle, Nacaome CARE-F Trinational Project	Dept. Gracias a Dios. Municipalities Wampusirpi, Ahuas, Brus Laguna y Juan F. Balnes. CISP-I	Dept. Tegucigalpa. Urban District Quebrada El Sapo. CRI

	DIPECHO 1	DIPECHO 2	DIPECHO 3	DIPECHO 4	DIPECHO 5
	Dept. Morazán. APS Binational	Dept. Cortes, Municipality Potrerillo. OXFAM-GB		Dept. Yoro. Municipalities Morazán and Victoria. GOAL-I	Dept. Colón, Gracias a Dios, Municipalities Iriona, Tocoa and Bonito Oriental. DCA
				Dept. Colón and Olancho, Municipalities Mangulile, Yocon, Sonaguera, Tocoa, Bonito Oriental, Sta. Rosa de Aguan. TROCAIRE-I	Dept. Tegucigalpa. Municipalities Tegucigalpa and Comayagua. CARE
					Dept. Gracias a Dios. Municipalities Pto. Lempira, Villena Morales. GOAL-I
NICARAGUA	Depts. of Chinandega and Masaya, Municipalities of Corinto and Omotepe Island. GTZ Multi-country.	Dept. Chinandega, Municipalities of Somotillo, Santo Tomas, San Pedro, Cinco Pinos, San Francisco del Norte, and Villa Nueva. SI-E	Dept. Prinzapolka, RAAN. CISP	RAAN. CISP-I	
	Depts. of Chinandega, León, Managua, and Masaya. FIRC	Dept. Estelí, Municipalities San Juan de Limay. GAA-G	Dept. Estelí, Municipality San Juan de Limay. GAA-G	Dept. Estelí, León, San José De Achuapa, San Juan de Limay Y El Sauce. GAA-G	Dept. Chinandega, Madriz, León, Estelí Municipalities El Sauce, Chinandega, Somotillo, Villanueva, Puerto Morazan, San José de Cusmapa. GAA-G
	Dept. León, Municipalities of León, Telica, and La Paz Centro. Mosliv-Movimondo	Dept. León, Municipalities. of Telica, Quezalguaque, and León. Dept. Chinandega Municipalities Posoltega. Mosliv-Movimondo	Dept. Chinandega. Municipalities Somotillo, Villa Nueva, San Francisco, San Pedro del Norte, Santo Tomas del Norte, and Cinco Pinos. SI	Dept. Nueva Segovia, Municipality Dipilto. ACSUR-E	Nicaragua: Dept. Nueva Segovia Municipality San Fernando. ACSUR-E
			Dept. León. Movimondo.	Dept. León, Municipality Telica, Malpaisillo, and Leon. CARE-F	Nicaragua: Dept. Chinandega, León. Municipalities Quezalguaque, Posoltega, Telica. CARE-F
			Dept. Chinandega, El Viejo, Chinadega and Chichigalpa. CARE-F Trinational Project	RAAS, Municipalities Bluefields, and El Rama. CR-E	Nicaragua: Dept. RAAS Municipalities Rama, Bluefields, Kubra Hill. CRE

	DIPECHO 1	DIPECHO 2	DIPECHO 3	DIPECHO 4	DIPECHO 5
				Dept. Matagalpa, Municipality Río Blanco. COSPE	Dept. RAAN, Municipality Puerto Cabezas. GVC
				RAAN, Municipality Waspan. OXFAM-UK	Nicaragua: Dept. Nueva Segovia, Municipalities. Quillall, Jicaro, Murra, San Juan del Rio Coco. ACTED
				Nicaragua: Dept. León. MOVIMUNDO	Nicaragua: Dept. Matagalpa, Municipalities San Dionisio, Esquipulas. CHRISTIAN AID
PANAMA	Panama City, Municipality Chepo. GTZ Multi-country.				
	Depts. of Panamá and Chiriquí. FIRC				
GTZ	Regional Project.				
OPS	Regional Project.			Regional Project. OPS-CRID Creation of a Central American Disaster Information Network	
CEPREDENAC	Regional Project.	Regional Project.	Regional Project. Supporting the Response Capacity of Countries in the Region in Case of Disaster and Stimulating International Coordination and Cooperation		
IFRC					Regional Project. Increasing Impact: Harmonising Community based and Institutional Disaster Management Materials, Methods and Tools

	DIPECHO 1	DIPECHO 2	DIPECHO 3	DIPECHO 4	DIPECHO 5
UNDP					Regional Project Compilation and Dissemination of Disaster Preparedness Tools, Methodologies and Lessons Learnt in Local Level Risk Management in Central America
UNICEF					Regional Project Strengthening of Local Risk and Disaster Management in the Education Sector in Central America

## ANNEX 4 Projects Visited

Date	Location	Project visited	Activity	Participants	Participants		Position
					Female	Male	
<b>September</b>							
Wednesday 12 <sup>th</sup>	Nicaragua Department of León Municipality El Sauce	Agro Acción Alemana DIPECH O V	Municipal Mayor Meeting	Egberto González		1	Co-Director Project AAA
				Euridice Vicuña	1		Coordinator of Early Warning Systems Project AAA
				Evelio Barahona		1	Social Advocate AAA
				Sigfredo A. Quiñones Merlo		1	Secretary of the Town Council El Sauce
				Byron Martínez M.		1	Town Manager
				Alberto Gómez		1	Consultant- Country Document
				Ignacio Cristobal		1	Consultant- Country Document
Wednesday 12 <sup>th</sup>	Nicaragua Departamento de León Municipio El Sauce Comunidad Las Mercedes		Interview	Julio Cáceres		1	Coordinator COLOPRED
				Juan Pablo Bucardo		1	Assistant
Wednesday 12 <sup>th</sup>	Nicaragua Department of Chinandega Municipality Villa Nueva		Interview	3 experts from the Mayor's Office Villa Nueva		3	Experts from the Mayor's Office Villa Nueva
Thursday 13 <sup>th</sup>	Nicaragua, Dept. Nueva Segovia Municipality Dipilto	ACSUR Las Segovias DIPECH O IV	Meeting	Fermín Mejía		1	Secretary of the Town Council (COMUPRED)
				Freddy Hermógenes Miranda		1	Director of Planning Mayor's Office Dipilto.
				Mauricio J. Palma Castellano		1	Head of SEAM Mayor's Office Dipilto
				Mayor Pedro Tapia		1	Emergency Squad
				José Manuel Salais		1	Coordinator of the DIPECHO Project
Thursday 13 <sup>th</sup>	Nicaragua, Dept. Nueva Segovia Municipality Dipilto Community Manos	ACSUR Las Segovias DIPECH O IV	Meeting	Alex Edberto Valladares Zelaya		1	Coordinator COLOPRED
				Aurora Lorena Zavala López	1		Vice- Coordinator
				Cristina Escoto	1		EDAN
				Mayor Pedro Tapia		1	Director of the Emergency Squad
Tuesday 18 <sup>th</sup>	El Salvador Dept. Ahuachapán. Municipality	OIKOS DIPECH O V	Meeting of the Town Emergen	María D. Estrada	1		Head of the Emergency Squad
				Francisco José Rodríguez		1	Director of Social Protection

	San Francisco Menéndez		cy Squad	Bernado López Garay		1	Social Advocate
				Aristides Cáceres García		1	Social Advocate
				Manuel de Jesús Quintanilla		1	Social Advocate
				Ovidio Rivas		1	Social Advocate
				Rudy Orlando Arriola		1	Social Advocate
				Pedro Vides		1	Project Associate
				Karol Spir		1	
Tuesday 18 <sup>th</sup>	El Salvador Dept. Ahuachapán. Municipality San Francisco Menéndez Country House El Chino.	OIKOS DIPECH O V	Focus Group	Luis Antonio Arévalo		1	Emergency Squad Coordinator
				Ramón Martínez		1	Sub-Coordinator of the Emergency Squad
				Miguel Hernández		1	President of ADESCO
				Paula Barilla	1		First Response
				Ana María Ayala	1		First Response
Tuesday 18 <sup>th</sup>	El Salvador Dept. Ahuachapán. Municipality San Francisco Menéndez Community La Veranera	OIKOS DIPECH O V	Focus Group	Juan González		1	Coordinator of the Emergency Squad Commission. President of ADESCO
				Gervacio Ayala		1	Coordinator of the Early Warning System Brigades
				Vicenta López	1		First Response Coordinator
				Marlene Castro	1		First Response Collaborator
				Dalia López	1		Temporary Shelter
				Oswaldo González		1	Coordinator of the EDAN Brigades
Tuesday 18 <sup>th</sup>	El Salvador Dept. Ahuachapán. Municipality San Francisco Menéndez	OIKOS DIPECH O V	Interview Centro Micro regional	Nadia Castro	1		Environmental Expert
				Norma Nájera	1		Environmental Expert of Guaymango
				Ernesto Santilana		1	Environmental Expert San Pedro Puxta
				Mónica Saber	1		Peace Corps. San Pedro Puxta
Wednesday 19 <sup>th</sup>	El Salvador Municipality Usulután Community El Limón	CARE DIPECH O V	Focus Group	Santos Portillo		1	Coordinator
				Precedes Reyes	1		Sub-Coordinator
				Carlos Amaya		1	Assistant
				Héctor Gómez		1	Early Warning
				Reyna Gómez	1		Logistics
				Mirna Gómez	1		Assistant
				María Benítez	1		Assistant
				Ana Osorio	1		Temporary Shelter
				Reyna Martínez	1		Temporary Shelter
				María Candelaria Gómez	1		Health
				Calixta Argueta	1		Assistant
				Silvia Santos	1		Assistant
				Yaritza Gómez	1		Assistant

				Juan José Gómez		1	Early Warning
				Ovidio Serrano		1	Early Warning
				José Gaytán		1	Assistant
				José Amaya		1	Assistant
				Juana Gómez	1		Assistant
				Ángela Rivas	1		Assistant
				José Cortéz		1	Assistant
				Ramón Sabino		1	Assistant
				José Fuentes		1	Assistant
				Tomás Gómez		1	Assistant
				Rolando Rivas		1	Assistant
				María Laura Benavides	1		Assistant
				María Arango	1		Assistant
				Martín Ruíz		1	Early Warning
				Fredy Santos		1	Assistant
				Juan de la Cruz Arévalo		1	Assistant
				Teresa Amaya	1		Health
				Sebastiana Valencia	1		First Response
				Isabel Cruz	1		Health
Wednesday 19th	El Salvador Municipality Usulután Community Paniagua	CARE DIPECH O V	Focus Group	José Daniel López		1	Coordinator General
				Ángela María Chávez	1		Early Warning
				María Leticia Navarrete	1		Temporary Shelter
				Ana Evira González	1		Temporary Shelter
				Petronila González	1		Temporary Shelter
				Margarita del Carmen Guzmán	1		Logistics
				Mauro Beltrán		1	Logistics
				Salvador Bonilla		1	First Response and Rescue
				Yenny del Carmen Vázquez	1		Health
				Sandra Carolina Serrano	1		Health
				Marcelino Castro		1	Temporary Shelter
				José Dolores Argueta		1	Early Warning
				Mayra Rodriguez	1		First Response and Rescue
				Rosa Argueta	1		EDAN
				Blanca Navarrete	1		Assistant
				Reyna Canales	1		Assistant
				Rosibel Castillo	1		EDAN
				Yaqueline González	1		Health
				María Perdomo	1		Assistant
				Wendy Navarrete	1		Assistant
				José Adaberto rivas		1	Coordinator EDAN
				Julio César Robles		1	Assistant

				Marvin Alberto Alvarado		1	Temporary Shelter
Wednesday 19th	El Salvador Municipality Usulután Community Puerto El Flor	CARE DIPECH O V	Focus Group	Ana María Villalta	1		First Response and Rescue
				Josefina Cruz	1		Logistics
				Guadalupe Barrera	1		Logistics
				Delfina Cruz Membreño	1		Logistics
				Rosa Ventura	1		Logistics
				José Efraín Flores		1	Coordinator
				José Luis Carraza		1	EDAN
				Leonel Dagoberto Melara		1	EDAN
				Juan Bautista Resuleo		1	Early Warning
				Mirna Yamileth Serrano	1		EDAN
				María Cruz Membreño	1		EDAN
				Rosa Alicia Garay	1		Logistics
				María de los Ángeles Garay	1		Logistics
				Milagros de la Paz Alaz	1		Early Warning
				Roberto Antonio Fores		1	Early Warning
				José Hernández		1	Assistant
				María Elena Batrez	1		Assistant
				Fidel Ángel Flores		1	Assistant
				Isabel Irene Rodríguez	1		Health
Rosa González	1		Assistant				
Pedro Rodriguez		1	Assistant				
Saturday 29th	Guatemala City, Guatemala	OXFAM DIPECH O V		Manolo Barillas		1	Project Coordinator
<b>October</b>							
Tuesday 2nd	Guatemala Mazatenang o DIPECHO V	Red Cross					
Tuesday 2nd	Honduras Municipality Morazán DIPECHO IV	GOAL		Alexis Irías		1	National Coordinator of the Organised and Prepared Programme
				Jarvin Chávez		1	Coordinator Goal-Region Yoro
	Honduras Municipality Morazán DIPECHO IV	GOAL		Samuel Motiño		1	Camp Coordinator
						1	Mayor of Morazán
Honduras Municipality Morazán Community	GOAL		Eusebio Mejía		1	CODEL	
			Encarnación Guardado		1	CODEL	

	La Bolsita DIPECHO IV						
	Honduras Municipality Morazán Community Los Platanales DIPECHO IV	GOAL		Eliseo Cruz		1	President of CODEL
				Miladis Martínez	1		Head of Health
	Honduras Municipality Morazán DIPECHO IV	GOAL	Interview	Francisco Discua		1	Former Town Secretary
	Honduras Municipality Morazán DIPECHO IV	GOAL	Interview	Geovanni Argueta		1	Head of COE and Community Development
Wednesday 3rd	Honduras Department Colón Municipality Tocoa DIPECHO IV	TROCAI RE	Interview	Santos Madriz		1	Head of COE TOCOA
				Onel Arriola Oliva		1	
				Marcia Mercedes González	1		
				Irma Andrea Ocampos	1		
				Vidal Mejía		1	
				Carlos Henriquez Calles		1	
				Dorina Núñez	1		Head of Communication
	Honduras Department Colón Santa Rosa de Agúan DIPECHO IV	TROCAI RE	Focus Group	Juana Olivas	1		Coordinator of Women's Association
				Carmen E. Park	1		Vice President
				Pascua Martínez	1		
				Albertina Mejía	1		
				Natividad López	1		
				Pastora Martínez	1		
				Ana María Pérez Batiz	1		
				Alexy Lastenis Gutiérrez		1	
				Ginéz Suarez		1	
	Honduras Department Colón Community Las Brisas DIPECHO IV	TROCAI RE	Focus Group	Ángel Mendez		1	
				Adixia Medrano	1		
				Carlos Pérez		1	
				Elsa Lainez	1		
				Erica Ordoñez	1		
				Freddy Flores		1	
				Oscar Alvarado		1	

				Andrés Avelino Ruiz		1	
				Marcelino Alvarado		1	
				Marco Tulio Mejía		1	
				Adadel Vásquez Zeledón		1	
				Hernán Amaya		1	
Thursday 4th	Honduras Department Atlántida Municipality La Masica DIPECHO I		Focus Group	Tomás Gavarrete		1	Coordinator of CODEM
				Sandra Galindo Lara	1		CODEM Volunteer. Education and Shelter Coordinator
				Oneyda Martínez	1		Volunteer CODEM
				Lesvin Belinda Solís Núñez	1		Coordinator of the Women's Office
				Glenda Belisa Sánchez Romero	1		CODEM
				Nery Sánchez		1	Communication CODEM
				Oscar René Alcántara		1	CODEM Volunteer
				Henry Samuel Ignacio Yutre		1	USAID/MIRA Officer
Thursday 4th	Honduras Department Atlántida Municipality La Masica Community Pozo Sarco DIPECHO I		Focus Group	Santos Guevara		1	Coordinator CODEL
				Lourdes Vanega	1		Treasurer
				Mayra Bobadilla	1		Secretary
				Santiago González		1	Radio Operator
Friday 5th	Honduras DIPECHO V	CRI					
Friday 5th	Honduras DIPECHO III	CARE					
Saturday 6th	Nicaragua Department León DIPECHO V	CARE-F	Focus Group	Taniuska Arcia Gómez	1		CARE Officer
				Julia Yorlenys Gómez	1		Intern
				José Luis Aguilera Reyes		1	Intern
				Martha Patricia Ballesteros Delgadillo	1		Intern
				Emma Mercedes Ulloa Poveda	1		Intern
				María Francisca Rocha Martínez	1		Intern
				Mateo Loza E.		1	G.R. Officer
				Merling Guido Herrera	1		Intern
				Frecia Raquel Martínez	1		Intern
				Samir Antonio Picado H.		1	Intern

				Sergio Francisco Solís Membreño		1	Intern
				Carlos Cáceres Mendoza		1	Emergency Squad
				Marvin A. Bustamante Ch.		1	Municipal Advocate
				Gerardo Ramón Reyes		1	Officer of the Telica Mayor's Office
Saturday 6th	Nicaragua Department León DIPECHO IV-V	CARE-F	Interview	Teniente Coronel Gilberto Narváez		1	Head of the Emergency Squad West
Saturday 6th	Nicaragua Department León Community Los Manzanares DIPECHO V	CARE-F	Focus Group	Merzelina Hernández	1		COOPRED Coordinator Punta Caliente
				Ramón Manzanarez		1	COLOPRED Coordinator Manzanarez
				Hermógenes Arauz		1	COLOPRED Coordinator Los Torres
				Marcio Torrez		1	Member of the Brigades
				Carlos Manzanarez		1	Member of the Brigades
				Erick Israel Reyes		1	Member of the Brigades
				Marlon Baldizón		1	Member of the Brigades
				Reyna Chavarría	1		Assistant
				Oneyda Narváez	1		Assistant
				Noira Arauz	1		Assistant
Saturday 6th	Nicaragua Department León Municipality Quezalguaque Community El Boquerón DIPECHO V	CARE-F	Focus Group	Inés Dolmus García		1	COLOPRED Coordinator
				Mercedes del Carmen Hernández	1		Head of Childhood and Adolescence
				Vidal Herrera Ferrufino		1	Vice-Coordinator
				Agapita Dolmus García	1		Head of Health
				Maryuri Elizabeth Dolmus	1		Temporary Shelter
				Dominga Mendoza Moreno	1		Head of the Census
Monday 8th	Nicaragua Autonomous Region of the North Atlantic (RAAN), Nicaragua Puerto Cabezas DIPECHO V	GVC	Interview	Luis Sonzini		1	International Coordinator
			Interview			1	SINAPRED
			Interview			1	Mayor de la Municipality
			Interview	Francisco Osejo		1	Coordinator of the Climate Change Project - Cruz Roja Nicaragüense
			Interview	José Luis Loarca		1	National Advisor for Disaster Response – Guatemala -OCHA
Tuesday 9th	Nicaragua Region of the North Atlantic (RAAN), Nicaragua Puerto Cabezas	GVC	Interview			1	Head of CODEM
			Interview	Shira Miguel	1		Coordinator of the Nidia White Women's Movement
			Interview		1		IPADE

Tuesday 9th	DIPECHO V	GVC	Focus Group	Boanerges Espinoza		1	Head of the Brigades
	Nicaragua Region of the North Atlantic (RAAN), Nicaragua Puerto Cabezas Barrios German Pomares, Harlem, Morava DIPECHO V			Manuel Flores		1	Neighbourhood Judge
				Barry Thyne		1	Member of the Brigades
				William Vélez		1	Coordinator
				Nestor		1	Head of the Brigades
				Cecilio		1	Board of Directors
				Salmira Müller	1		Coordinating Judge
				Paula Holms	1		Board of Directors
				Jairo Taylor		1	Member of the Brigades
November							
Tuesday 6th	Guatemala San Marco DIPECHO IV-V	ACH	Interview	Felipe Tzay Aju		1	Head of Reforestation ACH
Tuesday 6th	Guatemala San Marco Municipality Tacaná DIPECHO IV-V	ACH	Interview	Dora Hidalgo		1	Community Advocate
Tuesday 6th	Guatemala San Marco Municipality Tacaná Cantón Chemealón DIPECHO IV	ACH	Interview	Irma Gutiérrez		1	Reforestation Brigades
Tuesday 6th	Guatemala San Marco Municipality Tacaná Cantón La Majada DIPECHO V	ACH	Interview	Buenaventura Velásquez		1	La Majada
Saturday 10th	Nicaragua Region of the South Atlantic (RAAS) Municipality El Rama Community Enrique Bermúdez DIPECHO V	CRE-NIC	Focus Group	Mayela Flores Zamora	1		COLOPRED Coordinator
				Freddy Ramón Vargas		1	Vice-Coordinator
				Miguel Ángel Brenes		1	Evacuation
				Victorian Polanco		1	Evacuation
				Rafael Alfaro		1	Evacuation
				José Rigoberto Morales		1	Member of the Community
				Domingo Bravo Rocha		1	Evacuation
				Tomasa Sánchez	1		Temporary Shelter
				Maryuri Eliseth Huete	1		Temporary Shelter
				María Guevara	1		Evacuation
				Jorleny Morales	1		Member of the

							Community
Saturday 10 <sup>th</sup>	Nicaragua Region of the South Atlantic (RAAS) Municipality El Rama Barrio Luis Alfonso Velásquez DIPECHO V	CRE-NIC	Interview	Dolores Rodríguez Bález		1	COCOPRED Coordinator
Saturday 10 <sup>th</sup>	Nicaragua Region of the South Atlantic (RAAS) Municipality El Rama, Carlos Fonseca Amador Neighbourhood DIPECHO V	CRE-NIC	Interview	Noemí Sobalvarro	1		COCOPRED Coordinator
Sunday 11 <sup>th</sup>	Nicaragua Region of the South Atlantic (RAAS) Municipality El Rama Community La Mosquitia DIPECHO IV	CRE-NIC	Focus Group	José Rufino Saenz Sánchez		1	Vice-Coordinator COCOPRED
				Napoleón Martínez		1	Vice-Coordinator COCOPRED
				Santos Jessenia Miranda Urbina	1		First Response Brigade
				Froylan Antonio Sánchez Salazar		1	First Response Brigade
				Santos Gregorio Quintero Tercero		1	Safety
				Santos Antonio Salazar solano		1	First Response Brigade
				Leopoldina Velásquez	1		Shelter Administration
				Milagro Herrera Díaz	1		Evacuation
				Leopoldina Quintero Velásquez	1		Assistant
				Julia Salazar Centeno	1		Temporary Shelter
				Maritza Salazar	1		Temporary Shelter
				Juana María Jarquín	1		First Response Brigade
				Juana María García	1		Evacuation
				Natividad Canda		1	Member of the Community
				Trina Cano García	1		Evacuation
Yoseling Solano	1		Temporary Shelter				
Elia Borge	1		DIPECHO Project Officer				
Julio Romero		1	CR Volunteer				
Sunday 11 <sup>th</sup>	Region of the South Atlantic (RAAS),	CRE-NIC	Focus Group	Santos Díaz Chavarría		1	Coordinator
				Eglis Gamez	1		Vice Coordinator

	Nicaragua Municipality Krukra-Hill Community El Pachón DIPECHO V			Brenes			
				Yolanda Castro Gaitán	1		Secretary
				Juan José Díaz Chavarría		1	Professor-Temporary Shelter
				J. Isabel Díaz G.	1		Temporary Shelter
				Victorino Nicolás Vásquez		1	Evacuation
				Elena Amador Alvarado	1		Assistant
				Diego Manuel Rocha Picado		1	Assistant
				Juan Gaytán		1	First Response and Evacuation
				Vicente Chavarría		1	Evacuation
				Clementina Gaytán Espinoza	1		Director of First Response
				Francisco Díaz Matamoros		1	First Response
				José Emilio Sequeira Molina		1	Fire Brigade
				Pedro Amador Alvarado		1	Temporary Shelter
				Justo Pastor Sequeira		1	Assistant
				Esperanza Díaz Díaz	1		First Response
				José Luis Díaz Díaz		1	First Response
				Julio César Romero Rocha		1	
				Francisco Rivas Montiel		1	CRN/CRE DIPECHO
				Norlan Romero		1	CRN/CRE DIPECHO
Monday 19 <sup>th</sup>	Nicaragua Region of the North Atlantic (RAAN), Nicaragua Puerto Cabezas Community Sandy Bay DIPECHO V	Visit to Sandy Bay GVC communities	Interview	Rev. Calixto Espinoza		1	Reverend
				Nola Badir	1		
				Fred Bushey Bryan		1	
				Jose Escobajo Linton		1	Local Judge
TOTAL				122	157	279 participants	

## **ANNEX 5**            **Persons Interviewed**

### **Brussels**

Bernard Boigelot, Desk Officer, DG ECHO Central America  
Dorothy Morrissey, Desk Officer, DIPECHO, DG ECHO  
Nicoletta Pergolizzi, Head of Evaluation Unit

### **Panama**

Ricardo Pérez, Pan American Health Organization-PAHO.  
Gerard Gómez, Head for Latin America, OCHA  
Julio García, ISDR.  
Ruth Custode, ISDR-UNICEF  
Claudio Osorio, UNICEF, Project Coordinator, DIPECHO V  
Xavier Castellanos, Deputy Head, IFRC Latin America  
Marjorie Soto, Coordinator DIPECHO V IFRC  
Alejandro Santander, PAHO.  
Linda Zilbert, Coordinator, DIPECHO V UNDP.  
Marco Antonio Giraldo, UNDP.  
Roy Venegas, Coordinator Risk Management, IFRC.

### **Costa Rica**

Lidier ESQUIVEL, Coordinator PREVDA-CNE  
Gerardo Bolaños, Education, CNE  
Marcio Vinicio Saborio, CNE  
Douglas Salgado, CNE  
Irene Céspedes, CRID  
Isabel López, CRID  
José Bonilla, Red Cross Reference Centre  
Marvin Herrera, Coordinator, CECC-SICA  
Phil Gelman, OFDA-AID.

### **El Salvador**

Iván Morales, UNDP  
Luis Román, Independent Consultant  
Arnulfo Ayala, ASAPRODE  
Renee Ramón Gross Technical Coordinator, PFC-GR  
Lidiette Castillo, Director, CEPROD  
Victor Ramirez, Consultant, NCM  
Orlando Tejada, Consultant, NCM  
Jesús Rivera, Coordinator, DIPECHO V, OXFAM  
Renee Mauricio Gonzalez, District V, San Salvador  
Rosa Elena Chavez, Ministry of Education  
Ivonne Jaime, PREVDA-SNET  
Raul Murillo, Deputy Director, Civil Protection  
Miguel Vega, Director Red Cross Reference Centre  
Elda de Godoy, Director SNET  
Ana Deisy Lopez, SNET

### **Nicaragua**

Aitor Landa, SNV, Senior Advisor  
Ivonne Velásquez, OCHA  
Col Mario Perez CASSAR, Head, Emergency Squad  
William Strausch, INETER  
Xiomara Gomez, SINAPRED  
Ligia Calderon, SINAPRED  
Leonnie Arguello, UNDP  
Norma Zepeda, IPADE  
Afdell Vega, IPADE  
Alejandro Joya, Ministry of Health, Bilwi  
Mauricio Peñalba, EC  
Sergio Lacambra, DIPECHO, DG ECHO  
Virginie Andre, DIPECHO DG RELEX  
Pedro Acevedo, Programme Assistant, DG ECHO  
Francesca Mosca, EC  
Francois Tuboc DG ECHO  
Humberto Castillo, Coordinator, DIPECHO V CARE France  
Jurgen Schmitz Project Director, AAA  
Silvia Crespo, Coordinator, DIPECHO V Red Cross  
Mayte Martin Serra, Head of Mission, ACH  
Montserrat Julve, ACSUR  
Guillermo Cavistan, ACSUR  
Alberto Gomez, Consultant  
Ansia Alvarez, Coordinator, DIPECHO V ACTED  
Ignacio Cristóbal Alcarraz, Consultant, NCM  
Jean Francois Golay, COSUDE  
Mariam Downs, COSUDE

## **Guatemala**

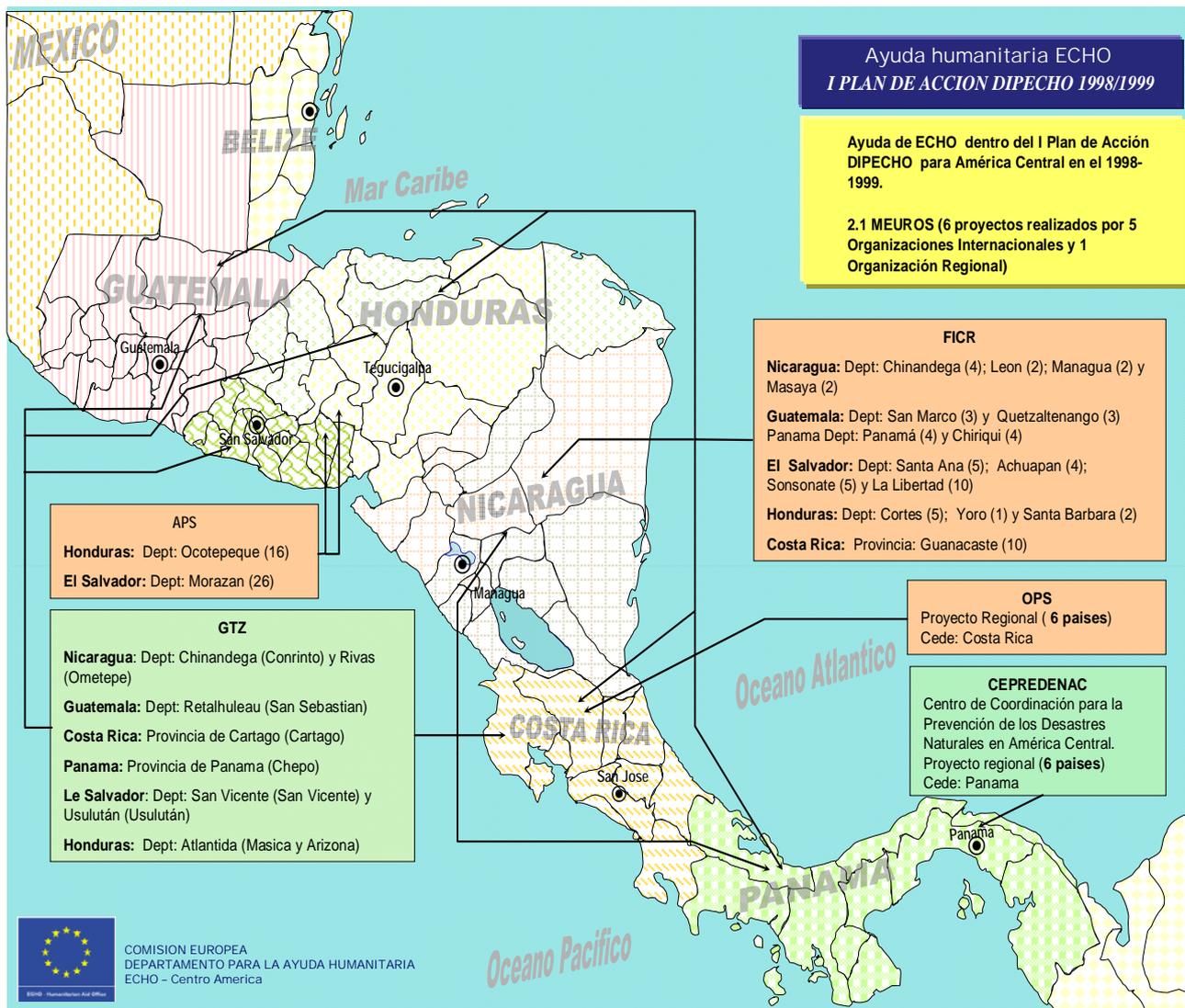
Hiugo Hernandez, Head, CONRED  
Eber Garcia, Education, CONRED  
Jessica Solano, International Cooperation, CONRED  
Ovidio Garcia, Operations, CONRED  
Andres Casasola, Risk, CONRED  
Rafael Ignacio, Territorial, CONRED  
Antonio Arenas, Head of International Technical Assistance, PREVDA  
Gisella Gellert, Independent Consultant  
Angel Marcos, Head of the Regional Programme, AECI  
Crsitina Solano, Head of the National Programme, AECI  
Mario Morales, PREVDA  
David Smith, Head, CEPREDENAC  
Walter Wintzen, CEPREDENAC  
Raul Ovando, Consultant, NCM  
Isabelle Bremaud, Regional Humanitarian Advisor, OXFAM-GB  
Jose Luis Loarca, OCHA  
Maribel Carrera, Head, OXFAM-GB  
Alma Irene Hernandez, Coordinator Strategic Planning, CONRED  
Manolo Barillas, Coordinator, DIPECHO V OXFAM GB  
Pedro Tax, INSUVUMEH  
Mario Bautista, INSUVUMEH  
Edwin Garzon, PREVDA  
Elvira Sanchez, ESFRA  
Ivan Aguilar, Project Coordinator DIPECHO V ACH  
Sabot Domingo

## **Honduras**

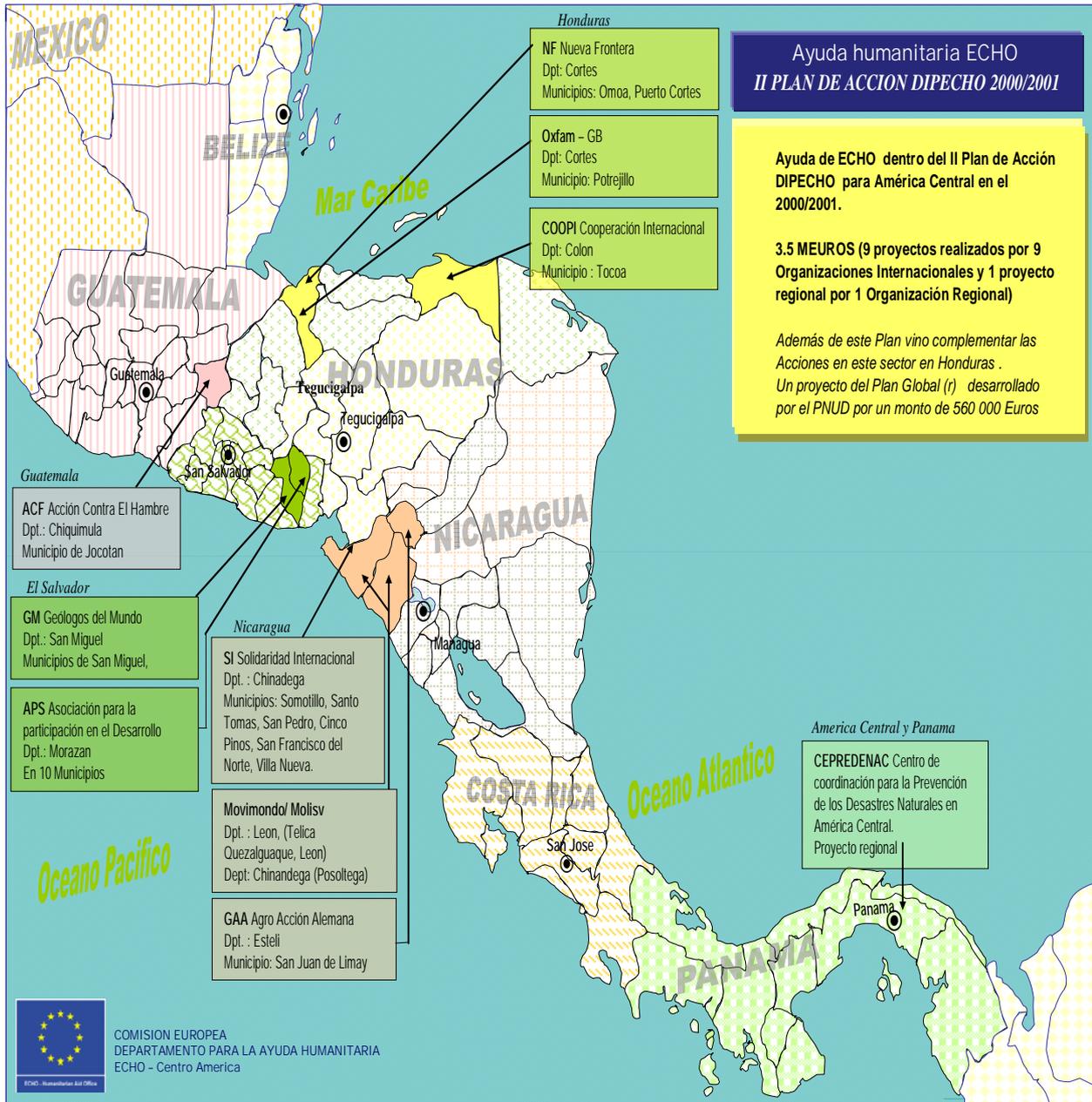
Maynor Ceron, ACT  
Juan Ferrando, UNDP  
Tony Perrera, UNDP  
Ignacio Rodríguez, Institutional Cooperation Spanish Red Cross  
Luis Ramon, Red Cross  
Rosibel Molina, CARITAS  
Rodolfo Cuevas, CARE  
Santiago Rey Caramés, Regional Delegate, Spanish Red Cross  
Luis Maldonado, Sub Commissioner, COPECO  
Marco Burgos, Commissioner, COPECO  
Maria Elsa Alvarado, Director Red Cross  
George Redman, TROCAIRE  
Ron Robinson, GOAL  
Denis Funes, DCA  
Roberto Dimas Alonso

# ANNEX 6 Maps of DIPECHO Action Plans

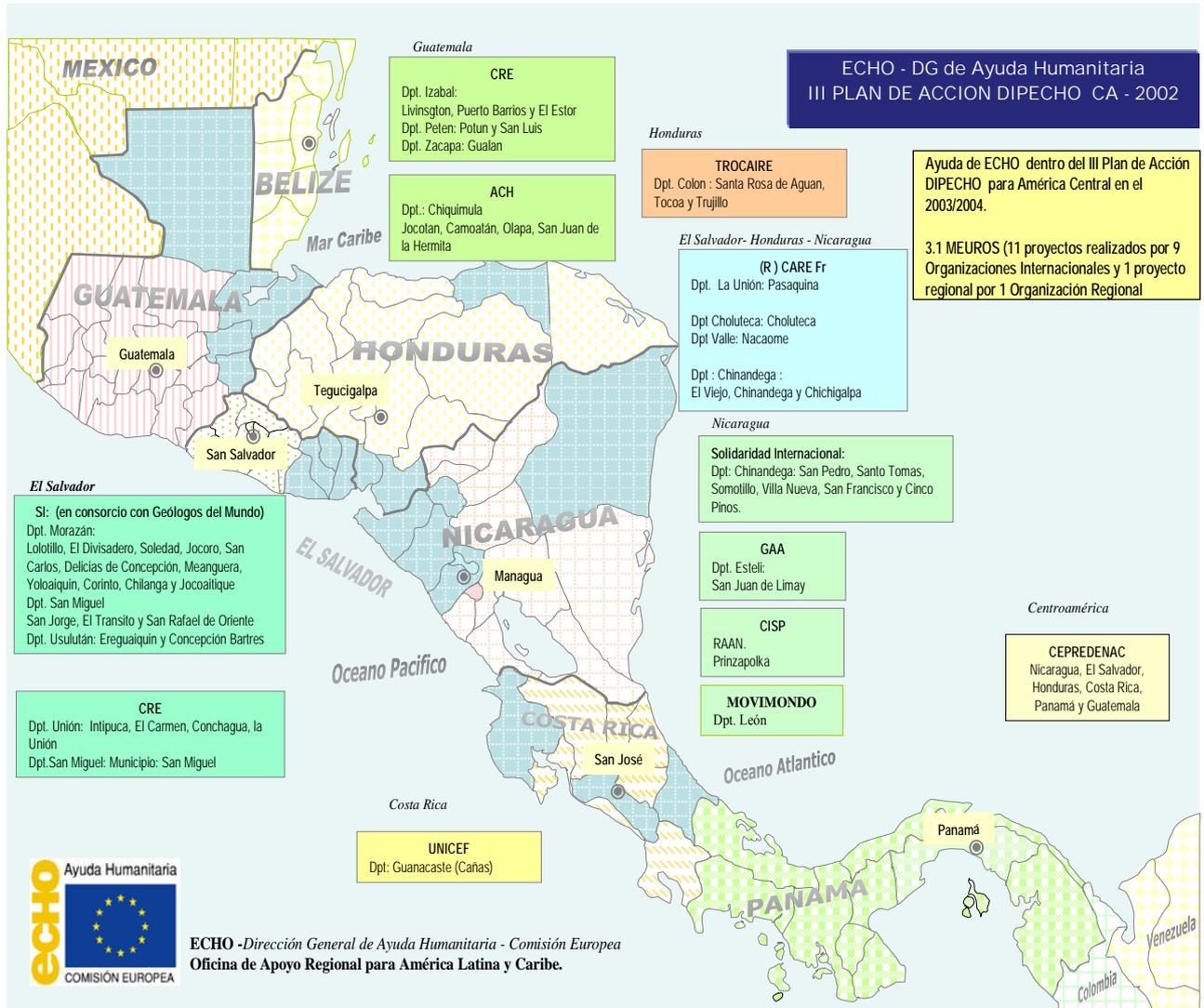
## DIPECHO Action Plan I

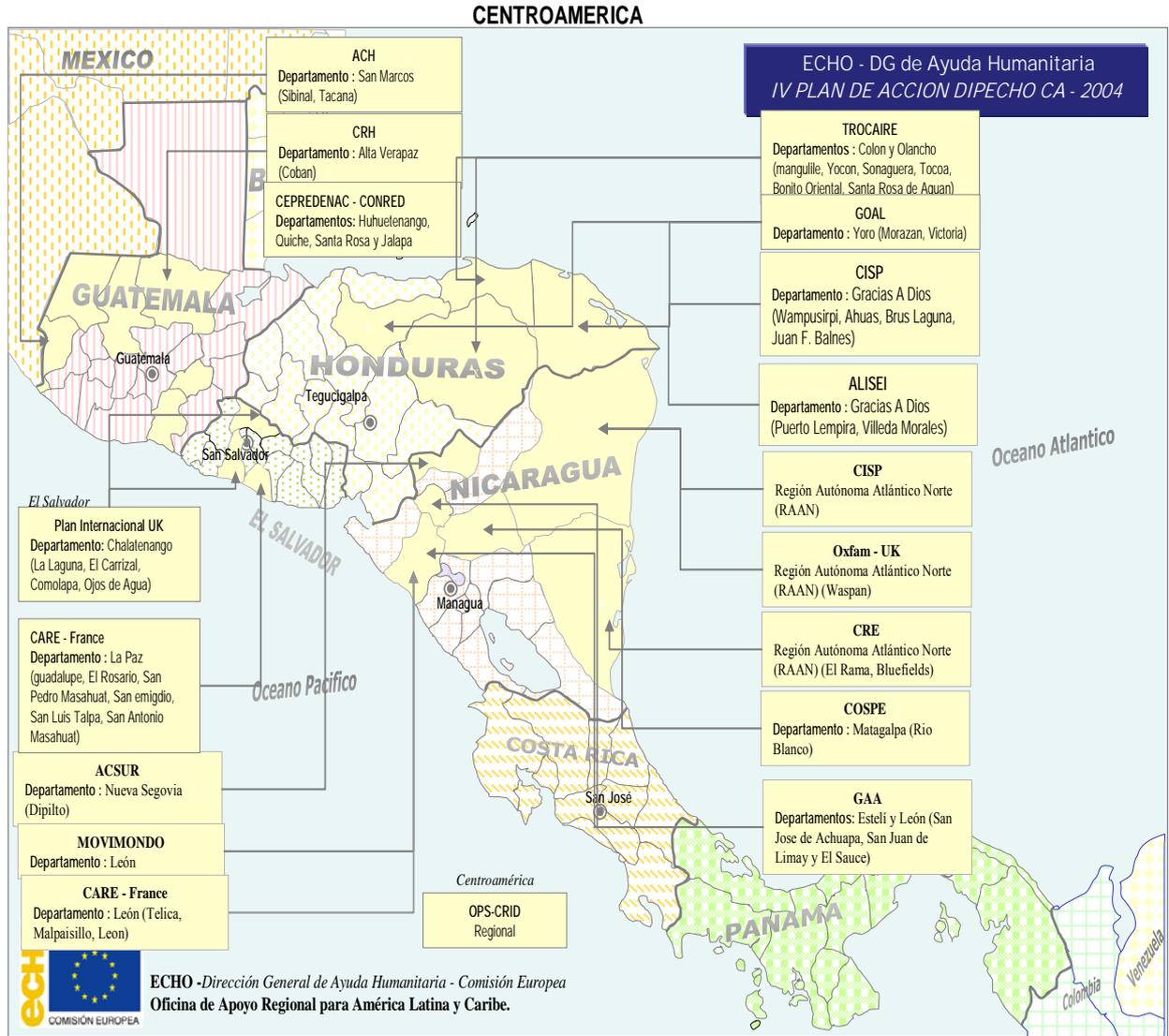


## DIPECHO Action Plan II

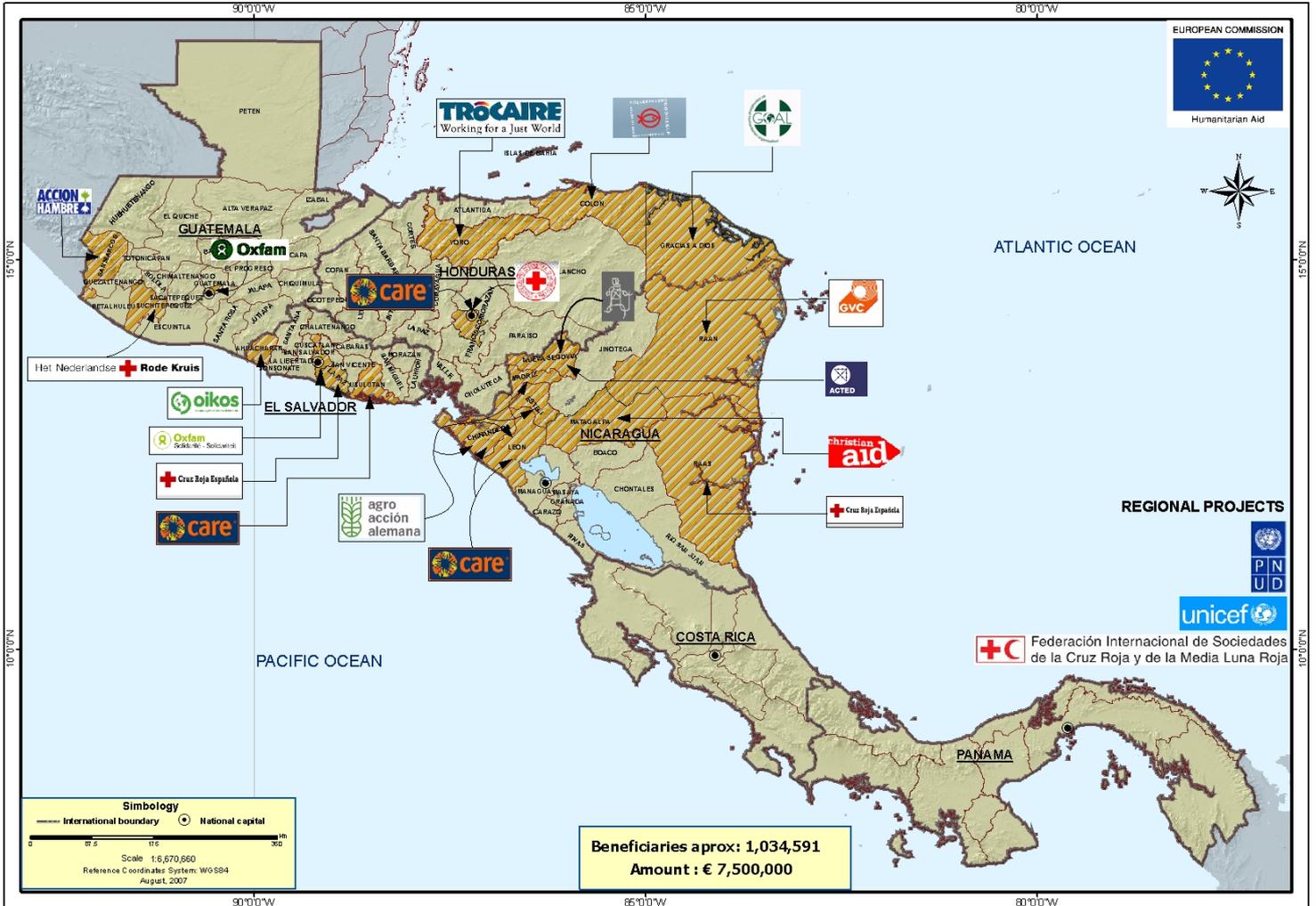


DIPECHO Action Plan III

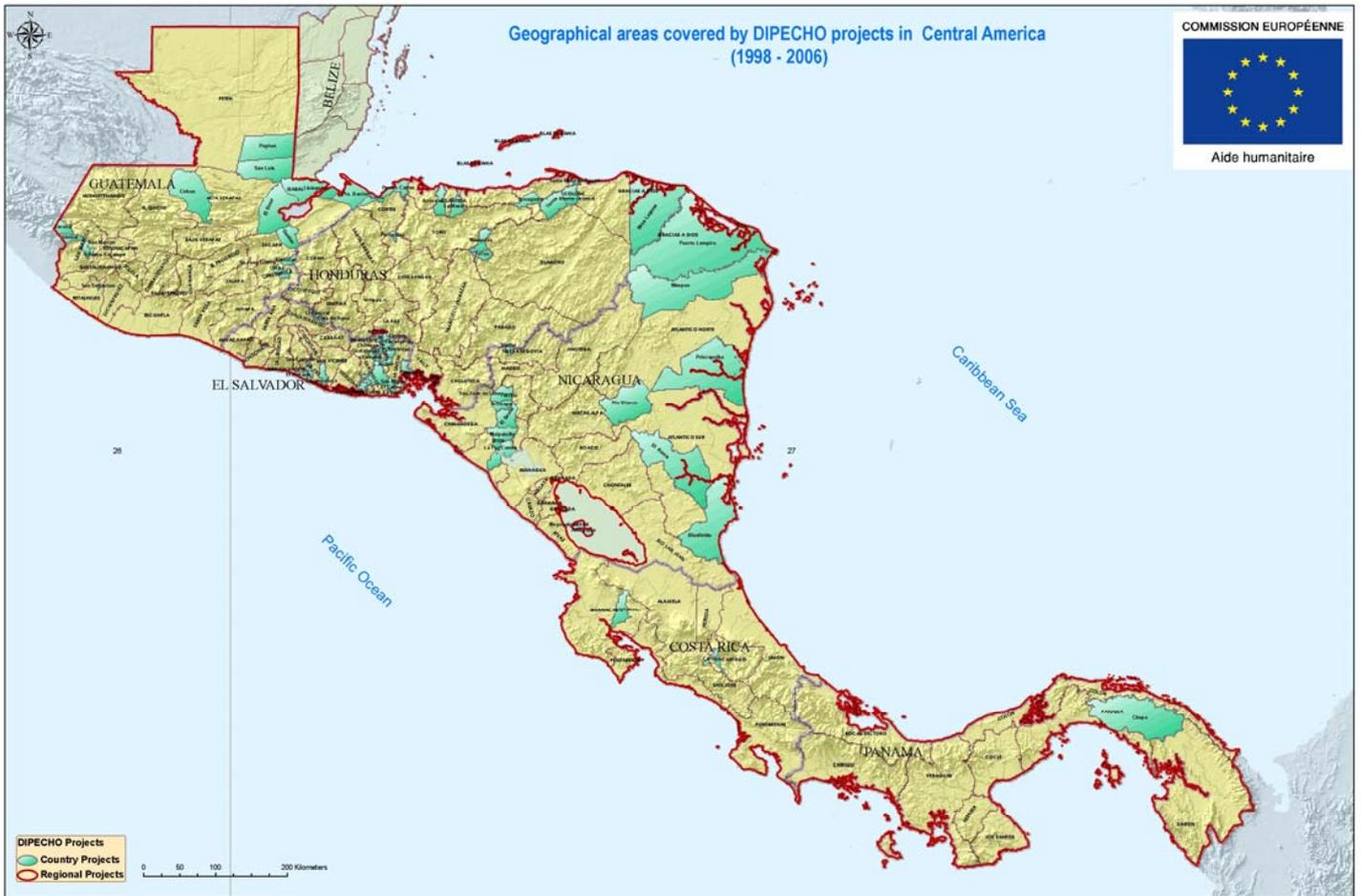




Fifth DIPECHO Action Plan for Central America



DIPECHO Geographical Area (1998-2006)<sup>30</sup>



<sup>30</sup> This version is under revision but gives a good approximation to municipalities covered by DIPECHO projects between 1998 and 2007

## ANNEX 7

## DIPECHO Central America Timeline

1995: **OAS/DSD** launched the **Education Sector Vulnerability Reduction to Natural Hazards Program (ESVRNHP)** in Central America and the Caribbean with support from the European Commission Humanitarian Aid department (ECHO). ESVRNHP included the development of the sector vulnerability reduction policies, the education infrastructure planning process, schools mitigation projects, and emergency preparedness education programs. At the end of ESVRNHP, all participant countries in Central America and the Caribbean had a Sector Strategic Plan to Reduce the Vulnerability to Natural Hazards

June 1996: DG **ECHO** launched the **DIPECHO Programme** to assist in the field of disaster preparedness under the mandate (Regulation (EC) 1257/96) to fund operations which “prepare for risks or prevent disasters” (Art. 1). Central America, along with the Caribbean and South East Asia, was chosen as one of the priority regions for of the DIPECHO Programme.

April 1998: A **diagnostic study** was completed by DG **ECHO** in cooperation with the Centre for Research on the Epidemiology of Disasters (CRED) and the International Centre for Training Exchanges in the Geosciences (CIFEG) to identify risks, evaluate the socio-economic vulnerability of communities and the risk for properties, and determine the local, national and regional response capacity needed and the external support which were under way in the Central American Region.

July 1998: The **First DIPECHO Central America Action Plan** was approved and included 6 projects in 6 countries (Guatemala, Honduras, El Salvador, Nicaragua, Costa Rica and Panama), a total of 2.1 million euro.

November 1998: **Hurricane Mitch** hit Central America, devastating Honduras, severely damaging many parts of Nicaragua and causing widespread destruction in parts of Guatemala and El Salvador. It was the most destructive hurricane in the history of the western hemisphere, directly affecting over 2.5 million people and indirectly affecting an additional 4.5 million.

October 1999: **Evaluation** of the **First DIPECHO Action Plan**

October 2000: The **Second DIPECHO Action Plan** was launched for Central America with 10 projects for a total amount of 3.5 million euro, bringing the amount allocated for DIPECHO in Central America to 5.6 million since July 1998.

December 2002: The **Third DIPECHO Action Plan** was approved under Article 17 (3) of Regulation (EC) No 1257/96 the Humanitarian Aid Committee on 17/12/2002.

January 2003: The **Third DIPECHO Action Plan** began in Central America

December 2003: DG **ECHO** launched a **study on Disaster Risk Reduction (DRR)** where Nicaragua, El Salvador, Honduras and Guatemala were ranked at a very high level of disaster risk and Costa Rica and Panama at a medium level of disaster risk, compared to other regions.

April 2004: An extensive two-month **consultation process** was undertaken, including national meetings as well as a regional seminar to take stock of the **lessons learnt** from the **DIPECHO projects under the Third Action Plan**. Over 470 participants representing 260 different institutions involved in preparedness and prevention (NGOs, UN agencies, Red Cross family, local authorities, regional organisations, academia etc.) attended these meetings.

July 2004: Deadline of the **Call for Proposals**, DIPECHO IV Action Plan for Central America

November 2004: The **Fourth DIPECHO Action Plan** was launched for an amount of 6.0 million euro, and included 18 projects aimed at reducing the risk through the level of preparedness of the vulnerable population in the areas most exposed to recurrent natural threats.

January 2005: **Hyogo Framework for Action 2000-2015**

October 2005: **Hurricane Stan** was the first storm of the 2005 season, making landfall south of Veracruz. Stan was part of a system of torrential rainstorms that caused catastrophic flooding and mudslides in southern Mexico and Central America. Well over 1,000 deaths were caused by the flooding, of which 80 to 100 were directly attributed to the storm.

March 2006: In order to take stock of the lessons learnt from those projects, an extensive **consultation process** was undertaken from March to April 2006, involving DIPECHO partners, relevant authorities, scientists, local and international organisations. Notably, four national consultative meetings, as well as one regional seminar, were held to prepare the ground for the **Fifth DIPECHO Action Plan**.

July 2006: Deadline of the **Call for Proposals**, DIPECHO V Action Plan for Central America

February 2007: The European Commission approved a 6 million euro decision on humanitarian aid to improve the capacities of local communities at risk to better prepare for and protect themselves against natural disasters in the **DIPECHO Fifth Action Plan for Central America Action Plan**. The Action Plan aims to benefit over 850,000 vulnerable people in El Salvador, Guatemala, Honduras, Nicaragua, Costa Rica and Panama.

September 2007: **Hurricane Felix** slammed into the Nicaraguan coast on the morning of Tuesday, September 4, where more than 50,000 people were displaced or left homeless. The initial death toll was believed to be low, yet, unfortunately, as search and rescue teams continued to work, the number of deaths has neared one hundred and many people are still missing. Nicaragua bore the brunt of the storm, and neighbouring Honduras was hit mainly by flooding.

November 2007: **DIPECHO National and Regional Consultation Workshop** in Central America organised by the European Commission Humanitarian Aid department has the objective of identifying in conjunction with its strategic partners, the national and regional priorities of the next DIPECHO's action plan for Central America.

## Timeline

1995	1996	1998			1999	2000	2002	2003		2004			2005		2006		2007		
January	June	April	July	November	October	October	December	January	December	April	July	November	January	October	March	July	February	September	November
OAS - Education Sector Vulnerability Reduction to Natural Hazards Program (ESVRNHP)	ECHO launches the DIPECHO Programme	Diagnostic study was completed by ECHO on Central America	First DIPECHO Central America Action Plan	Hurricane Mitch hits Central America	Evaluation of the First DIPECHO Action Plan	Second DIPECHO Action Plan	Third DIPECHO Action Plan is Approved	Third DIPECHO Action Plan Begins	DG ECHO launches study on Disaster Risk Reduction (DRR)	Lessons learnt from the DIPECHO projects under the Third Action Plan	Deadline of the Call for Proposals for DIPECHO IV for Central America	Fourth DIPECHO Action Plan Launched	Hyogo Framework for Action 2000-2015	Hurricane Stan hits Central America	Consultation process involving DIPECHO Partners, Specialists, National Authorities, etc	Deadline of the Call for Proposals, DIPECHO V Action Plan for Central America	DIPECHO Fifth Action Plan for Central America	Hurricane Felix strikes Central America	DIPECHO National and Regional Consultation Workshop

## **ANNEX 8** **America**

## **Background and Context of Risk and Risk Management in Central**

### **A. The disaster risk context in Central America**

1. Central America figures high on most disaster risk maps and priorities elaborated by regional and international organisations (World Bank, Inter-American Development Bank, OFDA-AID, GTZ-Germany, COSUDE-Switzerland, etc.). While most concern is shown for the so called “Mitch countries” (Nicaragua, Honduras, El Salvador, Guatemala), both Panama and Costa Rica further to the south are also highly disaster prone, and bordering Belize has had its fair share of disaster events over the last 40 years.

2. Located on three major continental plates (Cocos, Caribbean and Panamanian), traversed by numerous local and regional fault systems and a highly active series of volcanoes reaching to northern Panama, straddling the Intertropical Zone of Convergence and the Caribbean hurricane belt and with a highly fragmented and sloping terrain, the region, in general, suffers from seismic and volcanic activity (including tsunamis), hurricanes, tropical storms and flooding, landslides and drought. The Guatemalan, Managua, Salvadoran and Limon earthquakes; hurricanes Fifi, Joan, Mitch and Felix and tropical storm Stan; the early 1990s Nicaraguan tsunami; the 1997-98 ENOS associated droughts, fires and flooding and the recent intense October rains and floods in many parts of the region, are but the tip of a hazard iceberg that threatens to grow as global climate change and other negative, humanly induced environmental processes take stronger hold.

3. The prevailing hazard context is associated with extremely high levels of vulnerability and exposure, much of which is also associated with existing poverty levels and lifestyle weaknesses, an extreme disaster risk scenario for many parts of the isthmus. The dynamics of this risk constantly provide new and unexpected manifestations of small, medium and large scale disasters throughout the region. In fact, the element of surprise is perhaps one of the regions most salient features and reveals that many aspects of the dynamics and causes of risk are as yet uncharted in the region. Mitch, the Limon earthquake, the Nicaraguan tsunami, the Casitas landslide and the recent earthquake and Danli flooding in Honduras all took scientists and analysts by surprise.

### **B. National disaster risk and response management context**

#### ***Guatemala***

4. The National Coordinator for Disaster Reduction (CONRED), created in the 1990s, prior to Mitch and following the dictates of the International Decade for the Reduction of Natural Disasters-IDNDR, is the officially and legally established organisation in the disaster risk area. Systematically short of budget and funding, and plagued by its military past, this organisation has made important advances over the last 8 years in the risk and disaster area. Recognising its limitations in the risk reduction and development spheres, the organisation has established excellent relations and working bases with different sectorial and planning agencies, while pushing forward with improvement in its own disaster response capacities. Tropical Storm Stan and its impacts in relatively isolated, indigenous areas revealed the inherent weaknesses in the CONRED centralised system and has led to important efforts on the part of the present administration to promote decentralisation to departments and municipalities. As usual, a permanent shortage of funding, and now imminent changes in government administration, pose persistent potential challenges to the sustainability of initiatives.

#### ***El Salvador***

5. Recent changes in national legislation have led to the creation of a national Civil Protection Organisation that replaces the previous longstanding National Emergency Committee (COEN). Both previous and present organisations are predominantly response oriented and under prevalent military influence and are institutionally located in the Ministry of the Interior. Civil Protection has departmental and local committees established throughout the country. Risk reduction, through prevention and mitigation activities and planning, and support for rehabilitation and reconstruction, have been

strengthened over the last 5 years with the post 2001 earthquake creation of the National Service for Territorial Studies (SNET), located at the Ministry of Environment and Natural Resources. With the creation of this organisation, the country now has a two tiered, or two headed structure, with specialisation on different facets of the risk and disaster problematic. SNET promotes the study and monitoring of hazards and vulnerabilities, the production of early warning information and risk scenarios or maps and training and capacity building expertise, attempting to introduce risk concerns in development sectors. Recent loss of the organisations' autonomy and their full incorporation under Ministerial control does not harbour well for its work and efficacy in the future.

### ***Nicaragua.***

6. Towards the beginning of the present decade and following the impacts of Mitch in the country, Nicaragua implemented the most complete and advanced legal and institutional changes in the risk and disaster management framework in Central America. Modelled on the Colombian experience since the late 1980s, the country established a National System for Disaster Prevention and Response (SINAPRED). This institutional structure, supported in its development by the United Nations Development Programme (UNDP), is coordinated by an autonomous Executive Secretariat, comprised of government sectors and non governmental representations, is organised in a decentralised fashion and, in theory, covers prevention, mitigation, preparedness, response and recovery aspects. Previous to the creation of the system, Civil Defence, linked to the armed forces, was responsible for logistical and response matters while the National Institute for Territorial Studies (INETER) covered hazard monitoring and research, land use and territorial planning matters. These two institutions still play a major role in the newly established system which has foundered over recent years in its attempts to operationalise a fully fledged and working system. Support for change proffered by the World Bank, COSUDE and UNDP, in particular, has not rendered the hoped for fruits and permanent problems of the lack of autonomous and adequate budgets of the required levels constantly hamper needed transitions and sustainability.

### ***Honduras***

7. The Permanent Contingency Committee (COPECO) was created in the early 1990s and replaced the existing structure, COPEN, formed in the early 1970s prior to the impact of Fifi. COPECO is dominated by disaster response functions but has made serious attempts to widen its actions and interest into the risk reduction field. Severely overcome by the impacts of Mitch in the country, consolidated efforts have been made to improve response capacities and decentralise to municipalities and other local areas. Since Mitch, there have been three internationally supported attempts to propose and develop a new legal and institutional framework for risk and disaster management in the country, based on the system model. From an early attempt to create a Civil Protection System, the latest attempt financed in its development by the World Bank attempted to promote a National Risk Management System with major participation of COPECO, but increased development and planning agency participation. This latter proposal, debated and supported by numerous organisations, including COPECO, is still waiting legislative consideration and debate, a year after its development. As with all other structures in the region, severe budgetary problems signify an extremely high level of dependency on international funds for response and prevention activities.

### ***Costa Rica and Panama***

8. Costa Rica and Panama are the two most economically advanced countries of the region and neither has armed forces as such. In general, the two countries are considered to be less vulnerable to disasters than the northern "Mitch" countries, despite a significant number of major events over the years. Risk and disaster management are entirely civil matters and national organisations are totally in the hands of civil authorities. The National Risk Reduction and Emergency Commission in Costa Rica (CNE) was reformed at the end of the 1990s and has suffered two subsequent legal reforms to better adapt to new demands for risk reduction. The latest reform has given more power and participation to municipalities, consistent with the demand for local, decentralised risk management. The National Civil Protection System in Panama (SINAPROC) has been in existence since the early 1980s. Predominantly still a disaster response organisation, SINAPROC has attempted to involve economic and social sectors in more risk reduction activities, including the finance sectors and planning authorities.

### **C. Regional Intergovernmental Risk and Disaster Management Organisations and Initiatives.**

9. Central America has a long history of regional integration efforts, failed and renovated. The overarching intergovernmental, institutional framework for integration is found in the Central American Integration System (SICA) and the Central American Parliament. The risk and disaster theme within SICA is addressed by the Coordinating Centre for the Prevention of Natural Disasters in Central America (CEPREDENAC). This institution was founded in the late 1980s in anticipation of the International Decade for Natural Disaster Reduction and recognised as a formal part of SICA in 1994, where it becomes part of the Environmental Directorate. From its early beginnings as a hazard study and monitoring facility, the institution has evolved to cover all aspects of risk issues, moving away from a major concentration on response to take on more development based risk reduction visions and activities. The major political and programmatic platform for the institution is the Regional Risk Reduction Plan (PRRD) now in its second version, for the period 2005 to 2015. The generally more progressive stance of CEPREDENAC General Secretariat staff, when faced with the risk problem, constantly has to deal with the fact that national disaster authorities and CEPREDENAC directorate members predominantly are more concerned with response activities. Most regional programmes fomented by international organisations and agencies pass through or are coordinated with CEPREDENAC.

10. Apart from CEPREDENAC, and particularly since the major impacts of Mitch in the region in 1998, three other SICA regional organisations have been increasingly involved in risk and disaster issues, especially where this is concentrated on hydro-meteorological phenomenon and disasters. With the common understanding that disasters are environmental concerns and accentuated by environmental degradation processes, the Central American Committee for Environment and Development (CCAD) has become much more involved, especially since the regions national presidents determined the need to consider disasters in light of the sustainable development process in the region. The Regional Committee for Hydrological Resources (CRRH) has always had a major interest in the topic and this has been increased with Mitch, the latest Niño episodes and their repercussions in the region, and the ongoing processes associated with climate change. Finally, the Federation of Central American Municipalities (FEMICA) has increased its interest, especially in the area of urban risk. CEPREDENAC, CCAD and CRRH currently are working together in the implementation of the European Union financed PREVDA project related to environmental degradation and disaster risk with particular emphasis on river basins.

### **D. International Agency Support to the Region for the Risk and Disaster Problematic**

11. Traditionally, the Central American region has been supported by long lasting initiatives such as the Office for Foreign Disaster Assistance of the US Agency for International Development (OFDA-AID) and the Pan American Health Organization (PAHO) for health disaster management and preparedness since the early 1980s. The 1990s saw the evolution of support to CEPREDENAC, first from Scandinavian agencies and, later, from more diverse sources such as the French, German and Italian governments. The major concentration of such support was in disaster preparedness and response management and hazard analysis.

12. An increase in the interest in prevention and mitigation and more socially based analyses and interventions began in the early 1990s with changes in CEPREDENAC's basic philosophy and a reduction in the concentration on hazard analysis in favour of more integrated risk reduction aspects. An agreement with the then recently created Network for the Social Study of Disaster Risk (LA RED) in 1993, led to early pioneer work on community based and socially conditioned risk and disaster prevention. By the mid 1990s, the Hazards programme of the Organization of American States (OAS) had, with DG ECHO support, begun promotion of community based early warning systems in river valleys in the region along with national disaster organisations and support was being given to innovation in educational aspects of risk and disaster.

13. By 1996, the German GTZ had initiated an innovative programme on Strengthening Local Institutional Structures for Disaster Management (FEMID) working with communities in the 6 Central American countries. Advised by members of LA RED and other local experts, the programme carefully

selected intervention zones using diverse hazard, vulnerability and capacity analysis. In 1998, with the commencement of the First DIPECHO Action Plan, this programme would receive financial support for developing community based early warning systems in the selected communities, which included, among others, La Masica in Honduras, Chepo en Panama, Los Diques de Cartago en Costa Rica and communities of the lower river basin of the Samala in Guatemala. Some of these built on and consolidated the earlier OAS work. This project began prior to Hurricane Mitch in the region and the work carried out turned out to be highly effective in reducing loss in various areas affected by this event. This helped to increase public and political attention to the aspect of early warning and some of the Central American experiences, particularly La Masica, were transformed into cases of good practice examined within and without the region, and the method employed was adopted and replicated in different parts of the region and Caribbean.

13. Following the impact of Mitch in the region, and beyond the financial support received for reconstruction from multiple agencies and governments, the event signified an important stimulus for increased programme and project support in the risk and disaster topic from an increased number and diversity of international and governmental agencies, including DG ECHO. This support is guided in principle by the tenets established in the notion of “Reconstruction with Transformation” and those indicated in the first Regional Plan for Disaster Reduction agreed on by regional Presidents at the beginning of the 2000s. The stimulus and demand for an increase in support to risk and disaster prevention and mitigation in the framework of development policy and planning is evident from there on. This is further corroborated by the demands of the Hyogo Framework for Action and the position of the International Strategy for Disaster Reduction in general. At the same time, disaster preparedness and response continues to be an area in need, requiring increased and continuing support.

14. The increased demand and support for wider disaster risk objectives means that the previously instituted and ongoing DIPECHO, OFDA-AID, PAHO and OAS programmes and projects will, from 1999 onwards, be accompanied by an increasingly complex, dense and diverse international support for the topic, where the disaster preparedness and response themes are widened in favour of risk and disaster prevention and mitigation and improved recovery practice. This, in turn, will be accompanied by increased international NGO presence on the issue (see later). With this, “competition” increases and the need for different types of rationalisation and planning as regards intervention territories and community coverage can be seen. However, little overall planning and coordination exists, and among other things, one started to witness the phenomenon of excessive attention to certain areas and the complete disregard of others with similar requirements and needs. In certain areas, this major presence of agencies and institutions led to the establishment of local promotion committees searching to rationalise intervention- for example in the Lower Lempa Valley in El Salvador and in the Polochic and Alta Verapaces area of Guatemala.

15. Among the more salient or internationally supported initiatives, one may cite the following: UNDP support for institutional strengthening and change and local level risk management in the region and in Nicaragua and El Salvador in particular; the Central American Mitigation Initiative (CAMI) established with a fund of over 10 million dollars by President Clinton and assigned to international NGOs for mitigation and preparedness activities in the four so called Mitch countries between 2002 and 2004; the Swiss COSUDE support to risk management activities in Nicaragua, El Salvador and Honduras, in particular, with the promotion of work on hazard analysis, institutional change and support for training and education; the World Bank projects in Nicaragua and Honduras with over 12 million dollars invested in both cases and following a broad mitigation and prevention format, including local planning aspects and incorporation of risk considerations in local development plans; the recently adjudicated World Bank CAPRA project; Spanish Agency for International Cooperation (AECI) support to CEPREDENAC and through bilateral agreements in support of risk management activities and institutional strengthening; Norwegian support for landslide prevention; and Swedish government support through the Agency for International Development (SIDA) and for research Cooperation (SAREC) for research on risk and disaster in the region, channelled and organised by the central American University Confederation (CSUCA) and with a fund of over 20 million euro for ten years; International Red Cross presence in community based schemes and promotion of climate change mitigation work; Inter-American

Development Bank (IABD) promoted work on risk indicators in Guatemala, Costa Rica and El Salvador; and, GTZ support for integrated rural development and environmental and risk management aspects in El Salvador, Guatemala and Nicaragua; DG EURO AID's regional PREVDA project on environmental degradation and risk, and, the decision on the 9th November 2007 by the Spanish government to make up to 105 million euro available for emergency response in the region, opening a warehouse for emergency supplies to be used in disaster conditions.

16. Although it is difficult to estimate the amount of internationally sponsored input in the region for annual non reconstruction and disaster response, and risk management, an informed guess would put this at over 100 million dollars. This means that the DIPECHO presence is financially quite small when compared to the whole, but remains significant as regards the specific area of disaster preparedness and community based approaches to risk reduction. AECI, Swiss Development Cooperation Agency (COSUDE) and GTZ favour community levels, as well, but more from a risk prevention and mitigation stance.

#### **E. The international and national NGO presence and importance.**

18. International and national NGO involvement in risk and disaster problems and challenges has increased enormously since 1998 and Hurricane Mitch. Subsequent events, such as the 2001 earthquakes in El Salvador, drought and forest fires between 2001 and 2002 in the region, the 2004 hurricane season and more recent events such as Beta, Stan and Felix have added impetus or sustained the existing interest. This increased involvement has been achieved principally via an increase in interest on the part of "development" NGOs in the risk reduction theme, as opposed to the involvement or stimulus to a type of risk reduction specialised sector of the NGO community. In Central America today, beyond the Red Cross Movement and the Salvadoran NGO, CEPRODE, there are really no non governmental or international disaster risk or crisis specialised organisations in the region. And the push and interest of these two organisations comes dates back to the early 1990s, both attempting to transit and consolidate more proactive risk reduction approaches, as opposed to response. The Red Cross Movement's innovation with the creation of two training and methodological development reference centres in the region, its widespread use of the Vulnerability and Capacities Analysis methodology and the push, stimulated by the Climate Change Centre in Holland, in favour of work on climate change adaptation at the local level are all well worthy of mention.

19. Whereas a large number of local NGOs and associations are involved with different aspects of risk and disaster work, few have a clear line of action with reference to this. Among the more well known contributors to the topic are Centro Humboldt and IPADE in Nicaragua; CEPRODE, FUSAI, PRISMA and FUNDE in El Salvador; and ASANOUGH in Honduras. Over the years, with more or less success, NGOs have created coordinating committees or networks such as COSIGER in Guatemala working on the risk and disaster issues. These organisations tend to have their own preferred sources of funding, national and international, and in general, seem to be fairly reticent to get involved in DIPECHO type projects or having done so, some have a very critical attitude as regards what some call "unfair competition" or organisational "neo colonialism." A further category of "national" NGOs are those that have an international equivalent but are registered locally as being a national-example of CARE, OXFAM, ACSUR, etc. The Red Cross is obviously a case of this where national organisations work closely with the IFRC.

20. As regards the international NGO group, post Mitch has seen an important increase in their presence in the topic, beyond traditional humanitarian response activities (these of course continue in place). This increased presence reflects the increase in saliency of the topic, the move towards more development based initiatives for risk reduction and of course, finance available from such sources as DG ECHO-DIPECHO, OFDA-AID, GTZ, COSUDE, World Bank, IADB and others. Whereas prior to Mitch, it is difficult to identify many organisations in the topic (see Movi Mundo, and very few others), post Mitch has seen an important increase in the number and type of organisation present (many of these have been around in the region for years but not in the risk topic). DIPECHO has, in fact, since 1999, supported some 30 different international NGOs, including CARE, TROCAIRE, GOAL, Movimundo, COOPI, SI,

ACH, DCA, ACSUR-Las Segovias, OXFAM, GAA, COSPE and CISP. In the same way as national NGOs, these organisations have created and promoted networks and coordinating mechanisms between themselves not only to facilitate disaster response but also to rationalise and promote wider disaster risk reduction objectives.

## **F. The Changing Conceptual and Intervention Programming Context (from Yokohama to Hyogo)**

21. Throughout the 1990s, stimulated by the International Decade for Natural Disaster Reduction (IDNDR), renewed academic endeavour, research and debate and increased use of disaster statistics to illustrate the accelerated increase in disaster impacts and the cost effectiveness of risk prevention and mitigation, the conceptual frameworks, the objectives and the demands for and types of intervention have all evolved at a rapid rate and have the consensus of many risk and disaster related actors. Without wishing to oversimplify, these changes have signified a move from disaster to risk as the central element of analysis; from the need for, and dominant concentration on response and preparedness to the increased saliency of disaster risk reduction, prevention and mitigation, including aspects related to corrective and prospective management and risk transfer; the demand for a greater presence of development based institutions and organisations, complimenting the traditional civil defence, civil protection and emergency committees. Such changes are reflected in the institutional changes made in various countries in the region and elsewhere, and the move toward the creation of national systems or similar efforts.

22. The El Niño **phenomenon** of 1997-1998, Mitch in Central America, Vargas in Venezuela, the subsequent earthquakes in El Salvador and fires and drought in Honduras and Guatemala, in particular, had a galvanising effect on conceptual transitions in the region and elsewhere in Latin America. With these, and building on already established principles (such as the LRRD argument which emerges in the early 2000s, but which dates back to the early 1990s and the concept of “Bridging Disasters and Development”), demands for new approaches to risk and disaster management, more holistic and integrated frameworks (including the demise of the disaster cycle concept and the push for cross phase integration) and more relations to development planning and poverty reduction, territorial organisation and environmental controls have arisen. This transition was reflected in first instance with the use of the notion of “reconstruction with transformation” that fuelled reconstruction negotiations and discussion in the region post Mitch-social, economic, environment and territorial transformation in the interest of risk reduction.

23. The above mentioned transitions and emphases and the activity and intervention implications they have is possibly best summed up in the contents and concept behind the latest CEPREDENAC, 2005-2015, Regional Plan for Disaster Reduction (PRRD, using its Spanish acronym). This document clearly reflects the Hyogo Framework five types of intervention, including the reduction of underlying risk factors through the promotion of development based initiatives. This can also be read in many agency programme statements on the topic, such as those of GTZ and DFID. The European Union common statement on development summarily takes up on this aspect of the relations between development and disaster risk.

24. At present, almost all institutions and organisations, whether national government, regional entities or international or national NGOs would prefer to promote **integrated schemes linked to development parameters**. The DIPECHO process and priorities can not be considered adequate without consideration of the changing conceptual and programmatic basis of many organisations and institutions. In this sense, Central America has perhaps been at the forefront of new debates and conceptual developments now typified in the Hyogo Framework and other programme statements. One of the dominant challenges faced today with regard to projects and programmes related to the disaster risk area is how to achieve maximum results in terms of all risk related concerns (preparedness, response, prevention, recovery, etc.) while gaining maximum advantage from synergies and the opening up of varied options for overall advance in the topic. How can development based schemes incorporate risk reduction, how can response bridge the gap to development, how can preparedness activities stimulate and promote other risk reduction goals, how can methodologies for risk analysis be used to promote advance across the spectrum of risk reduction?

25. The following table summarises the principle changes in concepts and their practical significance, that have occurred in Latin America and in Central America, in particular, over the past 20 years, and particularly during the last 15. (Table taken from Lavell, A. (2007) **Riesgo, desastre y gestión en América Latina: conceptos, enfoques, actividades y actores institucionales y organizacionales**. Document prepared for the International Federation of Red Cross and Red Crescent Societies, Geneva)

<b>Table 1. Changes in Concepts and Focus and their Implications in Practice: A Summary</b>		
<b>Yesterday</b>	<b>Today</b>	<b>Repercussions</b>
<p>“Physicalist” interpretations of disaster based on assessment of the single, if not exclusive, importance of physical threats in the explanation for and manifestation of damage and loss. “Natural” interpretations of risk and disaster.</p> <p>Major importance and relevance attached to the natural sciences, engineering and medicine in the understanding of disaster and intervention in risk.</p>	<p>More holistic and integral interpretations in which the importance attached to exposure and social vulnerability as explanatory factors of disasters is increased and consolidated. More social interpretations (structural, constructivist, relativist, subjectivist and so forth) in which the processes of “development” or “non-development” of society and the processes making up so called “social reconstruction” of risk are taken into account.</p> <p>Contributions and interpretations on the part of a wide range of social sciences. As a result, the study and interpretation of risk and disaster becomes multi-disciplinary and more complex, and the consequences of analysis also require more integral and complex thought.</p>	<p>Understanding of the issue and the forms of intervention requires broadening to include a group of actors from the social and applied sciences with clear connections and the participation of developmental sciences and environmental management.</p> <p>The inevitable nature of the disaster as a notion is replaced by the concept whereby intervention beforehand is seen as a real possibility, thereby broadening the focus of intervention for response to the prevention and mitigation of risk.</p> <p>Need for participative investigation, an important consideration. Consideration given to visions and imaginaries of the population at risk and an increase in demand for social participation in general.</p> <p>Increase in the demand for contributions from social sciences and for multi-disciplinary investigation, the creation of new options and research centres.</p>
<p>Interpretations of disaster are external, autonomous and partial. Vision of a disaster as something imposed, natural or fateful.</p>	<p>More structural and complex explanations, dependent on more fundamental processes in society. The disaster goes from being seen as “natural” to be “social” or “socio-natural.” Risk and disaster are seen as internal products of society.</p>	<p>The need to see risk and disaster in light of “development” processes in society with trends of exclusion, marginalisation, unequal distribution of benefits and power, etc.</p> <p>Transition from “technocratic”</p>

<b>Table 1. Changes in Concepts and Focus and their Implications in Practice: A Summary</b>		
		<p>to social, integral understanding and intervention.</p> <p>Need to see disaster risk management in light of chronic or daily risk and the management of development.</p>
<p>“Disaster” becomes the fundamental and central concept. Something which has its own existence and autonomy, something imposed from outside of society. Visions informed by notions of “product.”</p> <p>Disaster as the point of origin of the intervention as a result of facts which have occurred or will occur.</p>	<p>“Disaster risk” (probability of damage and loss in the future, associated with the impact of a dangerous physical event) as a central or fundamental concept. Condition of “disaster” is therefore seen as a “moment” or a critical and fundamental aspect of risk, actualised. Visions of “process” replace visions of product.</p> <p>The process of construction and accumulation of risk and the possible forms of intervention to reduce or control it become the main aspect.</p>	<p>Transition from the notion of the “cycle or continuum” of disaster to the notion of a process or continuum of risk, and the management of risk as the way to approach the intervention.</p> <p>Intervention seen as something which operates over the process and not only over the product. Reinforces the notions of prevention and mitigation of risk and disaster.</p> <p>Demand to include actors of sectorial and territorial development in management.</p>
<p>Visions of disaster regulated and directed by the exceptional, large-scale or catastrophic.</p>	<p>Visions of continuum in which risk, loss and damage incurred can vary from small and medium to large and catastrophic (applying also to disasters).</p>	<p>Stimulus for the creation of options to register and measure impacts on different scales.</p> <p>Increase in concern for the processes of continual erosion of livelihoods which small and recurrent disasters provoke.</p> <p>Increase in the importance granted to decentralisation and local participation.</p>
<p>Notion of a disaster “cycle or continuum” (divided into concrete, separate or autonomous phases (prevention, mitigation, preparation and so forth).</p>	<p>The notion of a “continuum or risk process”: risk in permanent transition and change in its form and dimensions. Intervention is therefore considered from the perspective of risk in movement where the intervention is envisaged in different, but associated forms, in accordance with the “moment” of the risk.</p>	<p>Notions arising around risk management where risk in constant change and transition is intervened and not only the disaster per se. The reduction of risk accompanies and displaces the notion of reduction of disaster, although this latter concept is maintained in both specialised and popular vocabulary.</p>
<p>The problem of the mitigation</p>	<p>Need increases to promote</p>	<p>Trend towards the coming-</p>

**Table 1. Changes in Concepts and Focus and their Implications in Practice:**

**A Summary**

<p>of greenhouse gases dominates considerations over the reduction of risk associated with climate change.</p>	<p>adaptation to climate change in view of concern regarding the mitigation of greenhouse gasses.</p> <p>Increased proximity, from the conceptual and practical perspective, between notions of disaster risk and risk management with respect to normal climatic variability and adaptation to climate change.</p>	<p>together of the two issues with the advantages this implies in terms of learning as regards intervention.</p> <p>The use of intervention in terms of the immediate to design intervention for the future.</p> <p>Types of necessary institutional arrangements and the coming together of institutions working in climate change with those dealing with risk management.</p>
<p>Division and specialisation around the two issues with the generation of institutional spaces and of separate and distinct specialists.</p>	<p>Growing demand for the coming-together of the two issues, both in interpretative terms as well as for defining the possible intervention, based on the idea of temporal and spatial continuity of the risk factors involved in the short and long term, the notion that the future is built on the present, and that experiences with risk management in view of climatic variability today are important and relevant for adaptation in the future.</p>	<p>Trend towards the coming-together of the two issues with the advantages this implies in terms of learning as regards intervention.</p> <p>The use of the intervention in terms of the immediate to design the intervention for the future.</p> <p>Type of institutional arrangements necessary and the coming-together of institutions working in climate change with those working in risk management.</p>
<p>Problem defined in terms of its structural nature (engineering) and non-structural (normative and behavioural) as regards reduction.</p>	<p>Financial consequences of disasters increase and concern arises as regards financial and insurance aspects to protect against loss and “excess risk”.</p>	<p>The so called “transfer of risk,” that is financial mechanisms, including insurance, which offer financial protection to countries, communities and individuals against possible increases in losses as a concern among certain sectors. Transfer is added to prevention and structural and non-structural mitigation as a mechanism to “reduce” “excess” or “residual” risk.</p>

## **ANNEX 9 Presentation and Analysis of Conceptual Change and Definition of Objectives in DIPECHO Action Plans 1998-2006**

DIPECHO “philosophy”, concept, notions and objectives, while maintaining the disaster preparedness for humanitarian response central orientation, have changed over time. This is natural as programmes are borne in a changing world undergoing permanent conceptual and pragmatic transformations. In the risk and disaster topic, as it is debated and conceived in Central America, the influence of Mitch in the region and Hyogo at the global level can not be underestimated.

A consideration of successive DIPECHO financing decisions and of the call for expression of interest documents for Plans III to V, along with the contents of the evaluation of DIPECHO I undertaken in 1999, allow us to ascertain the more significant changes and transitions (a detailed summary of Plan contents can be found later in this Annex).

DIPECHO I was based on the overall notion that Disaster Preparedness and Prevention “help to reduce vulnerability to risk”. Central objectives included the bolstering of regional organisations and institutions and local abilities, and the fostering of closer relations between the local and national levels. Selection criteria included projects that aimed to prevent minor but frequent disasters in rural areas and that were durable, were developed in the context of permanent local structures and where active participation of the population could be counted on.

DIPECHO II (2000-2002) was strongly influenced by the impacts of Mitch in the region at the end of 1998 and the results of the contracted evaluation of AP I. Both factors led to a far more explicit presentation of the need for interventions to be considered in a development framework. This included the notion of LRRD, but, in fact, went much further. Due to this and subsequent attempts to delimit the role of DG ECHO and DIPECHO, one may present the hypothesis that the programme subsequently closed in on itself in an effort to create its own indisputable identity as a DP approach with only collateral relations with development. Regional projects essentially were cut and efforts concentrated on local level interventions run by INGOs. Regional projects were seen to be too vague, too costly in administrative terms and did not get down to the local level. INGO involvement supposedly guaranteed sustainability and local appropriation or “beneficiary ownership.”

The logic behind AP II was that the first step in mitigating hazardous events (**vulnerability reduction**) is to recognise the importance of "**preventive concepts**" rather than "**responsive strategy**". Therefore, it was seen to be vital in the context of Central America to prioritise "vulnerability mitigation" and make this strategy a part of the development process in such a disaster prone region. The lack of links to the development process was seen as a weakness of the first plan and increased emphasis was now to be given to LRRD aspects.

Projects financed under Plan II should: integrate within a regional and national Disaster Prevention and Preparedness (DPP) frameworks; contribute to current rehabilitation-reconstruction-development programmes, and in particular, complement PRACC; maximise existing tools; concentrate on the municipal level and support decentralisation processes; develop mechanisms for transmitting lessons learnt; and “**address the root causes of the problem of vulnerability of the population in the region.**” Critical aspects noted include the fact that Mitch showed that DP should be an integral part of each country’s development strategy, specifically as an essential tool for territorial management. The central aim was to “**consolidate a regional approach to Disaster Prevention, Mitigation and Preparedness through a bottom up approach with a solid regional umbrella.**”

DIPECHO III maintains the central notion of the **reduction of vulnerability of the local communities living in high-risk areas and the promotion, demonstration and initiation** of actions that will lead to a reduction in disaster related risks of vulnerable populations in developing countries.

The overall objectives of the third Action Plan is to contribute to **prepare local communities and institutions better, to enhance their capacities to cope with disasters** and to finance small-scale mitigation works. The emphasis has been placed on projects which will reinforce the local capacity for disaster management, whether they are to be implemented at the local, national or regional level. The notion of coping is introduced for the first time, though not defined.

As regards regional impacts, DG ECHO's role is to ensure a multiplier effect to the projects implemented at local and national level and to stimulate networking among all the organisations working in DP. The strong element of discussion as regards development, including reduction of root causes, territorial planning, etc. essentially disappeared from programming documents with this plan and have never reappeared in such an obvious and definitive way.

DIPECHO IV establishes as its central objective in the Financing Decision to reduce risks in Central America by ensuring **preparedness** for the most vulnerable populations in the regions most affected by recurring natural disasters. Specific objectives included: **an increase in the response capacity at local level** of the most vulnerable populations, by integrating and coordinating the activities at local, provincial, national and regional levels, and by contributing to the standardisation of **preparedness programmes**; the compilation and dissemination of **best practices** relating to **disaster preparedness**, to appropriate **early warning** and intervention systems in cooperation with the national and regional disaster response, **preparedness and prevention systems**.

Objectives and concepts deriving from the call for interest for the IV Action Plan also talked of small prevention and mitigation interventions if they have a demonstrative purpose; targeting the most vulnerable communities and categories of population using bottom up participatory methods and relevant local materials and resources that can be easily replicated; and, focusing on the regions most exposed to natural hazards and of difficult access.

For first time, the notions of “coping capacity,” “local,” and other terms are defined

Finally, DIPECHO V uses the same basic definition of the general objective as in IV, but in its specific objectives refers to “support strategies that enable local communities and institutions to better **prepare for and mitigate** natural disasters by enhancing their capacities to **cope**, thereby increasing **resilience and decreasing vulnerability**.”

Definitions stay the same as in the last AP but no definition of resilience is offered. In fact, this term does not appear in the glossary used by DG ECHO (see Annex 2 of terminology). With the incorporation of the specific objective couched in complex conceptual terms, the definition is again introduced into the equation and the relationships to development that are required are also undefined once more.

## A FINAL COMMENT

Concepts are the basis of ordered and adequate actions and intervention. DIPECHO invokes significant concepts and notions since its beginnings. However, the evaluation team feels that these are not always given adequate consideration and may, in fact, lead to confusion among partners and other organisations with whom collaboration must exist.

Over the years, disaster prevention, mitigation and preparedness; vulnerability reduction; root causes, coping capacities and resilience, among others, have all appeared in the used terminology. The introduction of different terms clearly is period driven. Post Mitch led to the more frequent use of development based concepts and goals. Post Hyogo led to the use of resilience and disaster risk reduction as central ideas. But from our perspective, the hierarchies and relationships and the practical significance of these terms has not always been developed adequately.

While coping capacities are understood more easily by disaster preparedness organisations, resilience is not so easily comprehended and when it is affirmed that increasing coping capacities helps increase resilience, the relationship is not understood so easily and less easily incorporated in practice. How much better would it be to simply state that the objective of DIPECHO is to increase the capabilities of communities to face up to recurrent and nonrecurrent damaging events with lower loss of life and welfare, advancing, where possible, their livelihood options, than to enclose this idea in diverse and at times complex and diversely understood concepts? To what extent does the frequent use of “disaster risk reduction” as an apparent substitute for disaster preparedness lead to confusion? Does this very fact explain why so much onus and pressure is placed on DIPECHO to assume the role of promoter of more general risk reduction objectives and parameters?

## **Summary of Objectives and Concepts Taken from Financing Decisions and Call for Expressions of Interest**

### **1. DIPECHO Action Plan I:**

#### **1.1 Central premise**

Disaster Preparedness and Prevention are defined in terms of “helping to reduce vulnerability to risk.”

#### **Vulnerability**

Two factors influence people’s **vulnerability** to natural disaster in this region: population density and annual population growth. All the Central American countries have a high population density (particularly El Salvador and Guatemala) and high annual demographic growth (mainly Nicaragua and Honduras), which contribute to the region’s extreme vulnerability

The impact of natural disasters considerably increases vulnerability because the region suffers from high levels of poverty and socio-economic inequality. This puts Nicaragua, Guatemala, Honduras and El Salvador very low on the world Human Development Index (HDI), and means that there are **groups of extremely vulnerable people** with little ability to stand up to the effects of a disaster.

Although the Human Development Index rankings of the countries of Central America differ from each other, the vulnerability of their inhabitants is more a function of the vulnerability of different parts of Central America as a whole. In light of this consideration and in the interest of making better use of the funds, the countries involved have produced a list of provinces/departments and municipalities which they regard as priorities. Among the selection criteria used were **population density and frequency of disasters**.

#### **1.2. Regional approach**

“DIPECHO uses a regional approach and subsidiarity between ... various levels.”

Support for initiatives with a *regional impact, including:*

- Current projects focusing on the region and/or several countries of the region within the framework of common experience of **disaster mitigation**;
- Extension throughout the region of projects of proven effectiveness developed in one or more countries;
- New projects benefiting the region and/or allowing immediate joint efforts on disaster mitigation;
- Developing national and local projects with a demonstration value which can be reproduced on a wider scale after implementation;
- Interchange of experience in the various fields involved in disaster mitigation.

There is no intention to limit the DIPECHO programme to the neediest countries, relying only on the differences observed as regards levels of *vulnerability*, *risk* and *management capabilities*, but to exploit the differences existing in the region to encourage emulation.

### **1.3 Efforts at the local and community levels**

The prospect of rapid practical results is greatest at local level (municipalities, community organisations, etc.) because they constitute the operational base for *disaster mitigation* policies, provided the recipient communities are themselves closely involved in the management of the programmes.

DIPECHO will not be financing activities which are part of development programmes, but will be seeking to promote the idea of better integration between preventive action and sustainable development and to facilitate implementation of development programmes. This would help to maximise the **effectiveness** of the *disaster management* programmes directly supported by DIPECHO.

### **1.4 Strengthening connections between local, national and regional levels**

Another DIPECHO objective, connected with those already mentioned is to strengthen the links between the various levels of activity. While operational action usually takes place at the local level, *policy*, *promotion* and *coordination* generally take place at national and regional levels. However, the small degree of decentralisation of decision making structures requires action to achieve more fluid information and to see that decision makers take advantage of action at local level; this would produce better consistency among outside activities.

### **1.5 Strengthening relations with other European Commission services.**

Another strategic element to be taken into consideration is the strengthening of cooperation and coordination between DG ECHO and its partners. To ensure effectiveness and coherence in the DIPECHO programme and its simultaneously regional and global approach, there is a need to strengthen cooperation and coordination between DG ECHO and the various partners working to *mitigate* the effects of natural disasters, but also between DG ECHO and those working in development.

This involves, in particular, those involved in the European Community, institutions at the various geographical levels, particularly regional level, DG ECHO's partners in the implementation of projects (NGOs, international organisations, other donors).

Criteria used to decide projects included: improved urban rural balance; attention to the most vulnerable, particularly women, children and elderly; infrastructure; reducing vulnerability of homes and buildings; small scale operations with demonstration effects.

### **1.6 Selection criteria:**

- Priority regions: prevent minor but frequent disasters in rural areas
- Durability: existence of permanent local structures.
- Take on most frequent types of risk where the frequency and not the type is considered
- Choice of recipients: those that are in areas affected by disaster and willing to take active participation.

## **2. DIPECHO Action Plan II**

### **2.1 Central premise**

The logic behind the Central America programme is that the first step in mitigating hazardous events – **vulnerability reduction** – is to recognise the importance of "**preventive concepts**" rather than

**"responsive strategy"**. In other words, hazards and vulnerability should be addressed "before" rather than "after" events occur.

Disaster response is a passive and temporary action with high costs in terms of money and human lives. On the other hand, **the vulnerability/reduction concept is proactive**, as it can reduce the probability of loss before it becomes a real threat or tragedy, and will minimise the magnitude of damages.

It is also cost-effective, since it reduces emergency, recovery, and reconstruction expenditures. Therefore, it is vital in the context of Central America to prioritise "vulnerability mitigation" and make this strategy a part of the development process in such a disaster-prone region.

The focus of this disaster preparedness and prevention programme for Central America is humanitarian and is therefore limited to **promotion, demonstration and initiation** of all kinds of actions that will lead to a reduction in disaster related risks of vulnerable populations in developing countries.

Insistence on a move away from regional projects in favour of local level projects given the idea that NGOs guarantee sustainability due to beneficiary ownership.

## **2.2 Definition of objectives and priorities**

Projects financed under Plan II should:

- Integrate within a regional and national DPP framework
- Contribute to current rehabilitation-reconstruction-development programme and, in particular, supplement PRACC, post Mitch.
- Maximise existing tools
- Concentrate on the municipal level and support the decentralisation process.
- Develop mechanisms for transmitting lessons learnt.
- Address the root causes of the problem of vulnerability of the population in the region.

The central aim is to **“consolidate a regional approach to Disaster Prevention, Mitigation and Preparedness through a bottom up approach with a solid regional umbrella.”**

The plan will be focussed on identifying physical vulnerability by producing risk maps, which can be used for town and country planning and critical aspects of mitigation. Since man-made actions contribute to physical vulnerability, DIPECHO can have local pilot projects with demonstrative value to reduce vulnerability, including teaching sustainable development models for crops, reforestation, etc.

Critical aspects noted include the fact that Mitch showed that DP should be an integral part of each countries development strategy, specifically as an essential tool for territorial management. With this, emphasis is to be given to LRRD. DIPECHO will contribute to establishing the basis for future reconstruction processes that take risk into consideration.

## **3. Action Plan III**

### **3.1 Central premise and objectives**

The main aim of the DIPECHO programme is the **reduction of vulnerability of the local communities living in high-risk areas**.

The focus of the disaster preparedness programme is humanitarian and is therefore limited to *promotion, demonstration and initiation* of all kinds of actions that will lead to a reduction in disaster related risks of vulnerable populations in developing countries.

The overall objectives of this third Action Plan is to contribute to prepare local communities and institutions better, to enhance their capacities to cope with disasters and to finance small scale mitigation works.

The emphasis is placed on projects which will reinforce local capacity for disaster management, whether they are to be implemented at a local, national or regional level.

Projects must satisfy the following overall criteria:

- DIPECHO is mainly designed for communities. A project must meet and reflect the needs of communities that are the immediate victims of disasters, regardless of the level at which it is implemented – even at the national level.
- Strengthening local capacities: All DIPECHO projects must lead to the strengthening of local capacities (i.e. address physical, social and organisational needs, take into account motivation and attitude, develop skills and management tools). It is essential to reinforce such capabilities as the durability and suitability of a project depend on them.
- In this context, projects must include and describe all mechanisms that will be used to carry out diagnosis of pre, during and post disaster, as well as the relevant tools that form an integral part of the drafting of community disaster preparedness plans.

If possible, projects should take into account the following orientations:

Involve women in project implementation.

Ensure appropriate coordination in the field with entities responsible for Disaster Management and/or other local actors.

Information dissemination strategy - Projects must include a strategy for disseminating information to other local or international actors on the issues tackled, the approach used, the project results and the lessons learnt. This strategy will be one of the indicators of progress made by the project

### **3.2 Actions at different levels**

#### **Stepping up action at the local level**

- Raising public awareness, informing on the risks that local people incur and the easiest ways to reduce these risks. Validate the role of women through awareness-raising activities. Implementation of educational activities for children in schools.
- Strengthening the capacity of communities to mobilise in order to encourage coordination, exchange of information among local communities and/or other local actors involved in the area concerned.
- Strengthening of local actors' capabilities in their response to disasters and in the organisation of emergency relief, in particular through training of local staff, awareness-raising and simulation exercises. First aid training for community volunteers and setting up rapid reaction teams in order to enhance local response to disasters.
- Support for drawing up local disaster management plans with community involvement.
- Establishing early warning systems which use low cost technology.
- Supporting small scale mitigation projects, which would complement disaster preparedness activities in order to alleviate the impact of disasters.

#### **Strengthening the connections among local, national and regional levels**

While operational action usually takes place at the local level, policy, promotion and coordination generally take place at national and regional levels. At the national level, DG ECHO will privilege the following activities in particular:

- Awareness-raising and training of the representatives of the local authorities.
- Awareness-raising and strengthening the capacity of municipalities and national services in charge of disaster management..
- Production and dissemination of disaster management tools, such as risk maps.
- Support appropriate mechanisms to allow information circulation, sharing and dissemination, strengthening the interrelations among various actors from local to national and regional levels.

### **Support for initiatives with a regional impact**

DG ECHO's role in this context is to ensure a multiplier effect to the projects implemented at local and national levels and to stimulate networking among all the organisations working in DP. The main activities financed are:

- Encourage training, coordination and complementarity, exchange of information and cooperation among regional organisations, national structures, NGOs (local and international), and international organisations working in the field of disaster preparedness.
- Support activities promoting joint experiments in disaster mitigation.
- Support regional coordination in order to make it possible for the dissemination of information coming from all levels.
- Promote the coordination at the regional level in order to standardise procedures, methods and indicators used in the field of damage assessment, vulnerability assessment, etc.

This is the third DIPECHO Action Plan in this region. In the framework of this call for proposals, the two following scenarios are possible:

The project submitted is the **continuation of a project** financed in the framework of one of the previous DIPECHO Action Plan(s).

The project is a new one in terms of the activities envisaged, the applicant organisation or the location foreseen for the project.

In these two cases, organisations must clearly define the measures that they will take to ensure that projects will produce results **of a lasting nature and results that can be exploited** once DG ECHO financing stops. Organisations have to be proactive in seeking other funding sources for the project, in particular if several phases of the project have been funded successively within the DIPECHO programme.

DG ECHO will ensure that this third Plan **does not create too many high expectations**. Indeed, following the implementation of this third Plan, it will be rather a matter of taking **stock of the achievements and of the difficulties encountered in the implementation of the DIPECHO regional approach** in Central America during three cycles and **of analysing the feasibility of alternative approaches to the regional one**.

## **4. DIPECHO Action Plan IV:**

### **4.1 Objectives**

Principal objective: to reduce risks in Central America by ensuring **preparedness** for the most vulnerable populations in the regions most affected by recurring natural disasters.

Specific objectives:

1. **Increase the response capacity** of the most vulnerable populations **at the local level**, by integrating and coordinating the activities at local, provincial, national and regional levels, and by contributing to the standardisation of **preparedness programmes**.
2. Contribute to the compilation and dissemination of **best practices** related to **disaster preparedness**, appropriate **early warning** and intervention systems in cooperation with the national and regional disaster response, **preparedness** and **prevention systems**.

#### 4.2 Mechanism and means

- Fostering **appropriate and sustainable preparedness activities** that are coordinated with local, national and regional public institutions, which can be **replicated easily** in other parts of the region, and beyond. Small prevention and mitigation works can supplement the project if they have a demonstrative purpose
- Targeting **the most vulnerable communities and categories of the population** using bottom up participatory methods and relevant local materials and resources that can be easily replicated.
- Focusing on the regions most exposed to natural hazards and of difficult access

For the purpose of this expression of interest, we understand *coping capacity* as the level of resources and the manner in which people or organisations use these resources and abilities to face the adverse consequences of a disaster. Local level refers to community and municipal levels. Sub-national level refers to provincial, departmental or state levels (according to the political-administrative division of the country). National level refers to country level. Regional level refers to the Central American region.

### 5. DIPECHO Action Plan V:

#### 5.1 Objectives

Principal objective: to reduce risk by better preparing the vulnerable populations in the areas most prone to natural disasters in Central America.

Specific objective: to support strategies that enable local communities and institutions to prepare for and mitigate natural disasters better by enhancing their **capacities to cope**, thereby increasing **resilience** and decreasing vulnerability.

**Changes to Which the Project Has Contributed: Expectation of Impact Effectiveness Rating (Achievement against Stated Objectives)**

**Reach Who? Change What? Change How Much? Reach How Many?**

**I. Physical and Financial Assets**

- Did people's access to communication change?
- Did exposure to risk change?
- Were lives saved or did exposure change?
- Were livelihoods saved or did exposure change?

**II. Human Assets**

- Did access to information and knowledge change?
- Did social cohesion and local self-help capacities of communities change?
- Did gender equality and/or women's conditions change?
- Did people feel empowered vis-à-vis local and national public authorities and partners?
- Do they play a more effective role in decision making?
- Did conditions for provisions for people with disabilities change?
- Were indigenous capacities where relevant?

**III. Social Capital and People's Empowerment**

- Did communities feel empowered?
- Did vulnerability to risk change?

**V. Environment and Common Resource Base**

- Did exposure to environmental risks change?
- Did national, local public institutions and service provision change?
- Did national/sectorial policies affecting the vulnerable at risk change?

**VI. Institutions, Policies, and Regulatory Framework**

- Did the regulatory framework affecting DRR change?

## **ANNEX 11          Replicability**

Replicability is understood in terms of tried and proven practice being utilised to approach problems in other areas with similar risk conditions. Overall strategies or articulated measures for intervention may be seen as a whole, or in terms of their constituent parts. Thus, for example, an early warning system could be replicated as a whole with all its constituent parts, or some particular component could be replicated, such as the techniques used to monitor hazards, analyse vulnerability, raise consciousness among the population or alert the population once a hazard event is foreseen. Thus, when one talks of replicability, one has to be conscious that this has different connotations if we are dealing with overall replicability – strategic approaches – or rather, the replicability of components of the scheme.

When looked at the whole DIPECHO project and all its components from an integral, strategic level, then any idea of replicability is difficult to foresee unless it is achieved through the same organisation with new financing undertaking a similar approach in a different region. This occurs, for example, with an organisation such as CARE France which to date has implemented DP measures based on early warning systems in three volcanic areas in Nicaragua, and intends to carry on in a fourth area in the future, advancing or modifying a proven approach and method. However, beyond these opportunities for intra-organisation replication, there are no cases known to the evaluators where overall schemes were replicated under the impulse of national or local authorities. And this is to be expected of course given that sums between 200 and 500,000 euro are never really going to be available from national or local resources for other isolated, highly vulnerable rural communities or those living in precarious conditions in the city.

When examined from the individual component or instrument side, of course there are many examples of specific techniques or instruments being used in other projects and areas, but in fact, many of these have been developed in other regions or organisations prior to their use in DIPECHO projects. CARE International, during its CARE-CAMI project, developed many types of instruments; the Red Cross developed the VCA method prior to DIPECHO usage. One hopes that information on this type of replicability is highlighted and systematised by the present UNDP and UNICEF regional projects in DIPECHO V.

Thus, the question of replicability points in two directions: the first, regarding partial approaches and instruments that may be found in many different types of strategic approaches; and the second, concerning integral approaches where many of the principle defining elements and instruments are transferred to similar areas, although obviously modified in accordance with specific conditions. The former will be more common, the latter almost nonexistent. Under these conditions, when DIPECHO talks of replicability, it is highly important to recognise the type of replicability we are talking about and attempting to assure.

A significant problem relating to replicability is with regard to replicability under what circumstances and in what contexts? If we look at replicability in an area subject to rural flooding, volcanic activity or landslides, for example, then the onus is on hazard and associated risk, due to existing vulnerability conditions. We then assume that there is a replicable instrument or strategy built on the notion of types of hazard. This is true to a certain extent. However, if we look at the problem of replicability, taking into consideration that this is possible when the overall conditions of an area are similar to those in which the technique or strategy has been previously tried, then we must think more in terms of a typology of risk areas, where replicability is more probable and more easily promoted if the types of overall social condition that exist are similar, and not just the type of hazard and associated risk or vulnerability. Risk placed in its own particular social, cultural, economic and political milieu will require different types of approach and this is one of the essentials of promoting replicability.

In general, there is little evidence to support the notion of any widespread process of replicability as a result of DIPECHO projects in the region, although techniques and models will have been tried in

different realities. A move to area selection based on typology criteria could be extremely beneficial to increase options for replicability. This could also be a good basis for the undertaking of projects that attempt to systematise good practice and examine the levels of replicability and use such practice has.

## ANNEX 12      **Typology considerations**

The identification of priority zones using hazard, vulnerability and exposure criteria is one viable option for reaching conclusions on intervention areas for DIPECHO. The criteria used clearly relate to levels of risk and particularly to vulnerability levels in identified communities or localities. However, this technique may, and in fact does lead to the identification of similar types of hazard context each round of analysis and to a some what rote repetition of interventions in similar types of zone—mainly flood and landslide prone. Another option that we believe to be possibly more appropriate for future DIPECHO plans and for guiding the national consultation meeting process, is that guided by the principle of a **typology** of risk zones. Risk conditions have many different levels and manifestations. And, intervention strategies must be conceived according to the specific conditions of different areas. These conditions relate to hazard and vulnerability but also to differing expressions of culture, society, social networks, social capital, history and experience etc. That is to say, the notion of a typology of risk areas goes well beyond the risk factors existing in these areas, whilst also giving them high priority in terms of types of risk area selected. At present, although the methods used to identify priority areas for intervention on the part of DIPECHO do now consider local capabilities to confront risk, this single criterion is not sufficient to distinguish the rich range of different risk contexts that exist and that pose very different challenges for DP.

The construction of typologies, as is the selection of areas and themes now used by DIPECHO in its national consultation meeting format, is a specialised and methodologically complex task. Assessment includes both exposure to hazard and socioeconomic, political, infrastructural vulnerability considerations. In addition to exposure, relevant criteria or bases for identifying types (in the framework of diverse types and dimensions of risk associated with different hazard conditions) could be the following:

<b>Risk Typology Assessment Factors</b>
<ul style="list-style-type: none"> <li>• Rural-urban distinctions / large to small urban centre continuum.</li> </ul>
<ul style="list-style-type: none"> <li>• Time of occupation of areas by existing population and their knowledge of the area (displaced/rural to urban migrants/recently settled).</li> </ul>
<ul style="list-style-type: none"> <li>• The types of social and economic organization and insertion of the population (small scale subsistence, through to large scale commercial agriculture with highly dispersed or concentrated poor populations; temporary and permanent labour forces in annual or seasonal activities and areas, etc.)</li> </ul>
<ul style="list-style-type: none"> <li>• Levels of environmental degradation and resource mismanagement.</li> </ul>
<ul style="list-style-type: none"> <li>• The social, ethnic and gender make up of the population;</li> <li>• levels of homogeneity and heterogeneity;</li> <li>• distinctions in use and knowledge of traditional methods and techniques of prediction and prognosis.</li> </ul>
<ul style="list-style-type: none"> <li>• The structure and hierarchy of power relations in the areas—from centralist and dominant to democratic and decentralised.</li> </ul>

Examples of differing risk contexts will help to clarify what we are talking about. Thus, for example, a context where urban slopes are being rapidly occupied by new poor immigrants from rural areas or even from other parts of the urban area is a completely different risk context to an urban community located on similar steep slopes but with years of existence in the same place and with already established social organization. These two types of zone will require different intervention strategies as regards DP or DRR in general. Rural communities typified by multi lingual and multi ethnic populations living under conditions of poverty and employed in commercial agriculture is a very different risk situation to compact, mono lingual, mono ethnic communities working in subsistence agriculture, when it comes to designing DP strategies and mechanisms, even where the type of hazard and its intensity is the same.

The construction of a risk typology requires consideration of differing risk, social, economic and political variables and must distinguish between urban and rural contexts. The results of such an exercise may be enormously useful when it comes to DIPECHO area priorities. The advantages of such an approach are:

1. Projects could be selected on an overall regional basis such as to be representative of the most significant types of risk zone. Subsequent DIPECHO plans could take up on other types. Multi national projects could attempt to intervene in similar areas in different countries or in different types in different countries. In this sense the projects would be pilot in a real sense and the lessons learnt relevant to intervention in similar types of area.
2. The typology approach would allow a return to a level of consideration which takes the region as a whole as a starting point, such that country interventions contribute to an overall identified need at the regional level.
3. Regional projects that attempt to systematize good practice etc could then take as a starting point interventions, mechanisms, instruments, strategies implemented in particular types of risk area and thus would be far more useful than generic approaches where, unless careful consideration is given to the relationship between so called good practice and the very particular conditions of the risk area intervened, we run the risk of overgeneralization and non useful results.
4. The use of typology approaches would allow trans-regional projects to be implemented that cut across the somewhat structured regional division that DIPECHO uses—risk is not built up according to regions but rather according to different processes that can occur in Central America or in Andes and Caribbean.
5. From the study and methodological perspective the use of a typology approach would allow a regional approach to definition where analysis is put in the hands of a single research group for the region. Country selection of types of area to be intervened would be based on overall regional considerations and needs and would also allow the more convenient incorporation of Costa Rica and Panama in DIPECHO projects.

## ANNEX 13 Questionnaire for DIPECHO Partners<sup>31</sup>

### Quantitative and Qualitative Analysis (Action Plans IV and V)

General questions regarding the DIPECHO Programme and Project

- 100% of partners that responded to the questionnaire had **previous working experience in the area** of their DIPECHO project(s).
- The great majority of surveyed partners will **apply for a new DIPECHO grant**, deriving from the VI DIPECHO Action Plan; (in one case, the partner will not apply due to the end of project V coinciding with the beginning of Plan VI).
  - The proximity of the VI call is positive in terms of continuity or contractual procedures (for national organisations). It is negative, however, for those organisations that have suffered a delay in project execution. Special deadlines for the presentation of new proposals and acceptance are suggested for these cases.
- The **most difficult activity** to achieve, according to partners, is coordination with municipal authorities who, in general, are unwilling to get involved in the project process. This activity is considered more time consuming than activities executed at a community level.
- In general terms, **DG ECHO monitoring** visits are perceived as being particularly useful for responding to administrative problems, discussing specific technical issues, and appreciating whether mechanisms in place are appropriate for the implementation of activities. Conversely, visits are not considered very useful for partners to learn if their logistical capacity is in tune with the intervention requirements or for assessing the impact of the project.
  - Assessing the impact of the project is, however, one of the principal stated objectives of the third monitoring visit. Paradoxically, one partner affirms that impact assessment is not an objective of the monitoring visits. “Observación: visitas de monitoreo son demasiado puntuales para valorar el impacto del proyecto y tampoco es el objetivo de la visita de monitoreo”.

Monitoring visits should focus more on impact assessment according to interviewees.

More than 60% of respondents agree on the fact that the provided **format for project proposals** facilitates the overall design of the project. Also, more than 60% consider it probable to obtain new **DIPECHO financing for the same project zone**. One partner totally disagreed on the following statements: “The DIPECHO programme facilitates coordination with other DIPECHO projects” and “DIPECHO documents are frequently disseminated for reference/consultation purposes.”

- In relation to the **follow up on projects**, 13 out of 17 organisations are/were able to undertake follow up with their own funds or donor funding.

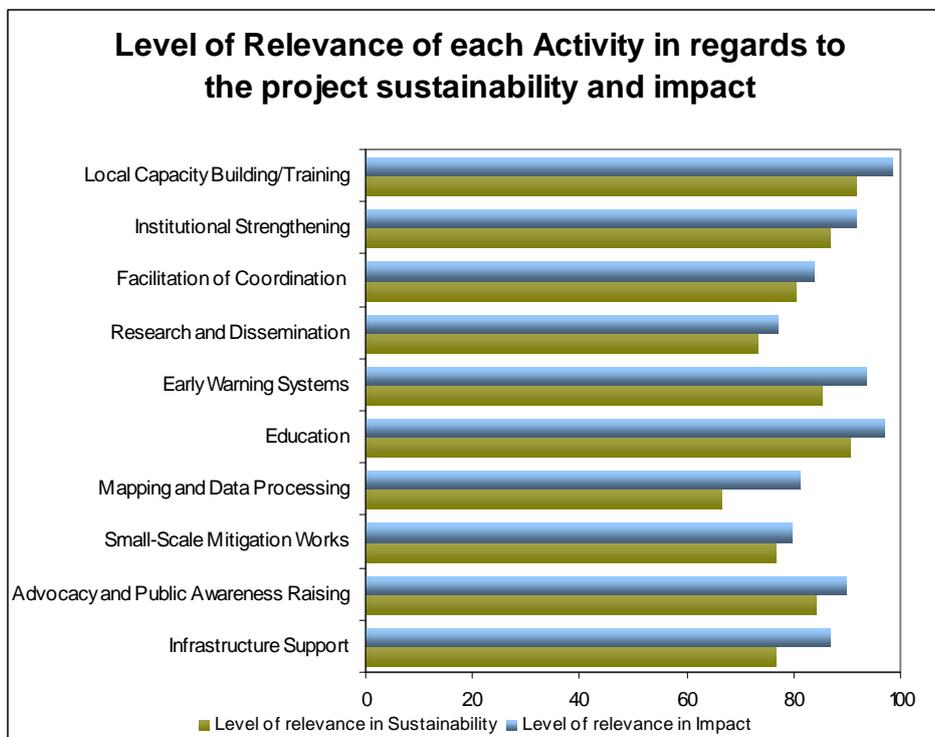
#### Intervention areas

- 11 DIPECHO projects have carried out **activities** financed **with non DIPECHO financing**; 8 projects have not.

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<sup>31</sup> Questionnaires received from 18 partners/20 projects. Note that the total number of answers varies depending on the nature of the question. If the question refers specifically to the project, the total analysed is 20 (projects). However, if the question asks for partner’s point of views on the programme or their organisations, then the total analysed is 18 (partners). 50% of all projects approved in rounds IV and V replied to the questionnaire which gives the analysis a high level of statistical relevance.

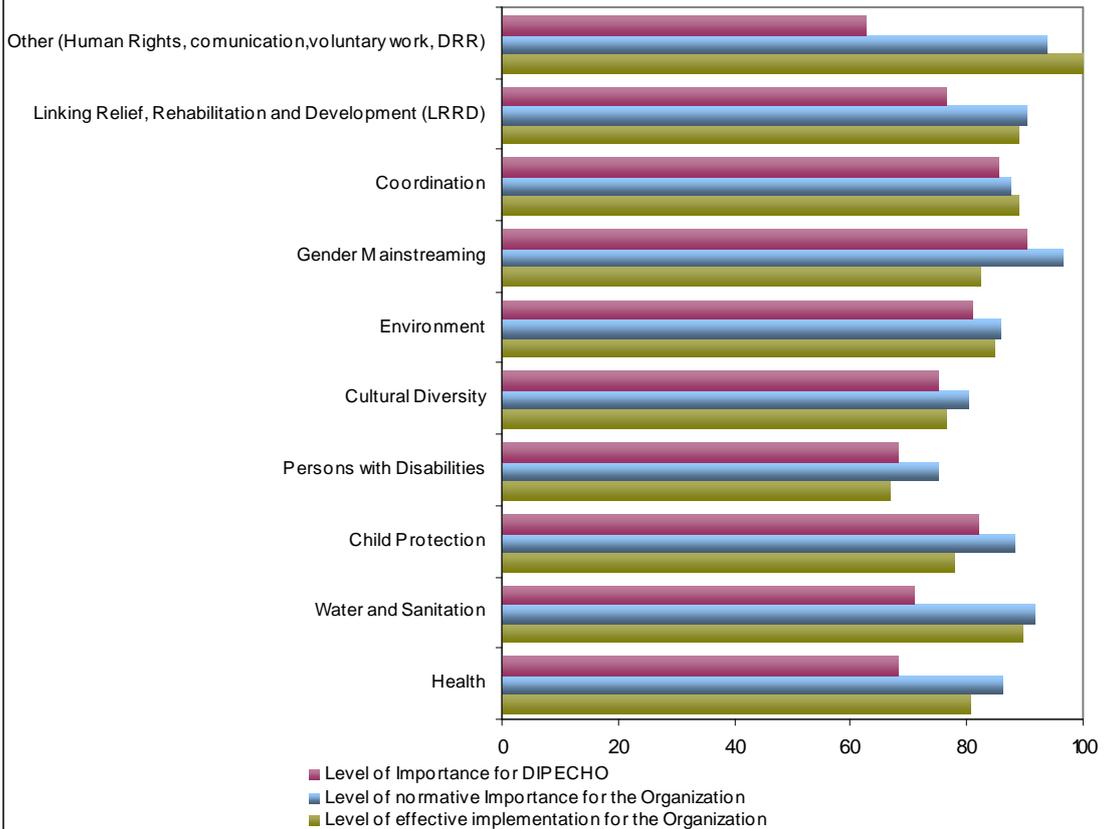
- In regard to **project sustainability**, the four DIPECHO intervention areas/activities that are considered “extremely relevant” by respondents are: advocacy and public awareness raising, education, institutional strengthening and local capacity building/training. Only one partner believes that research and dissemination is highly relevant. The activity judged least relevant is mapping and data collection. Regarding the **project impact**, most partners believe that all intervention areas are relevant or extremely relevant, especially education, early warning systems and local capacity building/training.



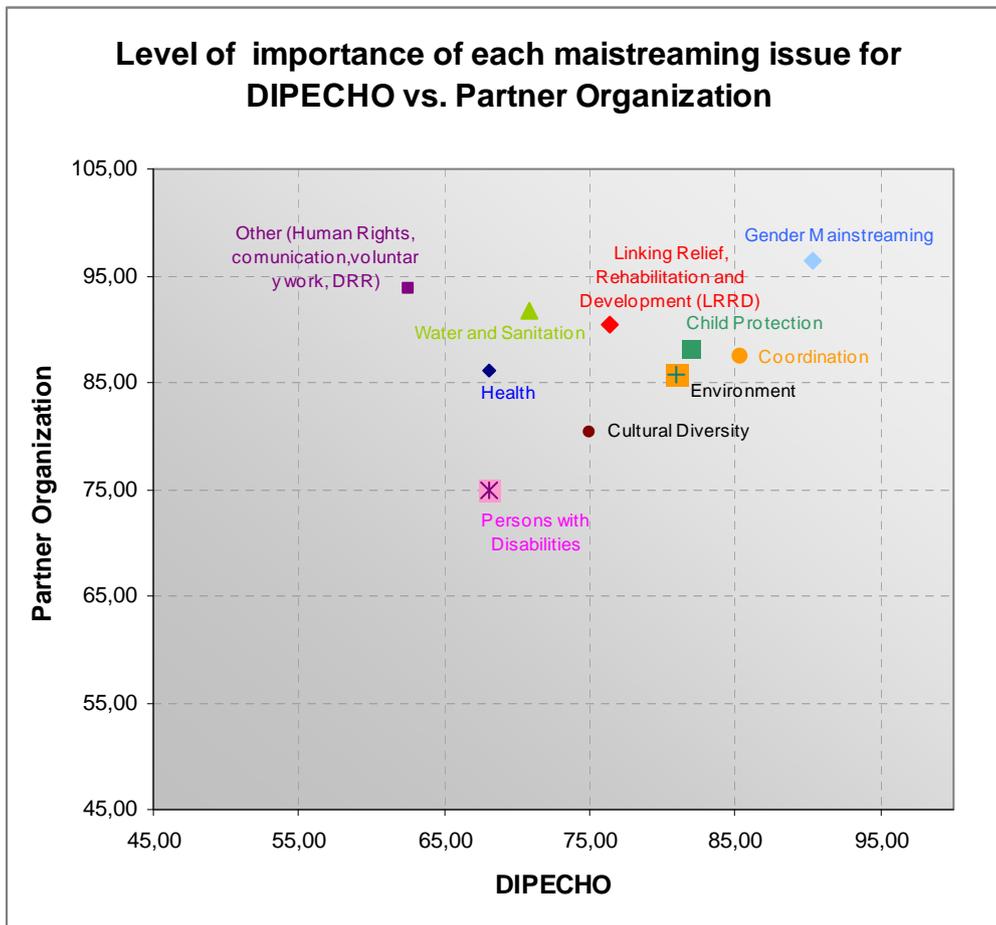
- **Mainstreaming issues**

- 12 out of 18 partners think that the DIPECHO programme gives great importance to gender and nine to coordination. On the other hand, eight partners feel that little importance is given to health, and eight said the same as regards persons with disabilities. Five partners (one per activity) declared that water and sanitation, child protection, persons with disabilities, cultural diversity and LRRD are not important for the DIPECHO programme. Contrarily, 14 respondents said that water and sanitation is of great importance for their organisations and is part of their daily activities. Gender, coordination and LRRD are also the most effectively implemented activities by their organisations.

### Level of normative Importance and effective Implementation of each mainstreaming issue for partners' organizations and DIPECHO



### Level of importance of each mainstreaming issue for DIPECHO vs. Partner Organization



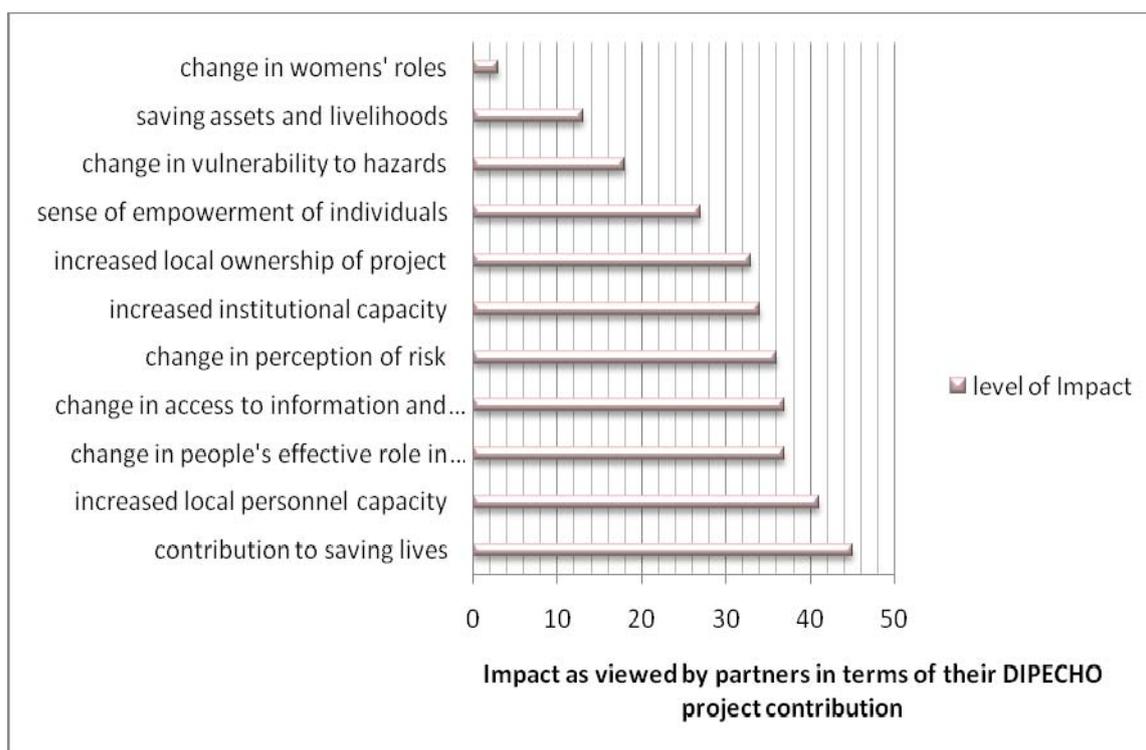
**DIPECHO projects linked to particular development initiatives:** Eight questionnaires answered “no” and 11, “yes.” Of these eleven, the majority explained that the link with development initiatives was due to their organisation’s own initiative.

- **Project related to other programmes and/or projects of the European Commission:** Nine answered “no,” 10, “yes.”
  - In order to better integrate the DIPECHO programme in the overall context of EC risk management in the region, it seems to be necessary to further promote and facilitate the coordination between DIPECHO projects and other EC programmes.
- In accordance, the surveyed partners commented means of **establishing stronger relationship between DIPECHO projects and EC programmes/projects**. The most relevant or recurrent ideas should be highlighted: experience exchanges and systematisation, more flexibility and willing to share information, formulating an integrated design of EU projects and programmes based on a concept of long term development for the region, financing different projects within a same geographical area, DIPECHO-DG ECHO-EC decision makers should create discussion forums in which more direct linkages between programmes and projects of related issues are established, undertaking of specific projects in charge of the coordination and collaboration agreements among entities.

### Complementarities and synergies

- All DIPECHO partners are willing to find **complementarities and synergies with other actors**. Also, 16 out of 20 responded that they consulted and used the **lessons learnt from previous DIPECHO projects** in the design and/or elaboration of the project. Furthermore, only two answered that they did not maintain **exchanges with DIPECHO partners or with other actors**. Finally, in regards to **regional projects**, only three affirmed they “considerably” **contribute to the strengthening of the exchange of experiences between DIPECHO partners**; nine said “sufficiently” and five “barely.”

**Average of partner responses based on their assessment of their project’s impact on different issues** where 50 represents the highest level of impact, and scores below 25 are considered little impact.



## Levels of resilience: Community

<b>Respondent</b>	<b>Before the implementation</b>	<b>After completing the DIPECHO project</b>
<b>1</b>	Level 1	Level 2
<b>2</b>	Level 1	Level 2
<b>3</b>	Level 1	Level 2 or 3
<b>4</b>	Level 1	Some communities in level 2 and some in 3
<b>5</b>	Level 1	Communities level 3, local authorities levels 2 and 3
<b>6</b>	Level 1	Level 3
<b>7</b>	Level 1	Level 3
<b>8</b>	Level 1	Level 3
<b>9</b>	Level 1	Level 3 (approaching level 4)
<b>10</b>	Level 1	Level 4
<b>11</b>	Between levels 1 and 2	Level 3
<b>12</b>	Level 2	Level 3 (approaching level 4)

## Improvements in the DIPECHO programme between Plans IV and V

- More participatory elaboration of the country document that takes into account opinions from partners and local and national authorities
- Better definition of priorities (5)
- Workshop on tools and lessons learnt
- FPA meetings (analytical sessions) in which contractual and financial procedures are carefully explained so that partners are totally aware of how to present a proposal
- More presence/involvement of the DIPECHO personnel in Managua in the formulation, execution and monitoring processes
- They promote coordination among partners. We have total access to them (3)
- The complexity of the FPA has been revised
- A clearer and better defined document for the call
- Clearer focus of plans, concepts, priorities and type of activities per sector
- More rapid process of proposal approval
- Better characterisation of priorities
- Better technical and financial follow up on projects
- Reduced period from plan to plan
- Efforts made to create a communicative relationship between partners and other EC projects

## Recommendations to the DIPECHO programme

### On procedures

- No regional project should be financed without the authorisation of CEPREDENAC. The process can last one month since the SE-CEPREDENAC has to consult its six member states.
- Eliminate rules of exception
- Rules more flexible and adapted to the different intervention area contexts.

- Extension of the execution period (at least 18 months)
- More time between the call and the presentation of proposals to facilitate the inclusion of participative diagnoses in the preparation of proposals.
- Making the Action Plans from the different sub-regions – Central America, South America and the Caribbean – start at the same time.

### **On the programme structure**

- Improving coordination among organisations and the exchanges of experience at country level.
- Intervention models based on different preparedness capacity levels (local and municipal levels). This type of adapted model could represent different phases with different DIPECHO projects.
- Allowing for more support for the strengthening of local disaster committees.
- Difficult to organise the National Consultative Meeting at the same time as executing project activities. An entity - whose expertise is in organising events - should be in charge of the NCM. Collaboration of partners would be limited to the elaboration of the ToR of the consultancy and the review of the country document.
- Include the community level in the consultative process.
- Longer DIPECHO Action Plans (4-6 years) would permit the elaboration of mid-term national and regional plans, design strategies and objectives for each Action Plan.
- Even if the programme is based at the local level, it cannot be sustainable without strengthening official national structures.
- More flexibility for the development of mitigation works (more time). More focus on mitigation oriented activities (flood control, retaining walls, protection of micro river basins etc.). Permit larger investments for preparedness and mitigation infrastructures (especially for shelters).
- Rationalisation of intervention areas
- Facilitating more spaces for projects and sectors exchange.
- Assessing direct possibilities to work on the thematic of drought, considering that the situation will get worse because of the climate change.

### **On financial issues**

- Financing national projects where partners can clearly demonstrate how these initiatives are part of a risk and vulnerability reduction process for sustainable local development (working on the basis of programmes and not on isolated projects).
- Promote projects including easily replicable initiatives (simple in technical aspects and financially feasible) given the budget of national organisations which subsequently have to take charge of the sustainability aspect.
- Incentives for the implementation of projects that benefit populations from different countries, sharing the same risk scenarios.
- Offering more opportunities for the execution of two consecutive plans in the same geographical area. This would respond to the frequent comment on the short execution period in DIPECHO projects.
- Reduce the minimal amount permitted for proposals (200,000 - 100,000 euro) in order to permit the financing of smaller projects that allow new partners (from FPA or local partners) to achieve and strengthen capacities in the area. This would also motivate the presentation of more innovative proposals.
- Including in the project budget prior identification and formulation studies that would increase knowledge of the area and of the projects technical feasibility.
- Increase the budget for hiring more technical staff for the implementation phase.

### **On learning and dissemination**

- Annual publication of a consolidated DIPECHO document on lessons learnt, new technologies appropriated, new publications available and successful experiences, to be disseminated among partners.
- Creation of a permanent forum of experience exchange. Also a permanent line for human resources training in the context of disaster preparedness.

## Synthesis of partners definitions of participatory diagnosis, resilience and coping capacity

Questionnaires	Definition	DIPECHO Activities related
<p><b>Participatory Diagnosis</b></p>	<p>Instrument used to analyse problems and needs permitting information collection in a participative way that involves the population of an area and takes into account their needs and perceptions.</p> <p>Instrument used by the community to construct collectively the knowledge of its own reality.</p> <p>Process through which a community or group identify and define its problems (vulnerabilities, needs), priorities, capacities, and solutions as seen from its own perspective.</p> <p>Process by which a group of people analyse each of the social components that determine the quality of life of persons, in order to plan actions that change the found conditions.</p> <p>Process of description and analysis using participatory techniques based on actual biophysics and socio-economic conditions of a particular population or territory.</p> <p>Tool for collecting and identifying information given by the community, and referred to vulnerability and socio-economic contexts.</p> <p>Diagnosis used to initiate a participative planning process. Used also as a training process.</p> <p>Diagnosis of a situation requiring the use of methodologies that facilitate and do not limit free participation.</p> <p>Diagnosis in which complete participation in consultation, analysis and decision of the community is evident.</p> <p>Interactive and reciprocal analysis made to a target community, whose principal objective is to understand the community dynamics and needs.</p>	<p>Mapping at community level</p> <p>Participation of the brigades</p> <p>Formulation of the development plan</p> <p>Community trained on its vulnerability situation</p> <p>Community trained on research techniques</p>
<p><b>Resilience</b></p>	<p>Capacity of resistance of a community or municipality when faced with adversity. This concept is linked to people's attitude. Changing attitudes requires longer processes than the DIPECHO execution process.</p> <p>Capacity to recover and overcome crises or tragedies. This concept has its origins in physics and signifies the capacity of a material to recover its original shape.</p> <p>Capacity to reduce negative impacts (from the infrastructure side to local intervention policy).</p>	<p>Local capacity building/training</p> <p>Activities that strengthen local capacities: organisation, training, local plans, communication systems</p> <p>Strengthening of national systems in order to defend the decentralisation of emergencies/disaster management. This</p>

	<p>Creation of local capacities that make families respond to adversity, diminishing their impact.</p> <p>Capacity of a community to respond independently and autonomously to any emergency in order to achieve rapid recovery and prevent livelihoods from suffering irreversible negative impact.</p> <p>A high level of resilience implies rapid recovery from trauma and the possibility to have achieved new capacities (education for life, better preparedness, etc.).</p> <p>The opposite of vulnerability, that is, community strengths and the capacity to confront a disaster.</p> <p>Communities empowered of the different risk dimensions to respond to threats.</p> <ul style="list-style-type: none"> <li>▪ Proactivity of a community confronted with its own problems.</li> </ul>	<p>includes the support of departmental, municipal and local structures.</p> <p>Analysing the capacities of response that the community has at the beginning of a phenomenon.</p> <p>Elaboration of EWS</p> <p>Coordination with local actors.</p> <p>Exchanging lessons learnt</p> <p>All DIPECHO activities contribute to strengthen resilience but cannot obtain it since resilience – according to Twigg’s level 5 – is part of the construction of sustainable livelihoods and the strengthening of preparedness and response capacities.</p> <ul style="list-style-type: none"> <li>▪ Raising awareness</li> </ul>
<p><b>Coping Capacity</b></p>	<p>Has to do with the knowledge, ability, resources and management to confront adversity. Not depending on external assistance.</p> <p>Capacities of a community that can be strengthened by external entities.</p> <p>Capacity of response using the available resources (organisation, training, equipment)</p> <p>Capacity to intervene in an emergency or disaster</p> <p>Combination of strengths and resources of a community that can reduce risks or effects of a disaster.</p> <p>CODEM capacity to confront disasters through the elaboration of plans and the development of activities that help people recover from a disaster.</p> <p>Capacity of a community to have the notions and tools for responding in an effective way</p> <p>Capacity to confront an event avoiding the consequences of the event that imply changes in the global structure of a system.</p> <ul style="list-style-type: none"> <li>▪ Need to focus on community organisation –especially on childhood and youth – in order to built a culture of mid term risk reduction.</li> </ul>	<p>Development of the community consciousness on its vulnerable conditions</p> <p>Communal organisation</p> <p>Training</p> <p>Implementation of EWS</p> <p>Elaboration of response plan</p> <p>Simulations</p> <p>Research</p> <p>Raising awareness</p> <p>Exchanges</p> <p>Provision of secure shelters</p> <p>Provision of communication mechanisms for preventive measures</p> <p>Coordinate the management and delivery of humanitarian aid</p> <p>Monitoring systems</p> <p>Evacuation</p> <ul style="list-style-type: none"> <li>▪ Risk management curricula</li> </ul>

## **ANNEX 14            Questionnaire DIPECHO Partners– Action Plans IV and V**

As part of the evaluation of DIPECHO Action Plans in Central America, we invite you to complete this questionnaire based on your knowledge and experience of the DIPECHO project(s) executed by your organisation. The information derived from this questionnaire will remain confidential and used solely for the purpose of the evaluation. We would kindly ask you to have it sent back to us by no later than **November 15, 2007**.

Thank you for your participation.

1. Organization: \_\_\_\_\_ 2. Country: \_\_\_\_\_  
3. Name: \_\_\_\_\_  
4. Sex: 1. M \_\_\_\_ 2. F \_\_\_\_ 5. Professional Title: \_\_\_\_\_  
6. Project Name: \_\_\_\_\_  
7. DIPECHO Action Plan: \_\_\_\_\_

Please rank the following questions according to what you consider the most appropriate response:

### **I – General Questions regarding the Project and the DIPECHO Programme**

1. Does/did your organization have previous working experience in the geographic area of its/their DIPECHO project(s)?

Yes                                     No

2. Will your organization apply for a new DIPECHO grant (Plan VI)?

Yes                                     No                                     Undecided

If you have answered No, please explain:

3. Whilst designing the project, which two activities did you find to be most challenging or difficult to complete? Why?

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4. Please give a brief description of ‘participatory diagnosis’:

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5. Please measure the level of usefulness of DG ECHO monitoring visits for each of the following aspects:

	Usefulness					
	-					+
Responding to administrative problems	<input type="checkbox"/>					
Discussing specific technical issues in the intervention areas	<input type="checkbox"/>					
Confirm that appropriate mechanisms are in place for implementation	<input type="checkbox"/>					
Learning if the logistical capacity is in line with the intervention requirements	<input type="checkbox"/>					
Assessing the impact of the project	<input type="checkbox"/>					
Making decisions regarding changes in procedures or activities	<input type="checkbox"/>					
Other (specify): _____	<input type="checkbox"/>					

6. Please assess the level with which you agree or disagree to the following statements:

	1: Disagree	2: Somewhat Agree	3: Agree	4: Completely Agree
	1	2	3	4
The DIPECHO programme promotes coordination with other DIPECHO projects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The DIPECHO programme facilitates coordination with other DIPECHO projects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The format for project proposals facilitates the overall design of the project	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The replicability of DIPECHO projects is feasible	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DIPECHO documents are frequently disseminated for reference/consultation purposes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitoring visits are adequate in regard to duration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
It is improbable to obtain new DIPECHO financing for the same project zone	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. Will/did your organisation undertake follow up on the project? If so, from which financial source?

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## II – Intervention areas

8. Have your organisation carried out any other activities (in addition to those specified by DIPECHO) in the DIPECHO project, which have been financed outside of DIPECHO financing (i.e. own funds or funded by another institution)?

Yes (specify): \_\_\_\_\_

No

If you have responded “yes,” please explain.

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9. On a scale of 1-4, please assess how relevant each activity is in regards to project sustainability and impact:

	1: Not relevant				2: Fairly relevant				3: Relevant				4: Extremely relevant			
	Sustainability								Impact							
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
1) Infrastructure Support	<input type="checkbox"/>															
2) Advocacy and Public Awareness Raising	<input type="checkbox"/>															
3) Small-Scale Mitigation Works	<input type="checkbox"/>															
4) Mapping and Data Processing	<input type="checkbox"/>															
5) Education	<input type="checkbox"/>															
6) Early Warning Systems	<input type="checkbox"/>															
7) Research and Dissemination	<input type="checkbox"/>															
8) Facilitation of Coordination	<input type="checkbox"/>															
9) Institutional Strengthening	<input type="checkbox"/>															
10) Local Capacity Building/Training	<input type="checkbox"/>															

### III – Cross-Cutting Issues / Mainstreaming (LRRD)

10. Please rank the importance given by the DIPECHO programme to the following mainstreaming issues:

	Not Important	Little Importance	Fairly Important	Very Important
Health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Water and Sanitation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Child Protection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Persons with Disabilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cultural Diversity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender Mainstreaming	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Coordination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Linking Relief, Rehabilitation and Development (LRRD)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

11. Please evaluate the normative importance of the following mainstreaming issues for your organization and their effective implementation into your organizations daily activities:

	Organizational Importance				Actual Implementation			
	None	Little	Fair	Great	None	Little	Fair	Great
Health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Water and Sanitation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Child Protection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Persons with Disabilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cultural Diversity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender Mainstreaming	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Coordination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LRRD	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

12. Is/was your project linked to any development initiative? If so, which one? Additionally, please explain how this link was established.

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13. Is/was your project related to other programmes and/or projects of the European Commission? If so, please specify.

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14. Do you feel that a stronger relationship could be established between DIPECHO projects and the programmes/projects of the European Commission or other agencies? If yes, please specify.

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**IV – Complementarities and Synergies**

15. Please indicate which other organizations or donors work/worked in the same geographical area, at community/municipal levels and within the context of disaster management?

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16. Does/did your organisation look for complementarities and synergies with other actors in the area?

Yes       No

If yes, please explain how the initiative began, what was the thematic area and which actors were involved:

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17. Did you consult or use any of the lessons learned from previous DIPECHO projects for the design and/or elaboration of your project?

Yes  No

If yes, please specify.

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18. Have or do you intend to maintain an exchange of experiences with DIPECHO partners or with other actors?

Yes       No

If yes, please explain how the initiative began, and briefly describe the exchange maintained.

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19. Do the DIPECHO regional projects contribute to the strengthening of the exchange of experiences between DIPECHO partners?

Not at all      Barely      Sufficiently      Considerably  
                                   

**V - Impact**

20. Please measure the impact of the project in ranking the following:

	Impact					
	-				+	
Does the project contribute to saving lives?	<input type="checkbox"/>					
Have the targeted communities and/or authorities appropriated the project?	<input type="checkbox"/>					
Does the project contribute to preserving livelihoods?	<input type="checkbox"/>					
Did local self-help capacities of communities change?	<input type="checkbox"/>					
Did local institutions capacities increase?	<input type="checkbox"/>					
Has the project changed the overall perception of risk in the community?	<input type="checkbox"/>					
Did people's access to communication and knowledge change?	<input type="checkbox"/>					
Did gender equality and/or women's conditions change?	<input type="checkbox"/>					
Did people feel empowered vis-à-vis local and national public authorities and partners?	<input type="checkbox"/>					
Do they play a more effective role in decision making?	<input type="checkbox"/>					
Did vulnerability to risk change?	<input type="checkbox"/>					

21. The following is an outline of John Twigg's *The Characteristics of a Disaster-resilient Community*<sup>32</sup>, a five levelled approach which describes the progression of a disaster resilient community. With reference to the target communities of your DIPECHO project, please identify the appropriate level(s) of resilience in which these communities would equate with, both before the implementation and after the completion of the project.

**Level 1:** Little awareness of the issue(s) or motivation to address them. Actions limited to crisis response.

**Level 2:** Awareness of the issue(s) and willingness to address them. Capacity to act (knowledge and skills, human, material and other resources) remains limited. Interventions tend to be one-off, piecemeal and short-term.

**Level 3:** Development and implementation of solutions. Capacity to act is improved and substantial. Interventions are more numerous and long-term.

**Level 4:** Coherence and integration. Interventions are extensive, covering all main aspects of the problem, and they are linked within a coherent long-term strategy.

**Level 5:** A 'culture of safety' exists among all stakeholders, where DRR is embedded in all relevant policy, planning, practice, attitudes and behaviour.

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22. How does your organization interpret the notion of resilience and which of your corresponding activities do you believe have contributed to its development?

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23. How does your organization interpret the notion of coping capacity and which of your corresponding activities do you believe have contributed to its development?

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<sup>32</sup>John Twigg, *Characteristics of a Disaster-resilient Community. A Guidance Note*. In Benfield UCL Hazard Research Centre:[http://www.benfieldhrc.org/disaster\\_studies/projects/communitydrindicators/community\\_drr\\_indicators\\_index.htm](http://www.benfieldhrc.org/disaster_studies/projects/communitydrindicators/community_drr_indicators_index.htm)

**VI – Programme Advancement and Recommendations**

24. If you have participated in both IV and V DIPECHO Plans, please indicate up to 5 improvements of the DIPECHO programme in terms of management, procedures, the definition of its strategies, etc.

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25. Accordingly, please list three further general recommendations which you feel could improve the DIPECHO consolidation and programme strength.

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**Thank you for your time and participation.**

We would kindly ask you to complete the questionnaire and have it sent back to us no later than **November 15, 2007**. Contact email: [sposada@daraint.org](mailto:sposada@daraint.org)

## **ANNEX 15            Definitions from the Questionnaire (DIPECHO IV-V Partners)**

### **Participatory Diagnosis, Resilience and Coping Capacity**

#### **Participatory Diagnosis**

1. Es un instrumento de análisis de problemas (de cualquier enfoque) de suma importancia por ejemplo, a nivel municipal o comunitario, el cual permite el levantamiento de información de manera participativa involucrando actores y población del área, tomando en cuenta sus propias necesidades, actitudes, percepciones etc. No deberían influenciar mucho la o las personas que ejecutan el diagnóstico, por ejemplo, a través de preguntas dirigidas para obtener respuestas esperadas por parte de la persona que ejecuta el diagnóstico. Entre otros, el mapeo comunitario es un instrumento para este trabajo.
2. Es el proceso mediante el cual una comunidad o colectivo identifica y define sus problemas, prioridades y alternativas de solución, desde su propia perspectiva. Este proceso permite conocer mejor la realidad de la comunidad, las condiciones de vida e intereses de la población (hombres y mujeres), los recursos disponibles y trabajar en conjunto para encontrar y proponer soluciones.
3. La participación en la mayoría de las COMRED tuvo sus altibajos, sin embargo en las COLRED fue constante, y buena. La participación más importante se dio en las brigadas regionales de búsqueda y rescate, al igual que en la mayoría de las brigadas municipales y locales.
4. Es una herramienta mediante la cual se recolecta e identifica información provista por las comunidades, referida a la situación en términos de vulnerabilidad y socioeconómicos
5. Es un instrumento empleado por las comunidades para la edificación en colectivo del conocimiento de su realidad, en el que se publican los problemas que las afectan, los recursos con los que cuentan y las potencialidades propias de la localidad que puedan ser aprovechadas en beneficio de todos; lo cual, permite identificar, ordenar y jerarquizar los problemas comunitarios y, a través de ello, hacer que la gente llegue mejor preparada a la formulación del plan de desarrollo comunitario o de otro proyecto.
6. Un diagnóstico participativo comunitario es un diagnóstico en el cual la misma población comunitaria lleve a cabo un estudio que a la vez genera información y análisis que sirve para iniciar un proceso de planificación participativa en base a los resultados del diagnóstico. El diagnóstico participativo comunitario sirve además como un proceso de capacitación de la población tanto en técnicas de investigación como en el tema de enfoque del diagnóstico. Por ejemplo Trocaire tanto en el DIPECHO III/IV como V ha trabajado con diagnósticos participativos de análisis vulnerabilidad que han servido para elaborar los mapas de riesgo y capacitar a la comunidad sobre su situación de vulnerabilidad.
7. Enfocado en la gestión del riesgo: Es conocer las amenazas, vulnerabilidades y capacidades mediante un proceso donde participan todos los actores involucrados.

8. Sobre definiciones de diagnósticos participativos hay muchas y estas se ajustan a las necesidades de la organización que los aplica. Hay diagnósticos participativos para el sector salud, educación, medio ambiente y los que nosotros en el Proyecto DIPECHO – Telica denominados “Diagnósticos situacionales de riesgo” Podemos decir que se definen como el proceso mediante el cual un grupo de personas analizan cada uno de los componentes sociales que determinan la calidad de vida de las personas y a partir de allí tomar o planificar acciones para cambiar las condiciones encontradas.

A diferencia de la LB, que son una fotografía rápida que se obtiene de la comunidad antes de iniciar una operación, el diagnóstico, se plantea un análisis más profundo y coherente, con la realidad de la comunidad y demanda la participación activa de todos los habitantes o en su efectos personas representativas de este grupo de población.

Es importante mencionar, que hay diversas metodologías para la aplicación de diagnósticos participativos, y todos cumplen con su misión. En nuestro caso, es una política institucional de CARE que toda operación o proyecto que se desee formular debe llevar a cabo un diagnóstico participativo. En el caso de los proyectos DIPECHO, todo el proceso de diagnóstico se lleva a cabo en coordinación con las autoridades de las diferentes instituciones presentes en los municipios, Defensa Civil, SE-SINAPRED del nivel nacional, INETER del nivel nacional y sin faltar los futuros beneficiarios de la operación.

Solo de esta manera se puede garantizar una apropiación del proyecto antes de que comience a ejecutarse, una participación activa durante la ejecución y en los procesos de evaluación al cierre del proyecto.

9. Es un instrumento empleado por las comunidades para la edificación en colectivo del conocimiento de su realidad, en el que se analizan los problemas que las afectan, los recursos con los que cuentan y las potencialidades propias de la comunidad que puedan ser aprovechadas en beneficio de todos.

10. Es un proceso de descripción y análisis con técnicas participativas de las condiciones actuales biofísicas y socioeconómicas de una población o territorio en particular.

11. Se trata del diagnóstico de una situación o realidad determinada que se alcanza mediante la consulta y participación de la mayor parte de los actores involucrados en aquella; requiere del empleo de metodologías que faciliten y no restrinjan o limiten la libre participación; la población es parte activa en la recolección y el análisis de los datos, la identificación de los problemas prioritarios y las acciones a emprender

12. Aquel en el que nos solo se pregunta a las personas cediéndoles un espacio de participación si no en el que la participación completa en la consulta, análisis y decisión por parte de al comunidad se hace evidente.

13. Es aquel que se planifica y realiza en asociación directa con los sujetos de la acción: actores, beneficiarios, contrapartes, etc.

14. Diagnóstico realizado por un colectivo desde su propia realidad y de su propia realidad integrando todas las situaciones diferenciadas que pueda haber dentro de este colectivo y analizando sus vulnerabilidades y capacidades y sus prioridades para transformar esta realidad.

15. Análisis de un problema o conjunto de problemas en determinada área geográfica, que considera la participación directa para la definición de éste, de la población de la zona u otras organizaciones que trabajan en la zona geográfica en cuestión.

16. Es el análisis interactivo, recíproco y de intercambio que se realiza a una población meta donde el interés principal es conocer más a fondo la dinámica específica de dicha población, donde esta sea parte de la solución a determinada necesidad que la población sienta.

17. El diagnóstico participativo es el conjunto de actividades diagnósticas de una realidad en una comunidad, territorio, organización, etc. en la cual hay participación de los y las sujetos sociales, no solamente para identificar los efectos y las causas de una condición determinada, sino para plantear un conjunto de respuestas y soluciones a las instituciones y organizaciones encargadas de proporcionar solución a la problemática planteada. Esto hace que las respuestas de las instituciones vayan en concordancia a los intereses económicos, sociales y culturales de las comunidades o sectores sociales. Esto permite a las instituciones encargadas mejorar el impacto de sus proyectos.

18. Consulta con instituciones de las cuales ha surgido la idea o necesidad de elaborar el proyecto. Lo llevamos a cabo mediante el trabajo inicial para definir objetivos y actividades principales y luego con la revisión de las versiones preliminares del proyecto usando los formatos de DG ECHO.

## Resilience

1. Se interpreta la resiliencia, como la capacidad de resistencia de los pobladores de una comunidad, comarca o municipio, ante una situación adversa. Este concepto va ligado más a la actitud de la gente ante situaciones adversas. Somos conscientes que cambiar actitudes requiere procesos muchos más largos que el lapso de ejecución de un proyecto DIPECHO.

Sin embargo, las actividades que de alguna manera han contribuido a fortalecer el proceso de resiliencia, ha sido en las actividades que tienen que ver con la capacitación comunitaria. A través de diversos talleres se reflexiona sobre las amenazas, vulnerabilidades, capacidades y recursos que tienen para enfrentar una situación adversa y la importancia de ser proactivos, bien sea para resolver sus problemas cotidianos y/o ante una situación de emergencia.

2. ACSUR no ha desarrollado una definición ni interpretación de resiliencia. Los equipos manejamos el término en la forma habitual que se conoce, como la capacidad de las personas y comunidades para sobreponerse y superar crisis o tragedias.

Este término, que procede de la física, significa la capacidad de un material para recobrar la forma original después de haber sido sometido a altas presiones. De ahí tengo entendido que entró el término en la psicología, y últimamente está de actualidad en el campo de la gestión de riesgo y manejo de desastres.

Desde este punto de vista, gran parte de las actividades fortalecen las capacidades locales, especialmente la organización, formación y capacitación, planes locales, sistemas de comunicación, etc. también han servido para concienciar y empoderar a las comunidades, contribuyendo a su capacidad de superar posibles crisis.

3. La capacidad para reducir impactos negativos (desde la parte de infraestructura hasta la política local de intervención), para lo cual se fortalecen directamente a los Sistemas Nacionales con el fin de apoyar la descentralización para el manejo de las emergencias y desastres que incluye apoyar a las estructuras departamentales, municipales y locales.

4. La creación de capacidades locales contribuye a que las familias puedan dar una respuesta para disminuir el impacto de los fenómenos adversos.

5. Resiliencia es la capacidad de las comunidades para recuperarse y sobreponer ante los desastres, poniendo mayor énfasis en los esfuerzos que las propias comunidades pueden hacer para sobreponerse a estos eventos catastróficos y no solo enfocarse en las vulnerabilidades.

Que las niñas y adultos tomaran conciencia sobre los riesgos y vulnerabilidades de las capacidades, mapas de riesgos, la educación y capacitación sobre como responder ante los desastres, Analizar las capacidades que tienen las personas para responde en las primeras horas del evento. Elaborar los sistemas de alerta temprana, la coordinación con los actores locales, y por ultimo aprender de sus propias experiencias sacar lecciones aprendidas e intercambiar con otras comunidades sus aprendizajes, entre otras.

6. Definimos la resiliencia como la capacidad de una comunidad de responder de forma independiente y autónoma a cualquier situación de emergencia que enfrenta y lograr una rápida recuperación de tal forma que sus medios de vida no sufren choques irreversibles por motivo de un desastre. Todas las actividades de los proyectos DIPECHO contribuyen a fortalecer la resiliencia, aunque por si solos no son capaces de lograrla ya que la resiliencia tal como lo define Twigg en el nivel 5 arriba sería parte de la construcción de medios de vida sostenibles además del fortalecimiento de capacidades de preparación y respuesta.

7. Capacidad de sobreponerse ante los desastres.

En nuestro caso, no sé si aplica el término resiliencia; sin embargo, las actividades desarrolladas por PROMARTE para contribuir a un CODEM más competente para responder ante desastre son:

- Capacitación sobre el tema de gestión de riesgo, planificación de la respuesta, legislación con enfoque de gestión de riesgo y liderazgo y trabajo en equipo.
- Revisión de la estructura organizativa del CODEM y sus funciones, que incluye su enfoque estratégico, mecanismos de colaboración (interno y externo) y desempeño organizacional.
- Desarrollo e implementación de un plan de prevención y respuesta a desastre y sus protocolos.
- Desarrollo e implementación de un plan de Información, Educación y Comunicación dirigido a la población viviendo en zonas de alto riesgo.

8. Resiliencia, se dice a la capacidad de una comunidad o una población de recuperarse con sus propios medios después de una situación de crisis en donde la estructura social, económica, ambiental se ve deteriorada. Es importante mencionar que muchas de las comunidades donde trabajamos, se encuentran bordeando la línea de pobreza extrema, por lo que eso también determina la capacidad de resiliencia que estas pueden tener ante situaciones adversas.

En tal sentido, los proyectos DIPECHO buscan mejorar la capacidad de respuesta de las personas, como principal misión, proteger la vida de las personas y en un segundo plano, sus medios de subsistencia. Esto quiere decir que en la medida que una comunidad esté preparada para enfrentar desastres, estará en mejores condiciones de poner en marcha acciones para enfrentar el desastre y por ende, con el apoyo externo (por que ellas por si solas no lo pueden lograr, según lo expresado) generar ideas que les permita recuperarse del impacto del desastre.

Los procesos de construcción de capacidades locales, el fortalecimiento institucional, la educación, y otros componentes que se desarrollan en el marco del DIPECHO contribuyen en gran medida a crear capacidad de resiliencia en las poblaciones de las comunidades donde se ejecutan.

9. Todas la metodologías implementadas por Cruz Roja son metodologías participativas y enfocadas a que las comunidades tengan las capacidades de analizar las problemáticas que enfrentan y en el facilitar la búsqueda de soluciones apropiadas. Así mismo considero que sea imposible medir el nivel de resiliencia en un proyecto de 15 meses.

10. En psicología, el término resiliencia refiere a la capacidad de los sujetos para sobreponerse a tragedias o períodos de dolor emocional. En lo personal NO ME GUSTA usar esta palabra y tampoco impulsamos actividades para introducir la misma en el ámbito comunitario. A mi juicio a mayor resiliencia mayor insensibilidad y menor humanismo, incentivar a que las personas se acostumbren cada vez más a sufrir desastres y reponerse lo más rápido posible, no me parece un enfoque adecuado, prefiero invertir recursos y tiempo en promover una cultura de prevención y reducción del riesgo y con ello evitarle a muchas poblaciones el tener que reponerse (olvidarse) de los daños de los desastres.

11. Es la capacidad de una persona, comunidad o sistema (ecosistema, institución, red, etc.) para adaptarse o recuperarse de los cambios a los que se ve sometida, particularmente a aquellos repentinos y violentos (caso de una amenaza que ha devenido en desastre), como consecuencia de las variables del entorno en cada caso existen factores protectores y factores de debilidad. Una alta resiliencia comprende no solo una recuperación rápida del trauma, sino también la posibilidad de haber adquirido capacidades nuevas (educación para la vida, mejor preparación, etc.) en general todas las actividades realizadas, pero particularmente las capacitaciones

12. Resiliencia como la capacidad de una estructura, organismo, comunidad, etc. de volver a su estado inicial después de un cambio en el entorno que le afecta directamente.

Creo que las acciones que mas contribuirán a aumentar esta capacidad en las comunidades donde se ha trabajado, han sido las relacionadas con la organización, capacitación y sensibilización de la población hacia como actuar y buscar soluciones en base a sus derechos como ciudadanos afectados y organizados, con capacidad de exigir, y la facilitación de las contactos y coordinaciones de estos con diversos organismos públicos municipales y estatales. Además del aumento de capacidad de respuesta local hacia fenómenos adversos.

13. Entendemos la resiliencia como el inverso de la vulnerabilidad, es decir, las fortalezas comunitarias y sus capacidades para enfrentar y recuperarse de un evento desastroso.

Indudablemente que la organización y capacitación comunitaria, el equipamiento de brigadas y comités, la elaboración de planes de emergencia, la coordinación con instituciones y la implementación del sistema de monitoreo de lluvias y alertamiento contribuirán a elevar los niveles de resiliencia de estas comunidades.

14. Comunidades conscientes y empoderadas de todas las dimensiones del riesgo frente a amenazas naturales, de las medidas que pueden tomar por sí mismos para reducir vulnerabilidades y aumentar capacidades y efectivamente implementando estas medidas y con un diálogo activo y participativo con las instituciones para aquellas medidas que están fuera de su esfera directa de influencia.

Enfocar todo el trabajo alrededor del enfoque del análisis de vulnerabilidad y capacidad, partiendo de un análisis desde la comunidad de las amenazas a las que están expuestos, sus vulnerabilidades y capacidades y las acciones que pueden tomar para aumentar sus capacidades.

15. La lectura que se le da a resiliencia, es la capacidad que tiene una comunidad para recuperar su nivel de desarrollo o condiciones normales luego de ser afectada por un desastre.

16. Se interpreta como el estado en el que se encuentran las comunidades enfocado básicamente a la proactividad que puedan presentar ante determinada situación generalmente referido para la solución de sus propios problemas. Las actividades que contribuirán son la realización del fortalecimiento de capacitaciones locales, la revisión después de la acción, mediante los ejercicios de las lecciones aprendidas.

17. La habilidad de personas y comunidades para evitar o disminuir el impacto de un desastre, anticipándose, preparándose para resistirlo o adaptándose a situaciones cambiantes.

Una comunidad es resiliente cuando puede:

- Entender los riesgos y anticipar el peligro.
- Evitar o reducir algunos de los impactos anticipados (como una sequía).
- Enfrentar y resistir aquellos que no pueden anticiparse (como un terremoto).
- Recuperarse bien y rápido de las crisis.
- Aprender y adaptarse para reducir los riesgos.

La forma como logramos la resiliencia en el proyecto es: la organización comunitaria, las capacitaciones sobre gestión de riesgo, mayor conciencia frente a su problemática, la elaboración de mapas de riesgo y planes de emergencias, la construcción de obras de mitigación y de infraestructura y mayor capacidad de incidir, formulación y negociación de propuestas frente a otros actores y de gobierno, cuando la población entiende que los desastres están asociados a los problemas de desarrollo y marginalización y exclusión social y por el mal uso de los recursos de la naturaleza.. También en el desarrollo de la alerta temprana, la formación y capacitación de brigadas de rescate, las simulaciones y los simulacros, etc.

18. Podría dar una respuesta personal, pero UNICEF como institución recién comienza a tener una noción de hacia donde avanzar en el tema

### **Coping capacity**

1. Tiene que ver con el conocimiento, la habilidad, el recurso, la gestión para enfrentar una situación adversa. DIPECHO contribuyen a aumentar estas capacidades. Algunos sectores especialmente educación necesitan un lapso mayor que 15 meses de ejecución del proyecto, para tener un impacto notable. Entre las actividades del proyecto que contribuyen a desarrollar capacidades de enfrentar desastres están: desarrollo de consciencia de la condición de vulnerabilidad de las comunidades, la organización comunal, capacitación, implementación del SAT, elaboración de planes de respuesta, simulacros.

2. Al igual que en el caso anterior, ACSUR no tiene una interpretación institucional de la noción de coping capacity, (de cope with ), que traducimos por enfrentar, o mejor, sobrellevar una situación.

3 . Este aspecto tiene que ver más con la capacidad de la respuesta en si, a través de los recursos que se tengan a disposición. Aquí entra en juego el tema de organización, capacitación, entrenamiento y equipamiento.

4. Capacidad d intervenir en la emergencia o desastre.

5. Las Capacidades es la combinación de todas las fortalezas y recursos disponibles en una comunidad o sociedad que puedan reducir lo riesgos o los efectos de un desastres. El análisis de los riesgos y las capacidades, la elaboración de los planes de emergencia las capacitaciones sobre la gestión de los riesgos, los Sistemas de alertas, los simulacros, los evaluaciones, entre otras.

6. La capacidad de enfrentar una situación adversa sobre la base de conocimientos y recursos propios sin tener que depender sobre ayuda externa. En los proyectos DIPECHO todas las actividades ejecutadas contribuyen en alguna medida a fortalecer coping capacities para salvar vidas, atender a los

damnificados y organizar la repartición de la ayuda humanitaria. Sin embargo estas actividades por si solas son insuficientes para fortalecer coping capacities en su sentido más amplio.

7. La capacidad del CODEM de enfrentar desastres mediante la planificación y desarrollo de acciones orientadas a ayudar a la población afectada para sobreponerse en una situación de desastre; por ejemplo:

- Contar con lugares más seguros para refugios o albergues en casos de desastre
- Contar con mecanismos de comunicación práctica y oportuna que permita a la población tomar medidas preventivas.
- Capacidad de coordinar la gestión y entrega de la ayuda humanitaria
- Etc.

8. Entendemos que se refieren a la capacidad de respuesta ante emergencias o desastres, es claro que los proyectos DIPECHO buscan mejorar la capacidad de respuesta de los actores municipales y locales y esto se logra a través de una mejora continúa de sus fortalezas para enfrentar desastres. Resumiremos que cada uno de los componentes del DIPECHO lleva implícitamente acciones de preparación, organización, investigación, planificación, sensibilización, intercambio de experiencias entre otros.

Como organización humanitaria que somos, tenemos bien claro que en la medida que una comunidad esté en mejores condiciones para enfrentar desastre, estos impactarán pero sus efectos serán mejor asimilados por las poblaciones. Como se ha visto en los últimos desastres que han impactado a Nicaragua, los SAT instalados en los diferentes proyectos han jugado un rol preponderante en la respuesta, las personas en las comunidades han puesto en práctica mucho de lo aprendido y esto si fue evidente, además expresado por las distintas autoridades municipales y nacionales como la Defensa Civil.

9. La capacidad de una comunidad de tener las nociones y las herramientas para responder de forma ordenada y efectiva al frente de un evento (en el caso de proyectos de prevención desastres), conociendo todos los actores implicados. Las metodologías aplicadas prevén dar las herramientas

10. La capacidad de responder ante una situación adversa, en este caso por la manifestación de un evento de origen natural, disminuye notablemente el impacto a los sistemas sociales y productivos de las poblaciones afectadas. También permite recuperarse en menos tiempo y superar los daños emocionales/psicológicos. El proyecto DIPECHO de DCA, apunta a esto como eje principal de intervención, desde la formación de las estructuras organizativas locales para la respuesta hasta la capacitación y equipamiento de estas estructuras.

11. Es la capacidad de un una persona, comunidad o sistema (humano o natural) afectada por un cambio brusco en las variables del entorno (aunque también puede ser gradual, como el cambio climático), de hacer frente o de adaptarse rápidamente a los impactos y a los riesgos de ese cambio

12. Como la capacidad de afrontar un evento sin que las consecuencias de este afecten a la estructura existente, es decir, absorbiendo los cambios internos sin que estos supongan una modificación en la estructura global del sistema.

Las relacionadas con la capacidad de organización y anticipación ante posibles fenómenos adversos, cómo los sistemas de monitoreo y alerta temprana, evacuación, la definición de canales de comunicación, la creación de planes de emergencia, las capacitaciones en primeros auxilios, etc.

13. Este no es realmente un concepto que manejemos en Oxfam GB (Oficinas Guatemala) y contrapartes. Nosotros más bien insistimos en utilizar la noción de PREPARACIÓN ANTE DESASTRES.

14. Necesario mayor énfasis en la organización comunitaria, primero en términos generales y después más enfocado a la preparación para desastres. Necesidad de fortalecer la capacidad de enfrentar en distintos niveles (comunidad, familia, individuo) y énfasis en la niñez y adolescencia para construir una cultura de reducción de riesgos a medio plazo.

15. Son los mecanismos que permiten a una comunidad hacerle frente a una emergencia, los cuales parten de las propias capacidades de la comunidad y que pueden fortalecerse a través de entes externos. El fortalecimiento va en términos de capacitaciones (EDAN, búsqueda y rescate, etc.), fortalecimiento organizativo, equipamiento, etc.

16. La interpretación dada es referente a lo que las poblaciones meta esta en capacidad de enfrentar ante cualquier emergencia o situación dada, lo que contribuye grandemente son la capacitaciones sobre la Curricula de Gestión del Riesgo que se están impartiendo.

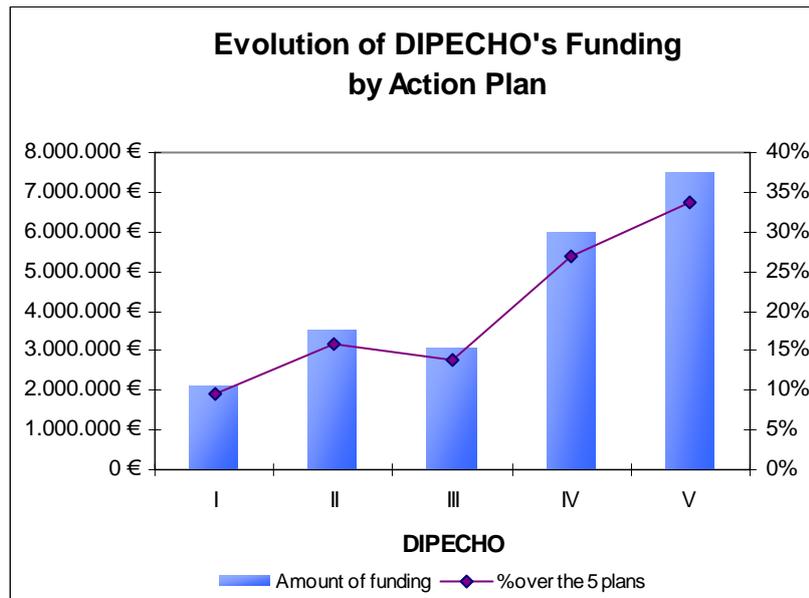
17. La idea central de La capacidad de enfrentar, primero esta en todo lo que desarrollamos antes de cualquier evento (desarrollo de habilidades, de conocimientos, organización, obras físicas, y todo aquello que trabajamos como medios de vida de la población, etc.) es decir, la reducción de la vulnerabilidad. Una vez con el evento, estamos preparados porque sabemos que hacer, donde y cuando y en forma organizada. Frente a un evento si nosotros hacemos un análisis comparativo con otros desastres y en la misma zona, veremos que el impacto es menor por las acciones emprendidas antes y durante el desastre. En este sentido, diremos que hemos logrado mayores capacidades para enfrentar un desastre y replicar ese esfuerzo en cualquier otro lugar de acuerdo a las condiciones particulares. Las actividades son las mismas que hemos señalado en el numeral 21.

18. Actualmente y en el marco de la reforma humanitaria, UNICEF se plantea fortalecer las capacidades nacionales para responder a emergencias en los sectores donde se le ha delegado a UNICEF la responsabilidad de fortalecer los preparativos en sectores tales como: educación, agua y saneamiento, nutrición, etc.

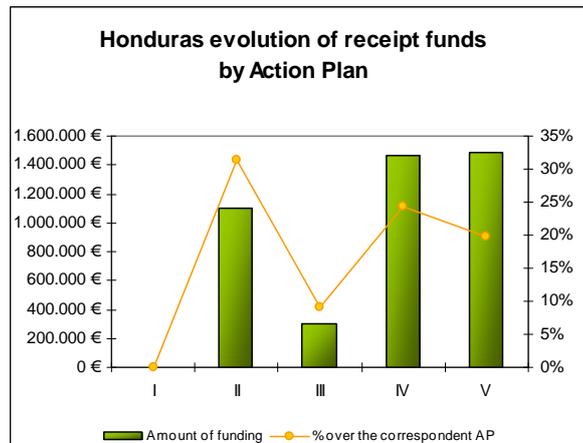
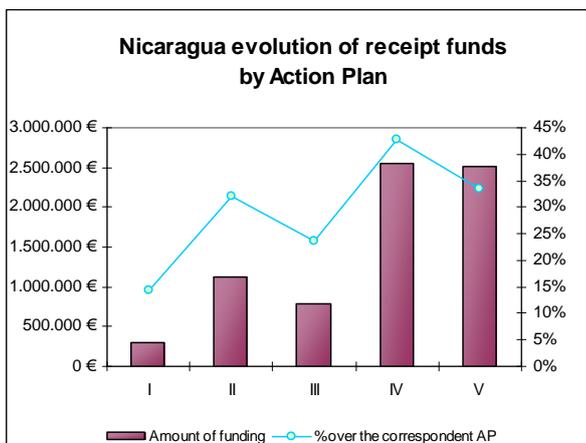
## ANNEX 16 Financial Analysis

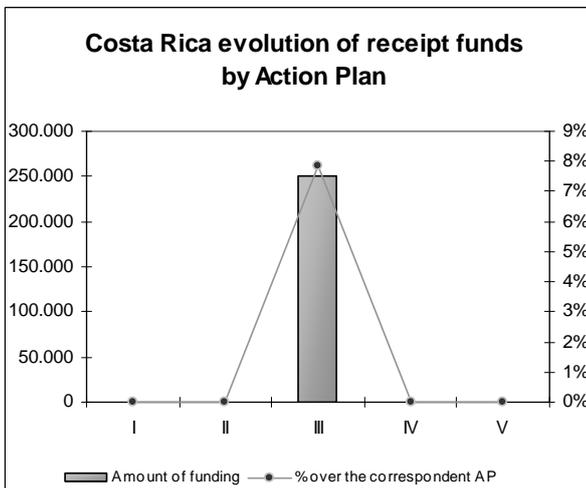
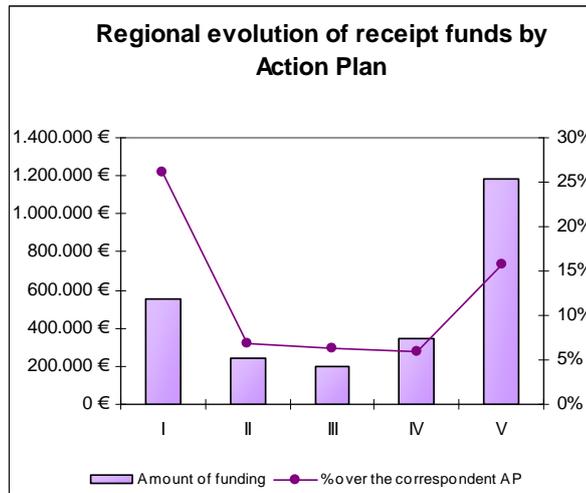
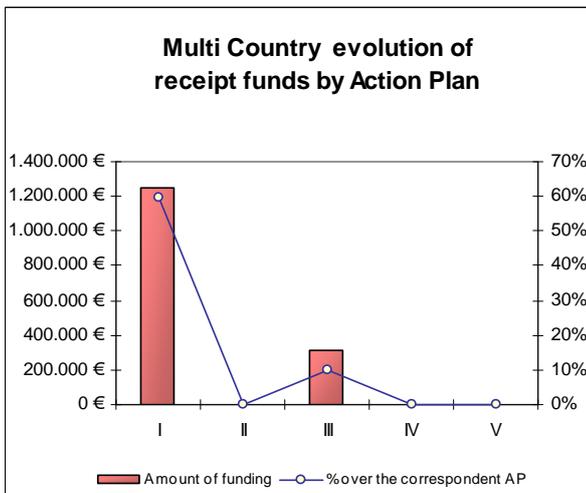
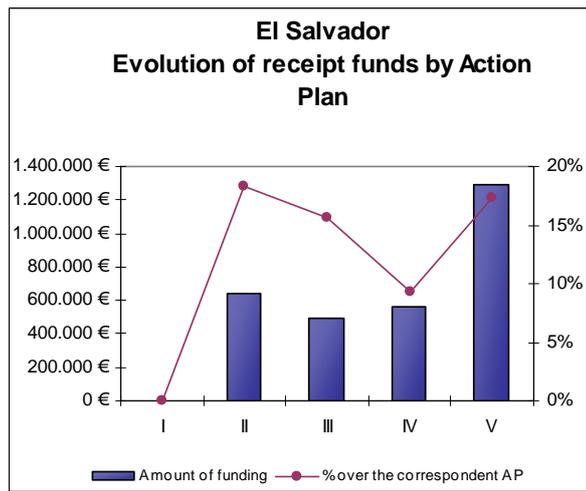
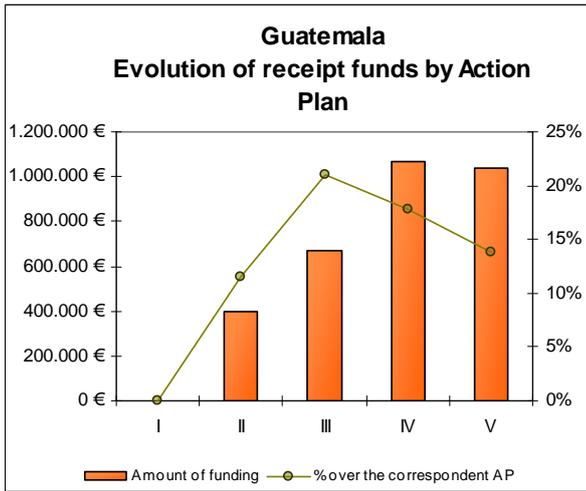
The financial analysis of DIPECHO Action Plans in Central America is based on general information provided by the Evaluation Sector, the DIPECHO desk and regional offices, and other items collected by evaluation team members in the field.

Information on Plans I, II and III was more difficult to access and analysis of these is more generic.

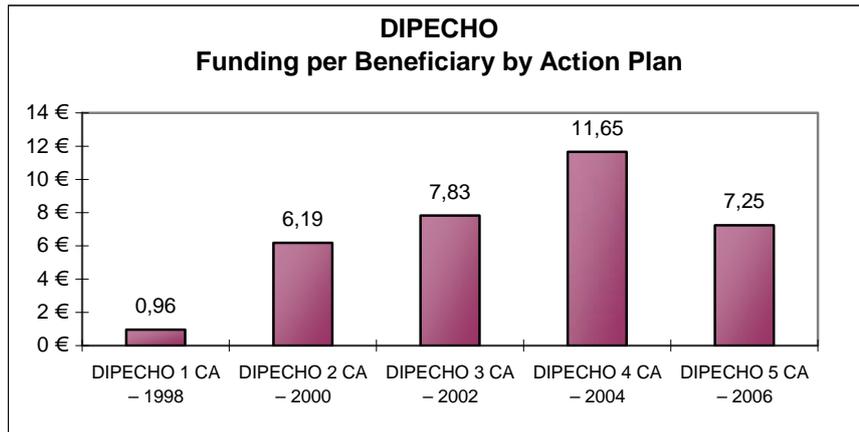


The following graphs provide an individual overview of the amount and percentage of funding by DIPECHO for each Central America country.

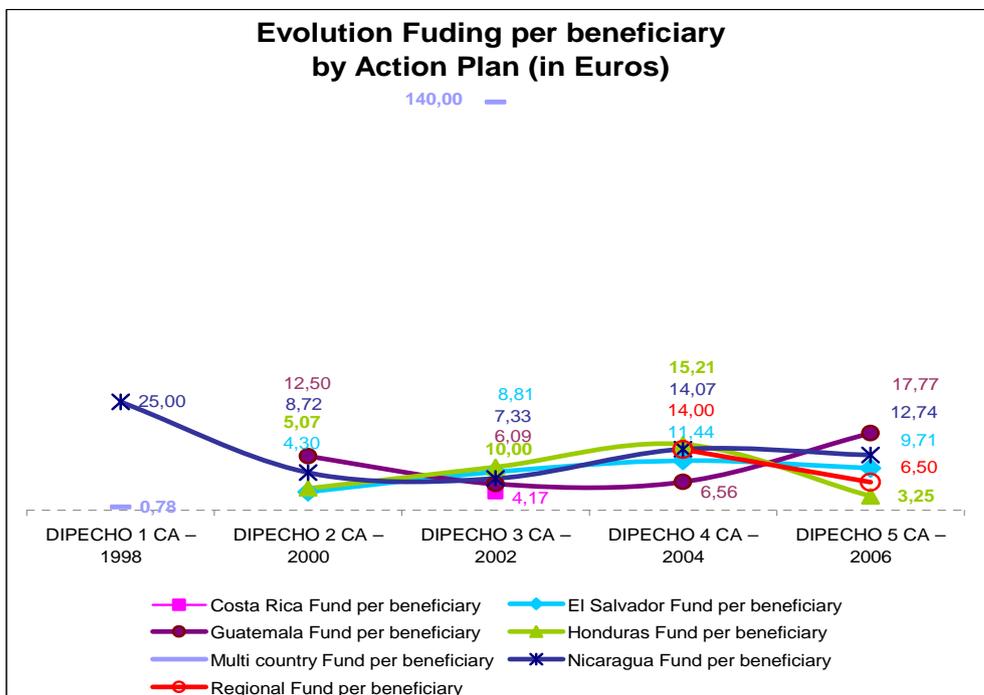




The following analysis of the evolution of per capita funding by recipient country is based on those projects that referred specifically to the number of beneficiaries. A total of six projects, five of them Regional, and one for Nicaragua, have thus been removed from our analysis, all of them in DIPECHO I, II, and III.



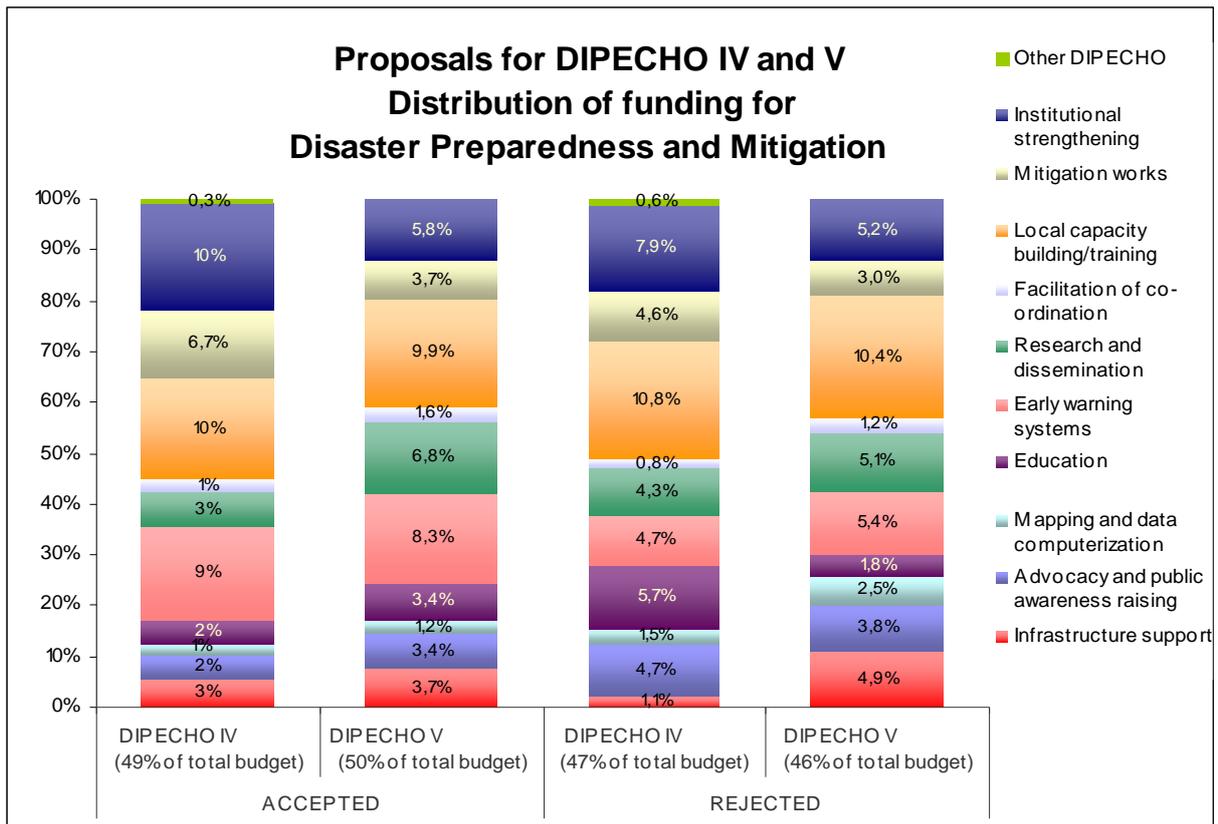
**Note:** Although 69 projects have been fund, 6 of them dont have clear information about the number of beneficiaries therefore, have been excluded from this analysis.



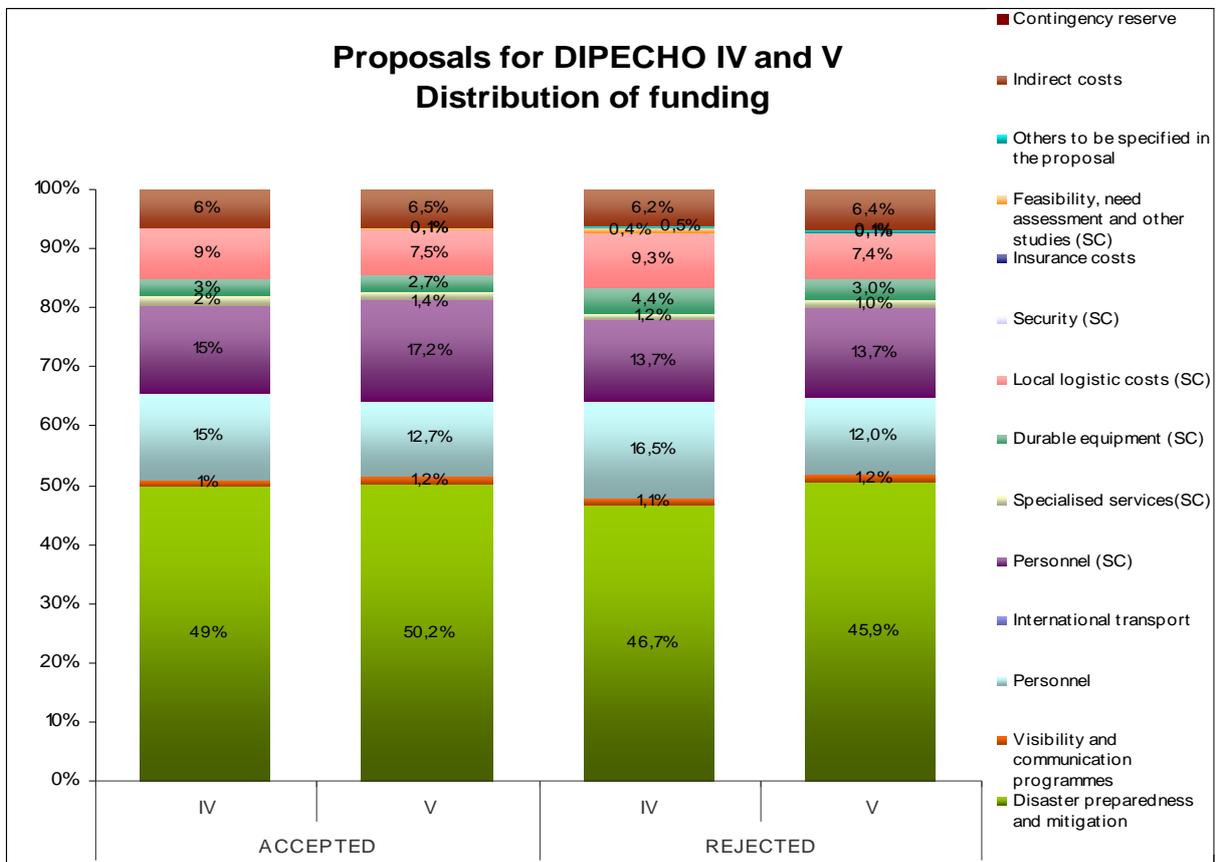
**Note:** Because of the lack of clear information about the number of beneficiaries, for this analysis it has been excluded 5 regional projects, and 1 for Nicaragua, all of them throughout DIPECHO I, II, and III.

### Evolution of funding by category:

The following table is based on the average of all project funding for certain topics, as a percentage of the total amount of funding for all projects. Distinction is made at times between accepted and rejected projects.



The following graph compares the weight of Disaster Preparedness and Mitigation in the overall budget of proposals presented in DIPECHO 4 and 5.

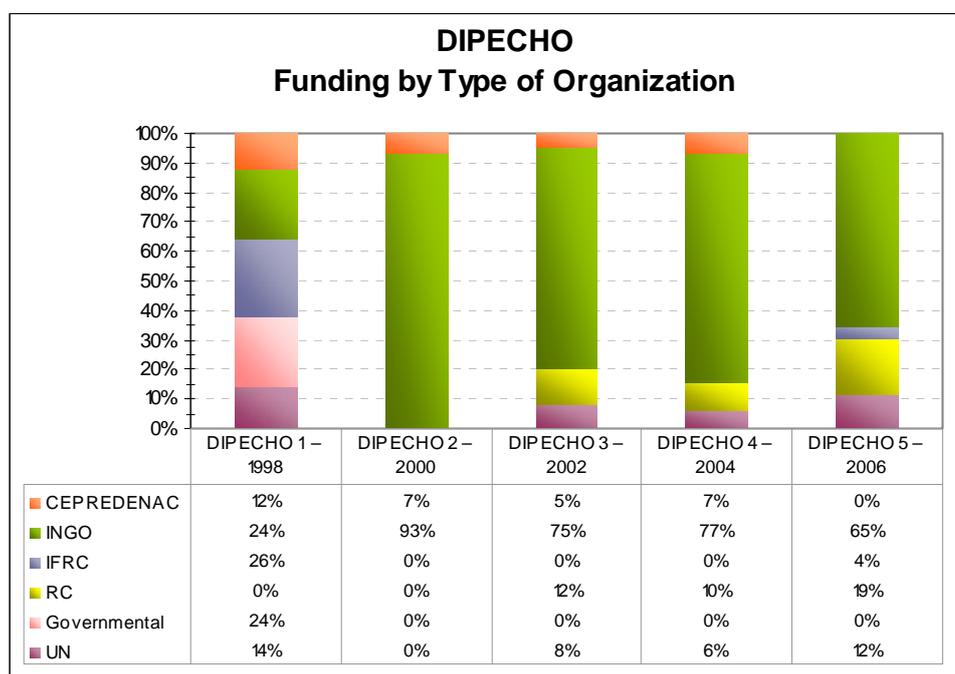


**Table 1. Budget Breakdown of DIPECHO IV and V**

DIPECHO	ACCEPTED			NON ACCEPTED		
	IV	V	Variation	IV	V	Variation
	% OVER TOTAL FUNDING			% OVER TOTAL FUNDING		
<b>Goods &amp; services delivered to the beneficiaries</b>	64%	63,0%	-1,1%	63,1%	67,1%	4,0%
<b>Disaster preparedness and mitigation</b>	49%	50,2%	0,8%	46,7%	45,9%	-0,8%
Infrastructure support	3%	3,7%	0,9%	1,1%	4,9%	3,8%
Advocacy and public awareness raising	2%	3,4%	1,2%	4,7%	3,8%	-0,9%
Mitigation works	7%	3,7%	-3,0%	4,6%	3,0%	-1,7%
Mapping and data computerization	1%	1,2%	0,2%	1,5%	2,5%	1,0%
Education	2%	3,4%	1,0%	5,7%	1,8%	-3,9%
Early warning systems	9%	8,3%	-0,9%	4,7%	5,4%	0,7%
Research and dissemination	3%	6,8%	3,6%	4,3%	5,1%	0,8%
Facilitation of co-ordination	1%	1,6%	0,2%	0,8%	1,2%	0,4%
Institutional strengthening	10%	5,8%	-4,6%	7,9%	5,2%	-2,6%
Local capacity building/training	10%	9,9%	0,2%	10,8%	10,4%	-0,4%
Other DIPECHO	0%	0,0%	-0,3%	0,6%	0,0%	-0,5%
<b>International transport</b>	0%	0,0%	0,0%	0,0%	0,0%	0,0%
Maritime	0%	0,0%	0,0%	0,0%	0,0%	0,0%
Overland	0%	0,0%	0,0%	0,0%	0,0%	0,0%
Air	0%	0,0%	0,0%	0,0%	0,0%	0,0%
<b>Personnel</b>	15%	12,7%	-1,9%	16,5%	12,0%	-4,4%
Expatriate staff	3%	0,4%	-2,3%	3,4%	1,3%	-2,2%
Local staff	12%	12,4%	0,4%	13,0%	10,8%	-2,3%
<b>Support costs</b>	30%	30,5%	1,0%	30,7%	26,5%	-4,2%
<b>Personnel</b>	15%	17,2%	2,4%	13,7%	13,7%	0,0%
Expatriate staff	7%	9,3%	2,7%	5,8%	7,2%	1,4%
Local staff	8%	7,9%	-0,2%	7,9%	6,5%	-1,4%
<b>Local logistic costs</b>	9%	7,5%	-1,2%	9,3%	7,4%	-1,9%
Office expenses	2%	1,9%	0,3%	1,2%	1,6%	0,4%
Office consumable and supplies	1%	0,9%	-0,1%	1,7%	0,9%	-0,8%
Local contracted transport	2%	0,8%	-0,9%	1,8%	1,5%	-0,3%
Distribution, storage and daily labour	0%	0,2%	0,2%	0,1%	0,1%	0,0%
Running costs	4%	3,4%	-0,4%	3,4%	2,6%	-0,7%
Other	0%	0,3%	-0,2%	1,2%	0,4%	-0,8%
<b>Durable equipment</b>	3%	2,7%	0,2%	4,4%	3,0%	-1,3%
Vehicles	2%	1,7%	0,1%	3,2%	2,0%	-1,2%
Communication	0%	0,1%	-0,1%	0,3%	0,3%	0,1%
Other	1%	0,9%	0,1%	0,9%	0,6%	-0,3%
<b>Security</b>	0%	0,2%	0,1%	0,0%	0,0%	0,0%
<b>Feasibility, need assessment and other studies</b>	0%	0,1%	-0,3%	0,4%	0,1%	-0,4%
<b>Specialised services</b>	2%	1,4%	-0,2%	1,2%	1,0%	-0,1%
External quality and quantity controls	0%	0,0%	-0,1%	0,1%	0,0%	-0,1%
External evaluation	1%	0,9%	0,0%	0,6%	0,5%	-0,2%
External audit	1%	0,5%	-0,1%	0,5%	0,5%	0,0%
<b>Insurance costs</b>	0%	0,1%	0,0%	0,1%	0,0%	-0,1%
<b>Visibility and communication programmes</b>	1%	1,2%	0,2%	1,1%	1,2%	0,0%
<b>Others to be specified in the proposal</b>	0%	0,1%	-0,2%	0,5%	0,1%	-0,4%
<b>Indirect costs</b>	6%	6,5%	0,1%	6,2%	6,4%	0,2%
<b>Contingency reserve</b>	0%	0,0%	0,0%	0,0%	0,0%	0,0%

Source: Grid analysis - budget breakdown of project proposals for DIPECHO IV and V.

## Funding by type of organisation



**INGO- International Non Governmental Organisation**

**IFRC-International Federation of the Red Cross and Red Crescent Societies**

**RC- Red Cross**

**Governmental-GTZ Germany**

The following table provides information on the proportion of funds that the IFRC/RC received from DIPECHO throughout its five Action Plans.

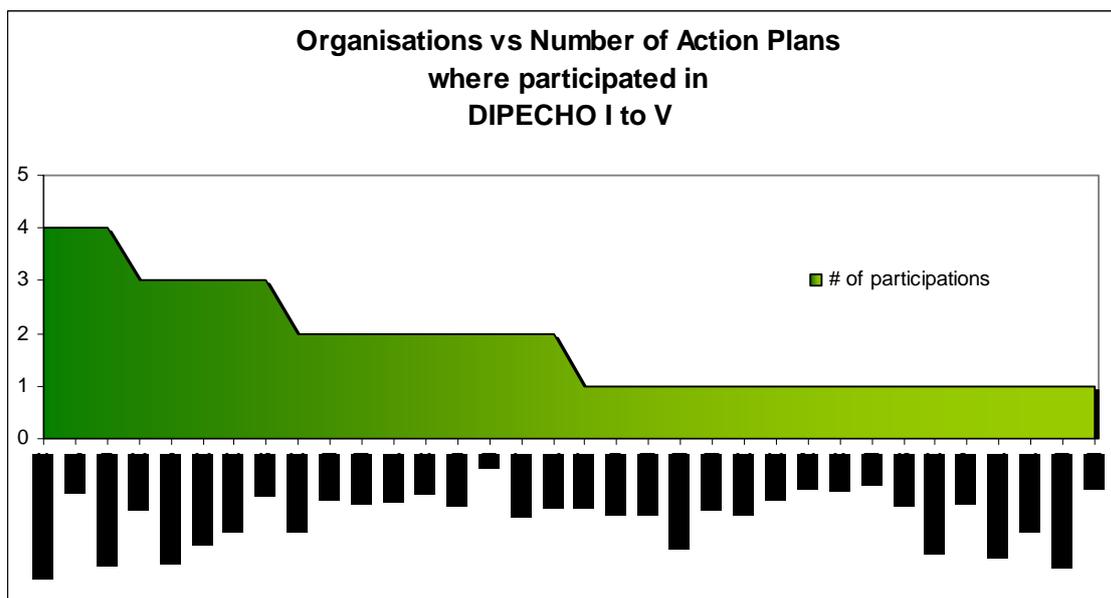
### Funding to IFRC/RC by Action Plan and Country

Country	DIPECHO 1 CA – 1998	DIPECHO 2 CA – 2000	DIPECHO 3 CA – 2002	DIPECHO 4 CA – 2004	DIPECHO 5 CA – 2006	Over total funding by country
El Salvador			5,6%		7,0%	8,2%
Guatemala			4,9%	9,0%	5,2%	10,1%
Honduras					5,3%	4,2%
Multi country	26,2%					7,3%
Nicaragua				10,5%	6,3%	9,4%
Regional					5,1%	4,1%
Over total funding by AP	26,2%	0,0%	11,9%	10,0%	23,1%	14,6%

The proportion of funding received by each type of organisation in each country is provided in the following table:

Country2	Type of organization	DIPECHO 1 CA – 1998	DIPECHO 2 CA – 2000	DIPECHO 3 CA – 2002	DIPECHO 4 CA – 2004	DIPECHO 5 CA – 2006	Total general
Costa Rica	UN			8,1%			1,1%
	Total			8,1%			1,1%
El Salvador	INGO		18,3%	12,4%	9,3%	11,7%	11,1%
	RC					5,6%	2,8%
	Total		18,3%	18,7%	9,3%	17,3%	13,9%
Guatemala	CEPREDENAC				6,7%		1,8%
	INGO		11,4%	16,2%	6,5%	9,7%	9,1%
	RC			5,5%	4,6%	4,1%	3,4%
	Total		11,4%	21,7%	17,8%	13,8%	14,3%
Honduras	INGO		31,4%	9,7%	24,4%	15,6%	18,2%
	RC					4,2%	1,4%
	Total		31,4%	9,7%	24,4%	19,8%	19,6%
Multi country	Governmental	23,8%					2,3%
	IFRC	26,2%					2,5%
	INGO	9,5%		11,3%			2,5%
	Total	59,5%		11,3%			7,2%
Nicaragua	INGO	14,3%	32,0%	25,6%	37,2%	28,3%	29,6%
	RC				5,4%	5,1%	3,2%
	Total	14,3%	32,0%	25,6%	42,6%	33,4%	32,8%
Regional	CEPREDENAC	11,9%	6,9%	4,9%			2,9%
	IFRC					4,1%	1,4%
	UN	14,3%			5,8%	11,7%	6,9%
	Total	26,2%	6,9%	4,9%	5,8%	15,7%	11,1%
General	Total	100,0%	100,0%	100,0%	100,0%	100,0%	100,0%

## Funding by organisation



PARTNER	DIPECHO 1 CA – 1998	DIPECHO 2 CA – 2000	DIPECHO 3 CA – 2002	DIPECHO 4 CA – 2004	DIPECHO 5 CA – 2006	Total	# of participations
CEPREDENAC	250.000	240.000	150.000	400.000		1.040.000	4
MOVIMUNDO	300.000	350.000	155.000	400.000		1.205.000	4
GAA		400.000	200.000	313.502	415.000	1.328.502	4
ACH-E			499.993	390.000	380.000	1.269.993	3
CARE-France			350.000	610.264	705.000	1.665.264	3
RC-E			367.818	325.000	800.000	1.492.818	3
TROCAIRE			300.000	363.610	290.000	953.610	3
Oxfam-UK		400.000		340.000	345.000	1.085.000	3
ACSUR-E				318.000	315.000	633.000	2
APS-I	200.000	340.000				540.000	2
CISP-I			169.425	584.765		754.190	2
IFRC	550.000				305.000	855.000	2
RC-NL				276.862	310.000	586.862	2
GOAL - Irish				300.000	360.000	660.000	2
PAHO	300.000			350.000		650.000	2
SI		370.000	732.138			1.102.138	2
UNICEF			250.000		370.000	620.000	2
ACF-F		400.000				400.000	1
ACTED					350.000	350.000	1
ALISEI-I				400.000		400.000	1
CHRISTIAN AID					280.000	280.000	1
COOPI		360.000				360.000	1
COSPE				325.000		325.000	1
DCA					285.000	285.000	1
GM-E		300.000				300.000	1
GTZ	500.000					500.000	1
GVC					405.000	405.000	1
NF I		340.000				340.000	1
OIKOS					285.000	285.000	1
Plan Int. – UK				300.000		300.000	1
UNDP					505.000	505.000	1
RC-I					315.000	315.000	1
OXFAM-BEL					245.000	245.000	1
CARE-NL					235.000	235.000	1
<b>Total</b>	<b>2.100.000</b>	<b>3.500.000</b>	<b>3.174.374</b>	<b>5.997.003</b>	<b>7.500.000</b>	<b>22.271.377</b>	<b>62</b>

### Funded and rejected organisations, correspondent amounts for AP 4 and 5.

ACTION PLAN	COUNTRY	ACCEPTED	ORGANIZATION	REQUESTED AMOUNT	APROVED AMOUNT	APROVED AMOUNT 2nd ROUND (DIPECHO V Bis)	TOTAL FUNDED BY PROJECT	TOTAL FUNDED BY COUNTRY	TOTAL REJECTED BY COUNTRY		
DIPECHO IV	Nicaragua	YES	ACSUR-E	318.000,00	318.000,00	n.a.	318.000,00	2.556.267,00			
			CARE-FR	350.000,00	350.000,00	n.a.	350.000,00				
			CISP-I	184.765,00	184.765,00	n.a.	184.765,00				
			COSPE	449.650,00	325.000,00	n.a.	325.000,00				
			CR-E	325.000,00	325.000,00	n.a.	325.000,00				
			GAA	313.502,00	313.502,00	n.a.	313.502,00				
			OXFAM-UK	340.000,00	340.000,00	n.a.	340.000,00				
			MOVIMONDO	400.000,00	400.000,00	n.a.	400.000,00				
			OXFAM-UK	340.000,00	0,00	n.a.	0,00				
			ASB-G	172.799,00	0,00	n.a.	0,00				
	NO	CRIC-I	374.000,00	0,00	n.a.	0,00	1.997.220,10				
		SI-E	379.900,00	0,00	n.a.	0,00					
		GVC	364.314,00	0,00	n.a.	0,00					
		ACTED-FR	366.207,10	0,00	n.a.	0,00					
		CARE - France	260.264,00	260.264,00	n.a.	260.264,00		560.264,00			
		Plan International	300.000,00	300.000,00	n.a.	300.000,00					
	El Salvador	NO	MDM-E	434.059,87	0,00	n.a.	0,00	1.532.463,85			
CESVI-I			350.200,00	0,00	n.a.	0,00					
AEA-E			338.479,06	0,00	n.a.	0,00					
WV			196.200,00	0,00	n.a.	0,00					
DRK-G			213.524,92	0,00	n.a.	0,00					
ALISE-I			400.000,00	400.000,00	n.a.	400.000,00	1.463.610,00				
Honduras	YES	CISP-I	400.000,00	400.000,00	n.a.	400.000,00					
		GOAL-Irish	300.000,00	300.000,00	n.a.	300.000,00					
		TROCAIRE-Irl.	318.800,00	363.610,00	n.a.	363.610,00					
		CR-E	248.000,00	0,00	n.a.	0,00	1.237.605,00				
NO	CARE-FR	313.823,00	0,00	n.a.	0,00						
	DCA-D	325.785,00	0,00	n.a.	0,00						
	SI-E	349.997,00	0,00	n.a.	0,00						
	ACH-E	499.102,57	390.000,00	n.a.	390.000,00	1.066.862,00					
	YES	CEPREDENAC	400.000,00	400.000,00	n.a.			400.000,00			
CR-NL		276.862,00	276.862,00	n.a.	276.862,00						
Guatemala	NO	MPDL-E	500.000,00	0,00	n.a.	0,00	557.190,00				
		WV	57.190,00	0,00	n.a.	0,00					
Panamá	NO	DRK	144.392,05	0,00	n.a.	0,00	0,00	144.392,05			
Costa Rica	NO	UNICEF	500.000,00	0,00	n.a.	0,00	0,00	743.799,55			
		DRK	243.799,55	0,00	n.a.	0,00					
Multi-country	NO	UNDP	398.000,00	0,00	n.a.	0,00	0,00	398.000,00			
Regional	YES	PAHO	350.000,00	350.000,00	n.a.	350.000,00	350.000,00				
	NO	PAHO	326.350,00	0,00	n.a.	0,00		726.350,00			
		UNICEF	400.000,00	0,00	n.a.	0,00					
DIPECHO V	Nicaragua	YES	ACSUR	347.892,00	315.000,00	0,00	315.000,00	2.505.000,00			
			ACTED	459.360,00	0,00	350.000,00	350.000,00				
			AAA	476.384,00	415.000,00	0,00	415.000,00				
			CARE-FR	406.664,00	360.000,00	0,00	360.000,00				
			CHRISTIAN AID	288.867,00	0,00	280.000,00	280.000,00				
			RC-E	425.000,00	380.000,00	0,00	380.000,00				
			GVC	451.704,00	405.000,00	0,00	405.000,00				
			CISP	464.257,00	0,00	0,00	0,00				
			COSPE	329.400,86	0,00	0,00	0,00				
			NO	CRIC	274.000,00	0,00	0,00			0,00	2.129.135,76
				CRIC	328.248,00	0,00	0,00			0,00	
				Intermon Oxfam	475.543,90	0,00	0,00			0,00	
				WFP	257.686,00	0,00	0,00			0,00	
	CARE-FR	361.250,00		345.000,00	0,00	345.000,00	1.295.000,00				
	YES	RC-E		462.004,75	0,00	420.000,00		420.000,00			
		OIKOS	301.604,00	285.000,00	0,00	285.000,00					
	El Salvador	NO	OXFAM - Solidarite	255.000,00	245.000,00	0,00	245.000,00	2.447.632,63			
			ACPP	372.644,81	0,00	0,00	0,00				
			AEA	238.357,67	0,00	0,00	0,00				
			Christian Aid	229.505,00	0,00	0,00	0,00				
			OIKOS	322.536,00	0,00	0,00	0,00				
			Plan International	458.024,00	0,00	0,00	0,00				
			SPF	334.677,81	0,00	0,00	0,00				
	SI	491.887,34	0,00	0,00	0,00						
	Honduras	YES	CARE-NL	252.054,00	235.000,00	0,00	235.000,00	1.485.000,00			
			RC-I	350.000,00	315.000,00	0,00	315.000,00				
			DCA	329.166,00	285.000,00	0,00	285.000,00				
GOAL			382.063,00	0,00	360.000,00	360.000,00					
TROCAIRE			309.080,00	290.000,00	0,00	290.000,00					
NO	AEA	293.828,38	0,00	0,00	0,00	956.033,38					
	CISP	460.000,00	0,00	0,00	0,00						
	PTM	202.205,00	0,00	0,00	0,00						
Guatemala	YES	ACH	422.000,00	380.000,00	0,00	380.000,00	1.035.000,00				
		RC-NL	325.318,00	310.000,00	0,00	310.000,00					
		OXFAM	382.500,00	345.000,00	0,00	345.000,00					
		CARE-FR	268.729,00	0,00	0,00	0,00		565.663,00			
NO	WFP	296.934,00	0,00	0,00	0,00						
	Regional	YES	IFRC	370.251,00	305.000,00	0,00	305.000,00	1.180.000,00			
UNDP			450.000,00	415.000,00	90.000,00	505.000,00					
UNICEF			400.000,00	370.000,00	0,00	370.000,00					
CEPREDENAC			340.370,00	0,00	0,00	0,00					
PAHO			400.000,00	0,00	0,00	0,00					
WFP			451.658,00	0,00	0,00	0,00					

n.a. = not applicable

The following section provides information on the number of proposals accepted and rejected, types of organisations, amounts of funding, plus the principal themes treated in each project, by country.

### **DIPECHO I**

Information regarding the total number of proposals presented in DIPECHO-I is not available. Six proposals were accepted.

COUNTRY	ACCEPTED	ORGANIZATION	PRINCIPAL THEMES	REQUESTED AMOUNT	APROVED AMOUNT	TOTAL FUNDED BY PROJECT	TOTAL FUNDED BY COUNTRY	TOTAL REJECTED BY COUNTRY
Nicaragua	YES	MOVIMONDO	Strengthening of local preparedness capacities	n.d.	300.000,00	300.000,00	300.000,00	n.d.
Multi country	YES	GTZ	Early warning systems	n.d.	500.000,00	500.000,00	1.250.000,00	n.d.
		IFRC	Strengthening of regional preparedness capacities	n.d.	550.000,00	550.000,00		
		APS-I	Early warning systems	n.d.	200.000,00	200.000,00		
Regional	YES	CEPREDENAC	Strengthening of regional preparedness capacities	n.d.	250.000,00	250.000,00	550.000,00	n.d.
		PAHO	Strengthening of regional preparedness capacities	n.d.	300.000,00	300.000,00		

n.d. = no data available

### **DIPECHO II**

Information on the total number of proposals received is not available. 10 projects were accepted.

COUNTRY	ACCEPTED	ORGANIZATION	PRINCIPAL THEMES	REQUESTED AMOUNT	APROVED AMOUNT	TOTAL FUNDED BY PROJECT	TOTAL FUNDED BY COUNTRY	TOTAL REJECTED BY COUNTRY
Nicaragua	YES	SI	Strengthening of local preparedness capacities	n.d.	370.000,00	370.000,00	1.120.000,00	n.d.
		GAA-G	Strengthening of local preparedness capacities	n.d.	400.000,00	400.000,00		
		MOVIMONDO	Strengthening of local preparedness capacities	n.d.	350.000,00	350.000,00		
El Salvador	YES	GM-E	Strengthening of local preparedness capacities	n.d.	300.000,00	300.000,00	640.000,00	n.d.
		APS-I	Early warning systems	n.d.	340.000,00	340.000,00		
Honduras	YES	NF-I	Strengthening of local preparedness capacities	n.d.	340.000,00	340.000,00	1.100.000,00	n.d.
		COOPI	Strengthening of local preparedness capacities	n.d.	360.000,00	360.000,00		
		OXFAM-UK	Strengthening of local preparedness capacities	n.d.	400.000,00	400.000,00		
Guatemala	YES	ACF-F	Strengthening of local preparedness capacities	n.d.	400.000,00	400.000,00	400.000,00	n.d.
Regional	YES	CEPREDENAC	Strengthening of regional preparedness capacities	n.d.	240.000,00	240.000,00	240.000,00	n.d.

n.d. = no data available

### DIPECHO III

For this action plan, 41 applications were presented, 12 were accepted and 29 rejected, although no information was made available on rejected projects, except in the case of the PAHO project.

COUNTRY	ACCEPTED	ORGANIZATION	PRINCIPAL THEMES	REQUESTED AMOUNT	APROVED AMOUNT	TOTAL FUNDED BY PROJECT	TOTAL FUNDED BY COUNTRY	TOTAL REJECTED BY COUNTRY
Nicaragua	YES	CISP-I	Strengthening of local preparedness capacities	n.d.	169.425,00	169.425,00	789.425,00	n.d.
		GAA	Strengthening of local preparedness capacities	n.d.	200.000,00	200.000,00		
		SI	Strengthening of local preparedness capacities	n.d.	350.000,00	350.000,00		
		MOVIMONDO	Strengthening of local preparedness capacities	n.d.	70.000,00	70.000,00		
El Salvador	YES	RC-E	Strengthening of local preparedness capacities	n.d.	196.900,77	196.900,77	579.038,77	n.d.
		APS –retomado por SI	Strengthening of local preparedness capacities	n.d.	382.138,00	382.138,00		
Honduras	YES	TROCAIRE	Strengthening of local preparedness capacities	n.d.	300.000,00	300.000,00	300.000,00	n.d.
Guatemala	YES	ACH-E	Early warning systems	n.d.	499.993,00	499.993,00	670.909,83	n.d.
		RC-E	Early warning systems	n.d.	170.916,83	170.916,83		
Costa Rica	YES	UNICEF	Strengthening of local preparedness capacities	n.d.	250.000,00	250.000,00	250.000,00	n.d.
Multi-country	YES	CARE-FR	Early warning systems	n.d.	350.000,00	350.000,00	350.000,00	n.d.
Regional	YES	CEPREDENAC	Strengthening of regional preparedness capacities	n.d.	150.000,00	150.000,00	400.000,00	
	NO	PAHO	Strengthening of regional preparedness capacities	n.d.	250.000,00	250.000,00		n.d.

n.d. = no data available

### DIPECHO IV

Number of applications: 41

Accepted applications: 18

Rejected applications: 23

COUNTRY	ACCEPTED	ORGANIZATION	PRINCIPAL THEMES	REQUESTED AMOUNT	APROVED AMOUNT	TOTAL FUNDED BY PROJECT	TOTAL FUNDED BY COUNTRY	TOTAL REJECTED BY COUNTRY
Nicaragua	YES	ACSUR-E	Strengthening of local preparedness capacities	318.000,00	318.000,00	318.000,00	2.556.267,00	
		CARE-FR	Early warning systems	350.000,00	350.000,00	350.000,00		
		CISP-I	Strengthening of local preparedness capacities	184.765,00	184.765,00	184.765,00		
		COSPE	Strengthening of rural preparedness capacities	449.650,00	325.000,00	325.000,00		
		RC-E	Strengthening of community preparedness capacities	325.000,00	325.000,00	325.000,00		
		GAA	Strengthening of local preparedness capacities	313.502,00	313.502,00	313.502,00		
		OXFAM-UK	Strengthening of community preparedness capacities	340.000,00	340.000,00	340.000,00		
		MOVIMONDO	Strengthening of local preparedness capacities	400.000,00	400.000,00	400.000,00		
	NO	OXFAM-UK	Strengthening of local preparedness capacities	340.000,00	0,00	0,00	1.997.220,10	
		ASB-G	Strengthening of local preparedness capacities	172.799,00	0,00	0,00		
		CRIC	Institutional strengthening	374.000,00	0,00	0,00		
		SI	Early warning systems	379.900,00	0,00	0,00		
		GVC	Early warning systems	364.314,00	0,00	0,00		
ACTED	Strengthening of local preparedness capacities	366.207,10	0,00	0,00				
El Salvador	YES	CARE-FR	Early warning systems	260.264,00	260.264,00	260.264,00	560.264,00	
		Plan International	Strengthening of local preparedness capacities	300.000,00	300.000,00	300.000,00		
	NO	MDM-E	Institutional strengthening	434.059,87	0,00	0,00	1.532.463,85	
		CESVI-I	Institutional strengthening	350.200,00	0,00	0,00		
		AEA-E	Strengthening of local preparedness capacities	338.479,06	0,00	0,00		
		WV	Strengthening of local preparedness capacities	196.200,00	0,00	0,00		
DRK	Early warning systems	213.524,92	0,00	0,00				
Honduras	YES	ALISEI-I	Early warning systems	400.000,00	400.000,00	400.000,00	1.463.610,00	
		CISP-I	Early warning systems	400.000,00	400.000,00	400.000,00		
		GOAL-Irish	Strengthening of local preparedness capacities	300.000,00	300.000,00	300.000,00		
		TROCAIRE	Early warning systems	318.800,00	363.610,00	363.610,00		
	NO	RC-E	Strengthening of local preparedness capacities	248.000,00	0,00	0,00	1.237.605,00	
		CARE-FR	Infrastructure support	313.823,00	0,00	0,00		
		DCA	Strengthening of local preparedness capacities	325.785,00	0,00	0,00		
		SI	Early warning systems	349.997,00	0,00	0,00		
Guatemala	YES	ACH-E	Strengthening of local preparedness capacities	499.102,57	390.000,00	390.000,00	1.066.862,00	
		CEPREDENAC	Strengthening of local preparedness capacities	400.000,00	400.000,00	400.000,00		
		RC-NL	Strengthening of local preparedness capacities	276.862,00	276.862,00	276.862,00		
	NO	MPDL-E	Strengthening of local preparedness capacities	500.000,00	0,00	0,00	557.190,00	
		WV	Strengthening of local preparedness capacities	57.190,00	0,00	0,00		
Panamá	NO	DRK	Strengthening of local preparedness capacities	144.392,05	0,00	0,00	0,00	144.392,05
Costa Rica	NO	UNICEF	Strengthening of local preparedness capacities	500.000,00	0,00	0,00	0,00	743.799,55
		DRK	Strengthening of local preparedness capacities	243.799,55	0,00	0,00		
Multi-country	NO	UNDP	Strengthening of local preparedness capacities	398.000,00	0,00	0,00	0,00	398.000,00
Regional	YES	PAHO	Institutional strengthening	350.000,00	350.000,00	350.000,00	350.000,00	
		PAHO	Institutional strengthening	326.350,00	0,00	0,00		
	NO	UNICEF	Strengthening of local preparedness capacities	400.000,00	0,00	0,00	726.350,00	

n.d. = no data available

## DIPECHO V

Number of applications: 43

Accepted applications: 22

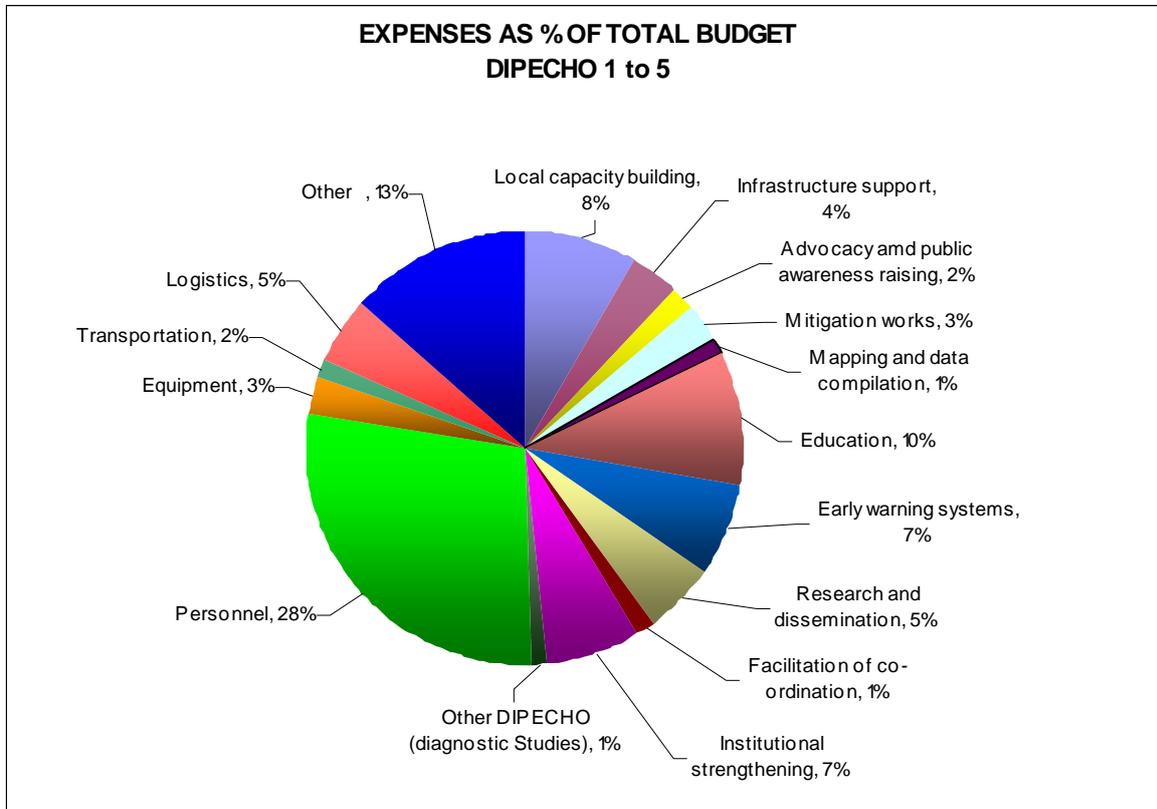
Rejected applications: 21

COUNTRY	ACCEPTED	ORGANIZATION	PRINCIPAL THEMES	REQUESTED AMOUNT	APROVED AMOUNT	TOTAL FUNDED BY PROJECT	TOTAL FUNDED BY COUNTRY	TOTAL REJECTED BY COUNTRY
Nicaragua	YES	ACSUR-E	Strengthening of local preparedness capacities	347.892,00	315.000,00	315.000,00	2.505.000,00	
		ACTED	Strengthening of local preparedness capacities	459.360,00	0,00	350.000,00		
		GAA	Early warning systems	476.384,00	415.000,00	415.000,00		
		CARE-FR	Strengthening of local preparedness capacities	406.664,00	360.000,00	360.000,00		
		CHRISTIAN AID	Strengthening of local preparedness capacities	288.867,00	0,00	280.000,00		
		RC-E	Strengthening of local preparedness capacities	425.000,00	380.000,00	380.000,00		
		GVC	Strengthening of local preparedness capacities	451.704,00	405.000,00	405.000,00		
	NO	CISP-I	Strengthening of local preparedness capacities	464.257,00	0,00	0,00	2.129.135,76	
		COSPE	Strengthening of local preparedness capacities	329.400,86	0,00	0,00		
		CRIC	Strengthening of local preparedness capacities	274.000,00	0,00	0,00		
CRIC		Strengthening of local preparedness capacities	328.248,00	0,00	0,00			
Intermon Oxfam		Strengthening of local preparedness capacities	475.543,90	0,00	0,00			
WFP	without information	257.686,00	0,00	0,00				
El Salvador	YES	CARE-FR	Early warning systems	361.250,00	345.000,00	345.000,00	1.295.000,00	
		RC-E	Strengthening of local preparedness capacities	462.004,75	0,00	420.000,00		
		OIKOS	Early warning systems	301.604,00	285.000,00	285.000,00		
		OXFAM-BE	Strengthening of local preparedness capacities	255.000,00	245.000,00	245.000,00		
	NO	ACPP	Mitigation works	372.644,81	0,00	0,00	2.447.632,63	
		AEA	Infrastructure support	238.357,67	0,00	0,00		
		Christian Aid	Mitigation works	229.505,00	0,00	0,00		
		OIKOS	Early warning systems	322.536,00	0,00	0,00		
Plan International	Local capacity building/training	458.024,00	0,00	0,00				
SPF	Research and infrastructure support	334.677,81	0,00	0,00				
SI	Mitigation work	491.887,34	0,00	0,00				
Honduras	YES	CARE-NL	Strengthening of local preparedness capacities	252.054,00	235.000,00	235.000,00	1.485.000,00	
		RC-I	Strengthening of local preparedness capacities	350.000,00	315.000,00	315.000,00		
		DCA	Strengthening of local preparedness capacities	329.166,00	285.000,00	285.000,00		
		GOAL	Early warning systems	382.063,00	0,00	360.000,00		
		TROCAIRE	Early warning systems	309.080,00	290.000,00	290.000,00		
	NO	AEA	without information	293.828,38	0,00	0,00	956.033,38	
		CISP-I	Institutional strengthening	460.000,00	0,00	0,00		
PTM	Strengthening of local preparedness capacities	202.205,00	0,00	0,00				
Guatemala	YES	ACH-E	Early warning systems	422.000,00	380.000,00	380.000,00	1.035.000,00	
		RC-NL	Strengthening of local preparedness capacities	325.318,00	310.000,00	310.000,00		
		OXFAM-UK	Strengthening of local preparedness capacities	382.500,00	345.000,00	345.000,00		
	NO	CARE-FR	Strengthening of local preparedness capacities	268.729,00	0,00	0,00	565.663,00	
WFP	without information	296.934,00	0,00	0,00				
Regional	YES	IFRC	Strengthening of regional preparedness capacities	370.251,00	305.000,00	305.000,00	1.180.000,00	
		UNDP		450.000,00	415.000,00	505.000,00		
		UNICEF	Strengthening of regional preparedness capacities	400.000,00	370.000,00	370.000,00		
	NO	CEPRENAC	Strengthening of regional preparedness capacities	340.370,00	0,00	0,00	1.192.028,00	
		PAHO	Strengthening of regional preparedness capacities	400.000,00	0,00	0,00		
WFP	without information	451.658,00	0,00	0,00				

n.d. = no data available

The distribution of expenses registered by the organisations, funded by DIPECHO throughout Action plans 1 to 5, is presented in the following graph.

It is important to note that this analysis is based on information given in financial and narrative reports. Breakdown of funding was made available for only 27 of the 69 total projects.



The 27 projects considered in this analysis were:

DIPECHO ORG COUNTRY	I	I	II	II	III	III	IV	IV	IV
	CEPRENAC Regional	IFRC Nicaragua	CEPRENAC Regional	AcH Guatemala	RC-Spain Guatemala	SI El Salvador	CARE Nicaragua	OXFAM Nicaragua	GAA Nicaragua
Contribution requested from EC	250000	550000	240000	400000	196900,77	382138	350000	340000	313502
Local capacity building	0	0	0	0	0	0	44377	47260	37943
Infrastructure support	0	0	0	0	0	0	0	12105	0
Advocacy and public awareness raising	0	0	0	0	0	0	0	50075	1910
Mitigation works	0	0	0	0	59572,5	0	11969,4	0	46400
Mapping and data comp.	0	0	0	0	2701,77	0	7181,6	0	7100
Education	128312,76	615837,7	70000	43251,7	13148,49	0	7858,1	17027	0
Early warning systems	0	0	0	0	0	0	85781,5	37783	52598
Research and dissemination	0	0	0	0	0	0	4069,6	16276	2000
Facilitation of co-ordination	0	0	0	0	0	0	1066	0	0
Institutional strengthening	0	0	0	0	0	0	31472	20079	19100
Other DIPECHO (diagnostic Studies)	0	0	0	0	0	0	51567,9	0	2000
Personnel	158425,01	74400	179345,05	81379,17	87190,03	66633	96771	95360	132348
Equipment	0	0	0	0	2701,77	11657	8118	11487	0
Transportation	21823,94	37839,58	48883,09	32830,44	24810,18	0	0	0	0
Logistics	0	0	0	0	0	0	23639	30229	36225
Other	187775,93	89639,88	95713,83	32783,16	79163,42	146469	38854,77	62319	31062
<b>Total Budget</b>	<b>496337,64</b>	<b>817717,16</b>	<b>393941,97</b>	<b>190244,47</b>	<b>266586,39</b>	<b>224759</b>	<b>412725,87</b>	<b>400000</b>	<b>368686</b>

DIPECHO ORG COUNTRY	IV	IV	IV	V	V	V	V	V	V
	Trocaire Honduras	AcH Guatemala	CEPRENAC Guatemala	CARE Nicaragua	GAA Nicaragua	TROCAIRE Honduras	AcH Guatemala	OXFAM-Sol El Salvador	GVC Nicaragua
Contribution requested from EC	318800	375000	400000	360000	415000	290000	380000	245000	405000
Local capacity building	46106	29050	21301	70787	131320	22406	24200	25161	102258
Infrastructure support	9000	35400	0	9130	15664	41800	15440	20059	3241
Advocacy amd public awareness raising	3050	0	6500	1304	1480	12600	5600	14477	10658
Mitigation works	25000	8465	0	8261	29760	9159	16000	0	5831
Mapping and data comp.	900	0	0	1739	8688	2430	14800	0	15083
Education	8240	0	3472	8435	0	20152	0	3319	28704
Early warning systems	58300	32280	0	79045	34595	20700	124130	47072	40417
Research and dissemination	16100	15000	2500	10870	2400	36476	8000	17844	22091
Facilitation of co-ordination	4731	57710	0	4944	0	8320	0	0	4860
Institutional strengthening	21680	54300	270653	42662	27634	5700	14378	22557	15581
Other DIPECHO (diagnostic Studies)	0	0	0	0	0	0	0	0	0
Personnel	85440	123820	66400	87750	162960	86719	116650	91494	152271
Equipment	24750	22500	44753	7965	11250	31848	32940	10096	4808
Transportation	0	0	0	0	0	0	0	0	0
Logistics	29625	36342	28500	49416	29130	28125	34776	15949	28423
Other	38537	35996	41771	41221	33354	37188	40254	21972	42243
<b>Total Budget</b>	<b>371459</b>	<b>450863</b>	<b>485850</b>	<b>423529</b>	<b>488235</b>	<b>363623</b>	<b>447168</b>	<b>290000</b>	<b>476469</b>

DIPECHO ORG COUNTRY	V	V	V	V	V	V	V	V	V
	CARE El Salvador	OXFAM UK Guatemala	RC-It Honduras	UNICEF Regional	UNDP Regional	CARE Honduras	IFRC Regional	OIKOS El Salvador	NL-RC GUATEMALA
Contribution requested from EC	345000	345000	315000	370000	415000	235000	305000	285000	310000
Local capacity building	30257	72420	54700	2520	53050	36377	0	16400	39300
Infrastructure support	14000	0	2400	10000	0	0	188937	29740	19200
Advocacy amd public awareness raising	10000	19583	14100	30630	0	12000	0	0	16700
Mitigation works	0	23021	30000	10000	0	0	0	0	19600
Mapping and data comp.	9000	2083	13200	0	0	0	0	17340	20600
Education	29000	18417	23900	36750	0	0	0	0	14700
Early warning systems	69000	20833	24400	0	0	0	0	38510	12000
Research and dissemination	10000	17708	17700	120270	235490	9980	0	24525	4100
Facilitation of co-ordination	10000	0	0	28340	0	15000	0	0	0
Institutional strengthening	30000	10000	26000	43220	0	53500	0	27700	20600
Other DIPECHO (diagnostic Studies)	10400	0	1300	0	54170	0	0	0	2528
Personnel	117409	144179	112500	117280	155650	97177	174813	117700	130162,3
Equipment	0	23834	7400	9950	2990	0	8819	10875	0
Transportation	0	0	0	0	0	0	0	0	0
Logistics	31763	17084	26500	30210	22950	21850	5561	21600	0
Other	35053	36720	35264	48600	53500	30586,88	38775	30904	227439,3
<b>Total Budget</b>	<b>405882</b>	<b>405882</b>	<b>389364</b>	<b>487770</b>	<b>577800</b>	<b>276470,88</b>	<b>416905</b>	<b>335294</b>	<b>396767,3</b>

## **ANNEX 17      Analysis of Proposals Scores**

Since AP IV, DIPECHO has instituted a quantitative project evaluation system involving five categories or criteria for numeric evaluation: Operational Capacity, Relevance, Methodology, Sustainability, and Budget Effectiveness. The marks achieved with this system provide the basis for requested improvements where projects are deemed adequate for financing in principal. The evaluation is undertaken by the regional TA, Brussels staff and other DG ECHO professionals where deemed important.

Analysis of evaluation results reveals in general, a relatively low level of overall performance (assuming that 90-100 is excellent; 80-90 very good; 70 to 80 good; 60 to 70 average; and 50 to 60 poor). For AP IV approved projects achieved an average of 62.50 of 90 points (67 on a scale of 100) and non-approved, 45.22 out of 90 (51 on a scale of 100). AP V results were 66.79 out of 100 and 54.1%, respectively.

Breaking down evaluation scores according to different criteria, some surprisingly low scores were achieved on critical variables even with approved projects. Thus, in DIPECHO IV average methodology scores were a little under 66 and sustainability marks under 60 on a scale of a 100. Breaking down the sustainability criteria, we find low marks in general. Similarly, low but improved marks are to be seen with DIPECHO V results. Organisations such as GAA, CARE France and Trocaire, which have longer experience with DIPECHO, tend to mark higher than newer partners, although their results do not improve necessarily from one Plan to the next. In fact, in various cases, they have dropped significantly.

The very low overall scores and the low relative scores for approved projects, combined with the fact that rejected projects are not given their scores and do not have the opportunity to discuss failings, lead us to believe that attention should be given to mechanisms for increasing the performance of partners and for improvement in subsequent calls. With regard to this, the evaluators are conscious of the fact that in other EU services and DG ECHO itself, no scores are ever given and no explanation for rejection either. Moreover, the fact that DIPECHO staff is more generally available for consultation and discussion should be applauded and promoted. However, as with any human endeavour, it is only with understanding and explanation that improvement can take place, especially when dealing with such a fine art as elaborating projects for agencies with their own idiosyncrasies and means of doing things.

The work load involved in qualifying and selecting partners, combined with the need to consult and discuss as projects are developed, would suggest that it is wise to search for means to reduce this load and increase efficiency. As a large number of projects are rejected with very low scores due to inadequate problem identification, the short initiating concept paper option would be an alternative.

DIPECHO IV													
EVALUATION GRID				Accepted				Rejected					
No. Of Proposal:				18				23					
Section	Max. Score	Average Score out of 41 proposals		Y	N			Y	N				
<b>2 Eligibility</b>				18	0								
Eligible operations: does the amount requested falls in the min € 50,000.00, and max €500,000.00?	NP			18	0			22	1				
Does the duration of the project respects the max period of 15 months?	NP			18	0			22	1				
Is the proposal for the project located in one or more the Central America countries (A-Costa Rica B-El Salvador C-Guatemala D-Honduras E-Nicaragua F-Panama.	NP			18	0			23	0				
				18	0			23	0				
				Best Score (3.=10; 3.1=5; 3.2=5)	Second best -	Worst score (3.=6; 3.1=3; 3.2=2)	Second worst +	Mean	Best Score (3.=10; 3.1=5; 3.2=5)	Second best -	Worst score (3.=0; 3.1=0; 3.2=0)	Second worst +	Mean
<b>3 Operational capacity</b>	10	6,39		4	1 2 6			7,94	1	1 1 2			5,17
3.1 Do the applicant (in particular the project co-ordinator) and partners have sufficient experience of project management in the countries where the project is presented?	5	3,93		9	5 4 5			4,28	11	3 1 1			3,65
3.2 Do the applicant (in particular the project co-ordinator) and partners have sufficient technical expertise in terms of disaster preparedness, mitigation and prevention project management in the Central America Region, and preferably in the country where the project is presented?	5	2,46		4	7 3 4			3,67	1	2 4 11			1,52
				Best Score (4.=23; 4.1=15; 4.2=10)	Second best	Worst score(4.=13; 4.1=9; 4.2=4)	Second worst +		Best Score (4.=21; 4.1=13; 4.2=8)	Second best	Worst score(4.=2; 4.1=1; 4.2=0)	Second worst +	
<b>4 Relevance</b>	25	16,22		5	4 1 4			20,11	1	1 1 1			13,17
4.1 How relevant is the proposal to the objectives and one or more of the priorities of the call for proposals (points 1.2.1 and 1.2.2 of this call)?	3x5	15	10,24	1	4 2 1			12,56	3	1 1 1			8,43
4.2 How relevant to the particular needs and constraints of the target populations and country/countries or region(s) is the proposal (including avoidance of duplication and synergy with other initiatives.)? Has the proposal been discussed and agreed with the local authorities responsible for risk management ?	2x5	10	5,98	1	7 3 2			7,56	2	7 1 1			4,74
				Best score(5.=27; 5.1=13; 5.2=9; 5.3=5)	Second best	Worst score(5.=11; 5.1=4; 5.2=4; 5.3=1)	Second worst +		Best score(5.=20; 5.1=12; 5.2=8; 5.3=4)	Second best	Worst score(5.=4; 5.1=2; 5.2=1; 5.3=1)	Second worst +	
<b>5 Methodology</b>	30	14,98		1	1 2 1			19,44	1	2 2 2			11,48
5.1 How clearly defined and strategically chosen are those involved (intermediaries, final beneficiaries, target groups)? Have the needs of the target groups proposed and the final beneficiaries been clearly defined and does the proposal address them appropriately? Is the target groups' and final beneficiaries' level of involvement and participation in the operation satisfactory?	3x5	15	7,41	2	2 1 1			9,67	1	1 3 3			5,65

5.2	How coherent is the overall design of the action (logical framework)? Are the activities proposed appropriate, practical, and consistent with the local constraints, the objectives and expected results? In particular, does it reflect the analysis of the problems involved, take into account external factors and anticipate an evaluation? Is the action plan clear and feasible?	2x5	10	5,02	1	4	2	2	6,61	1	3	4	4	3,78							
5.3	Does the proposal contain objectively verifiable indicators for the outcome of the operation?		5	2,54	1	6	1	4	3,17	1	6	7	9	2,04							
					Best score(6.=11; 6.1.1=2; 6.1.2.=3; 6.1.3=3; 6.1.4=3; 6.1.5=3)				Second best	Worst score(6.=4; 6.1.1=0; 6.1.2.=1; 6.1.3=0; 6.1.4=1; 6.1.5=1)		Second worst +		Best score(6.=10; 6.1.1=2; 6.1.2.=3; 6.1.3=2; 6.1.4=3; 6.1.5=2)		Worst score(6.=0; 6.1.1=0; 6.1.2.=0; 6.1.3=0; 6.1.4=0; 6.1.5=0)		Second worst +			
<b>6 Sustainability</b>			15	6,49	2	5	1	2	8,22	1	2	1	1	5,13							
6.1 Are the expected results of the proposal sustainable:																					
* financially (how will the activities be financed after the EC funding ends?)			3	0,63	2	11	5	11	0,83	2	7	14	7	0,48							
* institutionally (will structures allowing the activities to continue be in place at the end of the operation? Will there be local "ownership" of the results of the operation?)			3	1,85	6	9	3	9	2,17	3	9	1	10	1,61							
* at policy level (where applicable) (what will be the structural impact of the operation (e.g. will it lead to improved legislation, codes of conduct, methods, etc?)?)			3	1,07	1	9	2	6	1,50	3	11	9	11	0,74							
* is the operation likely to have a tangible impact on its target groups			3	1,63	5	9	4	9	2,06	2	5	2	14	1,30							
*is the proposal likely to have multiplier effects? (including scope for replication and extension of the outcome of the operation and dissemination of information.)			3	1,29	1	10	7	10	1,67	7	9	7	9	1,00							
					Best score(7.=9; 7.1=4; 7.2=5)				Second best	Worst score(7.=3; 7.1=0; 7.2=3)		Second worst +		Best score(7.=9; 7.1=5; 7.2=5)		Second best		Worst score(7.=3; 7.1=0; 7.2=0)		Second worst +	
<b>7 Budget and cost-effectiveness</b>			10	6,51	1	5	2	3	6,78	5	3	3	4	6,30							
7.1	Is the ratio between the estimated costs for the EU and the expected results satisfactory (taking into account in particular the level of co-financing)?		5	2,95	3	13	2	13	2,83	8	3	6	6	3,04							
7.2	Is the proposed expenditure necessary for the implementation of the operation (adequacy of the budget with the proposed activities)?		5	3,56	5	7	6	7	3,94	6	6	2	3	3,26							
					Best score(Final=77)				Best score (Final=73)	Worst score(Final=46)		Second worst + (Final 47)		Best score(Final=62)		Best score(Final=61)		Worst score(Final=22)		second worst score(Final=23)	
<b>FINAL TOTAL SCORE</b>			90	50,59	1	1	1	1	62,50	1	0	1	1	41,26							

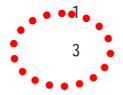
1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Mayor weakness in proposals rejected in DIPECHO IV



DIPECHO V

EVALUATION GRID		Accepted							Rejected					
No. Of Proposals:		22							21					
Section	Max. Score	Average Score of 43 proposals		Y	N			Mean	Y	N			Mean	
<b>2 Eligibility</b>														
Eligible operations: does the amount requested falls in the min € 200,000.00, and max €500,000.00?	NP			22			0		20			1		
Does the duration of the project respects the max period of 15 months?	NP			22			0		21			0		
Is the proposal for the project located in one or more the Central America countries (A-Costa Rica B-El Salvador C-Guatemala D-Honduras E-Nicaragua F-Panama.	NP			22			0		20			1		
				Best Score (3.=19; 3.1=10; 3.2=10)				Second best -	Worst score (3.=7; 3.1=4; 3.2=2)				Second worst +	Mean
<b>3 Operational capacity</b>	20	12,05		1	3		1	1	12,95			3	11,10	
Does the applicant (in particular the project co-ordinator (5), project management team and those of its local partner(s) (5) have adequate experience of project management in the countries where the project is presented?	10	6,58		2	3		2	4	6,86			2	6,29	
Does the applicant (in particular the project co-ordinator (5), project management team and those of its local partner(s) (5) have sufficient technical expertise in terms of disaster preparedness, mitigation and prevention project management in the cou	10	5,47		1	2		1	2	6,09			2	4,81	
				Best Score (4.=46; 4.1=15; 4.2=31)				Second best	Worst score(4.=31; 4.1=8; 4.2=19)				Second worst +	Mean
<b>4 Relevance</b>	50	32,95		1	2		1	4	35,95			1	29,81	
How relevant is the proposal to the objectives and one or more of the priorities of the call for proposals (points 1.1 (5) ,1.2 (5) and 1.5 (5) of this call)?	3x5	15	11,63	3	4		1	1	12,59			2	10,62	
How relevant to the particular needs and constraints of the target populations and country/countries or region(s) is the proposal (including avoidance of duplication and synergy with other initiatives in particular EU co-operation initiatives targeting f	7x5	35	21,33	1	1		2	1	23,36			1	19,19	
				Best score(5.=49; 5.1=20; 5.2=26; 5.3=4)				Second best	Worst score(5.=30; 5.1=11; 5.2=13; 5.3=1)				Second worst +	Mean
<b>5 Methodology</b>	55	32,33		1	1		2	3	36,86			1	27,57	
How clearly defined and strategically chosen are those involved (intermediaries, final beneficiaries, target groups)? (5)(point 4.5 of the Single form) Have the needs of the target groups proposed and the final beneficiaries been clearly defined and does	4x5	20	13,00	1	1		3	2	14,68			1	11,24	



5.2	How coherent is the overall design of the operation (logical framework)? (5) Are the activities proposed appropriate, practical, and consistent with the local constraints, the objectives and expected results? (5) Is the action plan clear and feasible?	6x5	30	16,51	1	1	2	2	19,05	1	1	1	2	13,86						
5.3	Does the proposal contain objectively verifiable indicators for the outcome of the operation? (point 4 of the Single form and logical framework)		5	2,81	9	8	1	4	3,14	3	6	2	10	2,48						
					Best score(6.=14; 6.1.1=3; 6.1.2.=3; 6.1.3=3; 6.1.4=3; 6.1.5=3) Second best				Worst score(6.=7; 6.1.1=1; 6.1.2.=1; 6.1.3=1; 6.1.4=2; 6.1.5=1) Second worst +				Best score(6.=12; 6.1.1=2; 6.1.2.=3; 6.1.3=3; 6.1.4=3; 6.1.5=3) Second best				Worst score(6.=4; 6.1.1=1; 6.1.2.=1; 6.1.3=0; 6.1.4=1; 6.1.5=0) Second worst +			
<b>6 Sustainability</b>			15	9,86	2	2	1	1	10,82	3	1	1	2	8,86						
6.1 Are the expected results of the proposed operation sustainable:																				
	- financially (how will the activities be financed after the EC funding ends?)		3	1,42	2	7	13	7	1,50	7	14	14	7	1,33						
	- institutionally (will structures allowing the activities to continue be in place at the end of the operation? Will there be local "ownership" of the results of the operation?)		3	2,28	13	8	1	8	2,55	3	15	3	15	2,00						
	- at policy level (where applicable) (what will be the structural impact of the operation — e.g. will it lead to improved legislation, codes of conduct, methods, etc?)		3	1,72	3	14	5	14	1,91	1	10	1	9	1,52						
	- Is the operation likely to have a tangible impact on its target groups		3	2,47	16	6	6	16	2,73	8	9	4	9	2,19						
	- Is the proposal likely to have multiplier effects? (including scope for replication and extension of the outcome of the operation and dissemination of information.)		3	1,98	7	11	4	11	2,14	4	10	1	6	1,81						
					Best score(7.=13; 7.1=4; 7.2=4; 7.3=7) Second best				Worst score(7.=6; 7.1=3; 7.2=1; 7.3=2) Second worst +				Best score(7.=12; 7.1=5; 7.2=5; 7.3=6) Second best				Worst score(7.=6; 7.1=2; 7.2=1; 7.3=2) Second worst +			
<b>7 Budget and cost-effectiveness</b>			20	9,79	3	4	1	1	10,27	2	3	1	2	9,29						
7.1	Is the ratio between the estimated costs for the EU and the expected results satisfactory (taking into account in particular the level of co-financing)?		5	3,14	4	18	18	4	3,18	1	1	1	18	3,10						
7.2	Is the proposed expenditure necessary for the implementation of the operation (adequacy of the budget with the proposed activities)?		5	2,72	2	8	4	8	2,36	2	6	2	4	3,10						
7.3	Are material resources and procurement procedures described? (5) (point 6.3 of the Single form) In case of service contracts (audit, evaluation, consultants in the project...) are the services and procurement procedures described? (5) (Points 4.11 and 10)	2x5	10	3,93	4	4	1	6	4,73	2	1	9	6	3,10						
					Best score(Final=81,3) 2nd Best (Final=80,6) Worst score(Final=55,625) 2nd worst + (Final 57,5)				Best score(Final=74,4) 2nd Best (Final=73,1) Worst score(Final=43,1) 2nd worst + (Final=45)											
<b>FINAL TOTAL SCORE %</b>			100%	60,61	1	1	1	1	66,79	1	1	1	1	54,14						

1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

For Sustainability please note: 0=null, 1=poor, 2=good, 3=very good

Mayor weakness in proposals rejected in DIPECHO V





5 Methodology					5 Methodology								
5.1	How clearly defined and strategically chosen are those involved (intermediaries, final beneficiaries, target groups)? Have the needs of the target groups proposed and the final beneficiaries been clearly defined and does the proposal address them appropriately? Is the target groups' and final beneficiaries' level of involvement and participation in the operation satisfactory?	3x5	15	7,41	9,67	5,65	5.1	How clearly defined and strategically chosen are those involved (intermediaries, final beneficiaries, <b>target groups</b> )? (5)(point 4.5 of the Single form) Have the <b>needs</b> of the <b>target groups</b> proposed and the final beneficiaries been clearly defined and does	4x5	20	13,00	14,68	11,24
5.2	How coherent is the overall design of the action (logical framework)? Are the activities proposed appropriate, practical, and consistent with the local constraints, the objectives and expected results? In particular, does it reflect the analysis of the problems involved, take into account external factors and anticipate an evaluation? Is the action plan clear and feasible?	2x5	10	5,02	6,61	3,78	5.2	How coherent is the overall design of the operation (logical framework)? (5) Are the <b>activities</b> proposed appropriate, practical, and consistent with the local constraints, the objectives and expected results? (5) Is the <b>action plan</b> clear and feasible?	6x5	30	16,51	19,05	13,86
5.3	Does the proposal contain objectively verifiable indicators for the outcome of the operation?	5	2,54	3,17	2,04		5.3	Does the proposal contain <b>objectively verifiable indicators</b> for the outcome of the operation? (point 4 of the Single form and logical framework)	5	2,81	3,14	2,48	
6 Sustainability					6 Sustainability								
6.1	Are the expected results of the proposal sustainable: * financially (how will the activities be financed after the EC funding ends?) * institutionally (will structures allowing the activities to continue be in place at the end of the operation? Will there be local "ownership" of the results of the operation?) * at policy level (where applicable) (what will be the structural impact of the operation (e.g. will it lead to improved legislation, codes of conduct, methods, etc?)) * is the operation likely to have a tangible impact on its target groups * is the proposal likely to have multiplier effects? (including scope for replication and extension of the outcome of the operation and dissemination of information.)	3	0,63	0,83	0,48		3	1,42	1,50	1,33			
		3	1,85	2,17	1,61		3	2,28	2,55	2,00			
		3	1,07	1,50	0,74		3	1,72	1,91	1,52			
		3	1,63	2,06	1,30		3	2,47	2,73	2,19			
		3	1,29	1,67	1,00		3	1,98	2,14	1,81			
7 Budget and cost-effectiveness					7 Budget and cost-effectiveness								
7.1	Is the ratio between the estimated costs for the EU and the expected results satisfactory (taking into account in particular the level of co-financing)?	5	2,95	2,83	3,04		7.1	Is the ratio between the estimated costs for the EU and the expected results satisfactory (taking into account in particular the level of co-financing)?	5	3,14	3,18	3,10	
7.2	Is the proposed expenditure necessary for the implementation of the operation (adequacy of the budget with the proposed activities)?	5	3,56	3,94	3,26		7.2	Is the proposed expenditure <b>necessary</b> for the implementation of the operation (adequacy of the budget with the proposed activities)?	5	2,72	2,36	3,10	
		2x5	10	3,93	4,73	3,10	7.3	Are <b>material resources and procurement</b> procedures described? (5) (point 6.3 of the Single form) In case of service contracts (audit, evaluation, consultants in the project...) are the <b>services and procurement</b> procedures described? (5) (Points 4.11 and 10	2x5	10	3,93	4,73	3,10
FINAL TOTAL SCORE					FINAL TOTAL SCORE %								
			90	50,59	62,50	41,26				100%	60,61	66,79	54,14

Notes

1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

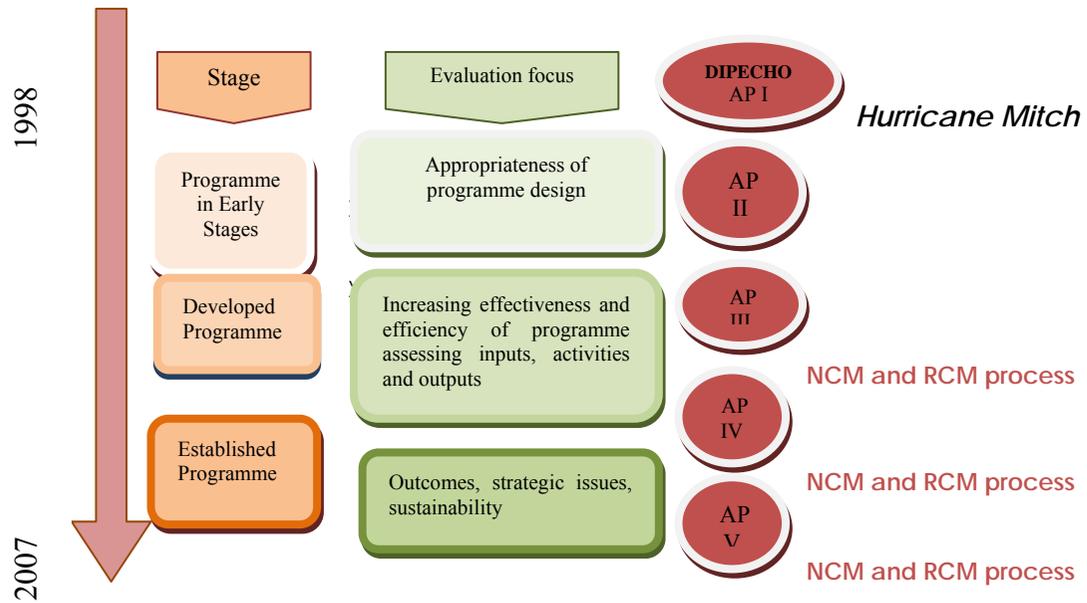
For **Sustainability** please note: 0=null, 1=poor, 2=good, 3=very good

## Scores by partner

Scores over 100% by		Accepted				Rejected			Accepted (A) vs. Rejected (R)	Interpretation
Partner	code	DIPECHO 4	DIPECHO 5	DIPECHO 5 Bis	Variation (1)	DIPECHO 4	DIPECHO 5	Variation (1)	Overall Variation from IV to V	
ACH	15G 18 G	73,33	67,50							ACH presented one project in DIPECHO IV and one in DIPECHO V both were accepted, although the score decreased 8%
Average ACH		73,33	67,50		-8%				A	
ACPP	28S						46,88			ACPP only presented one proposal for a project in Nicaragua, which was not accepted, it had a score of 46,88 out of 100
Average ACPP							46,88		R	
ACSUR	2N	73,33	67,50							Although ACSUR received funds for projects presented to DIPECHO for AP 4 and 5 its score diminished in 8%
Average ACSUR		73,33	67,50		-8%				A	
ACTED	36 N 5N			67,50		48,89				ACTED was rejected in DIPECHO IV, but accepted in DIPECHO V Bis with a score that grew 38% in comparison with the previous Action Plan
Average ACTED				67,50		48,89			38,1%	
AEA	18 H 23 E 30S					28,89	45,63			AEA presented 1 project in DIPECHO IV and 2 in V, all three were rejected, but it's worth mentioning that the score they received increased 78%
Average AEA						28,89	51,56	78%	R	
ALISEI	35 H	76,67								Alisei was accepted with its unique proposal presented in DIPECHO IV
Average ALISEI		76,67							A	
ASB	10 N					30,00				ASB was rejected with its unique proposal presented in DIPECHO V
Average ASB						30,00			R	
CEPREDENAC	41 G 41R	55,56					58,13			Cepredenac was funded in DIPECHO 1 to 4, but even with a 4,6% growth in its score between AP 4 and 5, its proposal was rejected.
Average CEPREDENAC		55,56					58,13		4,6%	
CESVI	17 E					53,33				CESVI was rejected with its unique proposal presented in DIPECHO IV
Average CESVI						53,33			R	
CHA CHRISTIAN AID	8N 26S			55,63			51,25			CHA received funding for one of the 2 proposals made to DIPECHO V ( in the second round DIPECHO V bis)
Average CHRISTIAN AID				55,63			51,25		8,5%	
CISP	11N 20 H 21H 28 N	78,89					73,13			With 2 proposals accepted in Dipecho IV and 2 rejected in Dipecho V, CISP grew 0,5% in its avareage scores but was rejected for administrative reasons.
Average CISP		65,00					65,31		0,5%	
COSPE	10N 37 N	67,78					74,38			Cospe was funded by DIPECHO IV, but even though it's score improved in 9.7% was rejected in the 5th AP due to lack of compliance with certain evaluation criteria
Average COSPE		67,78					74,38		9,7%	
CRIC	21 N 6N 7N					53,33	57,50			CRIC was rejected with its three proposals, however scores in DIPECHO V improved
Average CRIC						53,33	55,00	3%	R	



PAHO	1R 39R 6 R	67,78				55,63				Analysing scores in the rejected PAHO round V project scored 18% lower than the accepted round V projects.
Average PAHO		67,78			48,89	55,63	14%		-17,9%	
PLAN	29 E 36S	65,56				57,50				
Average PLAN		65,56				57,50			-12,3%	
PTM	24H					45,00				
Average PTM						45,00				R
SI	25 N 26 H 34S				68,89 67,78	54,38				
Average SI					68,33	54,38	-20%			R
SPF	32S					46,88				
Average SPF						46,88				R
TROCAIRE	20H 4H	81,11	81,25							
Average TROCAIRE		81,11	81,25				0,2%			A
UNDP	11 R 40R					61,11				
Average UNDP						61,11			20,7%	
UNICEF	31 CR 33 R 42R					55,56 38,89				
Average UNICEF						67,50			42,9%	
WFP	16G 43R 9N					43,13 46,88 46,88				
Average WFP						45,63				R
WV	32 E 39 G					24,44 44,44				
Average WV						34,44				R
spainRC	12N 35S 3H 5N		75,00		58,13	45,56				
Average spainRC			63,33	75,00	58,13	45,56	18,4%		64,6%	
CARE-FR	12 N 13 E 14 H 14G 27S 3N	85,56 63,33				47,78			48,75	
Average CARE-FR		74,44	69,38			47,78	-6,8%		48,75	2,0%
CARE-NL	23H					57,50				
Average CARE-NL						57,50				A



The maturity of a programme affects the scope and drive of an evaluation.

## **ANNEX 18**

### **Comments received from partners**

A summary of the comments received from partners on the preliminary executive report is provided below. These refer to differences regarding the use of risk typologies; regional, national and local level strategies and workshops, a single Latin American as opposed to three regional programmes, on the repetition of schemes and the need for innovation, on linking to local level development plans and initiatives. Seven comments were received from the nearly 35 project coordinators or organizations consulted from Action Plans IV and V. A month was granted for reception of comments.

In a number of cases the summary nature of the executive report may not have allowed a full understanding of the context of the conclusions and recommendations or the recommendations themselves. This is the case perhaps with the idea expressed that the plans should take up on livelihood protection as well as life protection. Reference is made to elements of the populations lives that are critical for their continued existence after disaster and that can be easily protected through preparedness measures-saving livestock and work instruments for example. Or, on the other hand, the introduction in our notion of preparedness of such things as information on adequate building techniques and protection measures against wind for example. As will be appreciated this does not get us into fully fledged development based livelihood protection and resilience schemes as maybe some interpreted but rather into practical and pragmatic aspects that can be easily dealt with in a project of 15 months.

In some cases the executive report does not incorporate a conclusion and recommendation with sufficient emphasis, due to the limited space available and need for prioritization. This is the case for example as regards comments made on the positive role and functioning of the programme technical assistant in the three time monitoring of projects over the project cycle period; the importance of the national and regional meetings as mechanisms for consultation, consensus, debate and agreement; and as to the attempt to link proposals to the regional framework given by the Regional Disaster Reduction Plan of CEPREDENAC as it regionalizes the Hyogo framework for Action.

It is not our intention here to respond to comments in a detailed fashion given that the full report takes up on these as deemed pertinent by the team. However, as regards the points that were raised by almost all commentators and which are highlighted in brackets above ( as to risk typologies; regional, national and local level strategies and workshops and top down and bottom up approaches; a single Latin American as opposed to regional programmes; on repetition of schemes and need for innovation) a series of short clarifications are in order here.

These different points are in fact all related in many ways. The evaluators start from the assumption that DIPECHO is organized on a regional basis (and could be organized on a continental or cross regional basis) for problem related, contextual and methodological reasons. That is to say, the regional approach is not just a convenience administratively, but rather a need related to programme goals and method.

Following on from this, given that the Action Plans promoted every two years or so can only finance a very limited number of schemes with a limited amount of finance, when compared to the magnitude of the problem and the large number of communities at risk, project selection must be undertaken using criteria that go beyond the simple, but obviously necessary goal of helping those intervened communities increase their coping and response abilities ( i.e. selection can not under these circumstances be done solely on a basis of individual need and gravity, although that may be a dominating factor in organizational decisions, but not in programme

decisions which must go beyond individual criteria and goals). The other criteria remit to the pilot nature of projects and the possibility they contribute to replicability on a wider scale. That is to say, projects must contribute to new knowledge and practice and also be relevant to the wide range of different risk contexts that require different approaches to preparedness from the organizational and methodological view point.

On the other hand, as regards the regional approach, we now face situations such as the fact that Belize is in Central America but comes under the Caribbean programme; Cuba and Dominican Republic are Spanish speaking and Latin in outlook but are in the mainly Anglo dominated Caribbean region, despite the fact that DR is now a member of CEPREDENAC. Finally it is clear that disaster preparedness is more geared to different risk contexts than to simple analysis of risk as a determining condition. And, these risk contexts are not regionally determined but rather contextually, economically, socially and politically determined and they transcend regional frontiers at a continental or non continental level.

It is due to these factors that the evaluators believe more consideration should be given to regional or cross regional factors in decision making and project selection and to expanded notions of risk typologies that must take into consideration risk analysis from a traditional view point but expand this to make sure that the selection of projects is continually renewing and considering the vast range of risk types or contexts to be found. When one talks of repetition and lack of innovation it is not with regard to what is being done and the regions intervened but rather with regard to the fact that many different challenges associated with complex and different risk types are not being attended to. Thus, projects are dominantly located in flood or hurricane prone areas, with a few in volcanic areas and landslide zones. It is through a typology approach building on risk analysis that this repetition could possibly be broken down. In the end if we are only touching the surface of the preparedness problem due to limited resources it is the evaluators idea that the projects selected must be seen as pilot and subject to replication ( a methodology that is employed by an NGO in a second or third region through successive DIPECHO programmes is not pilot in a real sense), opening up new knowledge as to preparedness in different contexts where the conditioning factors go beyond the characteristics of risk as such and touch on the social, cultural, economic, political organization of the population that require different approaches to preparedness and development in general. For this reason we give examples of the different challenges of working for example with the urban poor living in high risk areas where they are long standing occupants of the zone, with advanced levels of social organization as compared to the case of areas occupied by new migrants to the city, with little knowledge of place and low levels of social organization. Or, the case of working with mono ethnic, non Spanish speaking groups or with multi ethnic, multi lingual groups, etc. These are but two examples of the numerous types of zone that exist where risk levels taken from the hazard and vulnerability angle may be the same, but the considerations to be taken into consideration as regards preparedness are enormously more complex and differentiated. We believe the Action Plans should push to get experience in the maximum number of problem areas that exist and in this way develop methodologies that are relevant to different types of risk zone. Thus, if typology is important and we need to maximize use of resources, piloting and replicability, we must guarantee that the 22 or so projects we select contribute overall to advance in the region or continent. And it is for this reason that we believe that it is from the regional level, or cross regional level that decisions should be taken as to what to choose and where in the region. This does not go against bottom up approaches or local and community based schemes. All it does is rationalize the search and selection process from a regional level—i.e. the country is part of a greater whole and not the starting point for decision. If we carry on starting from a national level then what is the purpose of regional programmes?-This is not very clearly delimited we fear in the DIPECHO ideology or statement. If a single programme were to be promoted in the region we could organize this according to different types of area needing

preparedness schemes; promote cross national and cross regional comparisons of methods in similar type regions and hopefully increase the options for replicability deriving from the pilot nature of schemes. As it is at present, replicability is scarce and where it takes place it is the same organization that promotes a second scheme in a different area-that is not replicability as we understand it. Systematization of experiences could then be done on the basis of interventions and methodologies developed to take into account different needs in different types of area and this could be done on a Latin America basis not a regional one, as relevance is not restricted to regions within the continent, but is related to similarity of context irrespective of the country.

Therefore the idea of cross regional or single programme status, typologies, renovation and innovation, replicability and piloting are all part of the same strategic vision and recommendation in the report. And they constitute options for debate and decision not closed in schemes that should be adopted without discussion.

Finally, the evaluation team wishes to express its gratitude to those that commented and would share these brief additional comments in the interest of discussion and advance. Differences of opinion and open debate, as opposed to closed in ideas and status quo, will always lead to faster and more appropriate change. DIPECHO, as many other schemes, must evolve and develop and discussion and innovation are necessary to achieve this.

Many thanks, in general, to the open mindedness and commitment of the DIPECHO partners.

#### **Oxfam GB, Nicaragua (Manolo Barillas)**

- Desconozco porque se le da tanto énfasis al hecho que uno de los socios contestó que las visitas de monitoreo son demasiado puntuales para valorar el impacto del proyecto. Lo que si quisiera agregar desde mi particular punto de vista es que, efectivamente, aunque las visitas de monitoreo puedan estar planteadas para "evaluar el impacto del proyecto" quizás solamente puedan evaluar los impactos puntuales y de corto plazo ya que los impactos de largo plazo que cambian el conocimiento, las actitudes y las prácticas de las comunidades e instituciones involucradas solamente podrán ser adecuadamente evaluados cuando les toque manejar una de sus futuras emergencias.
- En la presentación de Power Point no aparecen remarcados dos de los grandes impactos positivos que el DIPECHO ha tenido en la región centroamericana y en los países -- generación de nuevos modelos de trabajo en preparación a nivel comunitario (y ahora a nivel urbano) que pueden ser replicados en forma más masiva y producción de recurso humano altamente calificado en el tema de la preparación (fruto del trabajo en las áreas de intervención y de la interacción con las instituciones especializadas).
- No entiendo como puede recomendarse que para la selección de nuevos DIPECHO se utilice el nuevo concepto de "tipologías de riesgo" (risk zone typology) en lugar del "simple risk analysis". No deberíamos avanzar hacia un nuevo y complejo concepto cuando no hemos sido completamente capaces de utilizar y cuantificar el estándar ( $R = A \times V / C$ ).

#### **Christian Aid, Nicaragua (Jaap van der Zee)**

During the past 15 years I have lived and worked in El Salvador, Nicaragua, and Honduras, the first 3 years as a director of a UE project (implementation peace accords in El Salvador) and the past 12 years as a professor of rural development and land use planning at the Universidad Politécnica de Nicaragua, furthermore as a freelance consultant, and lately as a permanent adviser of INETER. In the latter capacity I was closely involved in putting together the manuals about natural hazards for SINAPRED as a collaborator and editor. The following comments regarding the DIPECHO action plans are based on the previous frame of reference. These comments are rather direct so I'd like to stress that they not necessarily reflect the philosophy of Christian Aid.

Regarding the evaluation I have the following comments:

- The executive summary has been written in the jargon which nowadays is common in policy making circles. I doubt that the contents are properly understood by a majority of DIPECHO coordinators, further bearing in mind that English is their distant second language. Its impact towards desired improvements might therefore be limited.
- The weakness of the evaluation is that it considers a world in the way it ought to function. In reality, institutions of the three countries mentioned are notoriously weak; donor organizations from the World Bank and EU down to international and local NGOs don't possess a solid information base to build their actions on in a structural manner; projects are of limited duration; there is no collective memory, etc. Though there are indeed a number of "success stories", too often development assistance can be equated with tinkering in the margin. Most of all, ministries like MAG-FOR, INETER, MARENA, and others, including international donor organizations no longer have any executive capacity, whilst municipalities or associations of municipalities never had these in the first place. The suggestion that DIPECHO projects link up with projects that cover the same geographic areas should be a matter of course, however, apart from the fact that in accordance with local culture and development aid culture every man and organization is an island, there are very few projects relevant to the DIPECHO context at the field level to link up with. In actual fact DIPECHO is filling a large void.
- The DIPECHO concept under the present conditions is simple, down to earth, and effective at the local level, at least in the short term. Its long term impact might be doubted. DIPECHO by definition reflects a reaction to symptoms of which preparation against the potential effects of hurricanes, earthquakes, and volcanic eruptions is fully justified. On the other hand floods, landslides, rockfalls, and drought can largely be prevented by land use planning (including environmental regulation). For example:
- A comparison between 1963 and 2003 of peak runoff from 26 catchments in León and Chinandega shows a three- to fivefold increase. Reforestation of slopes in excess of 30% could bring back runoff to pre 1963 levels.
- The great majority of landslides in Nicaragua occur on water spreading slopes above 40% and on water concentrating slopes between 20 and 30%. This can be prevented by reforestation. Prevention of these landslides would further preserve existing aquifers in the transition zones between soil and bedrock (the saprolite zone). Destruction of these during hurricane Mitch in 1998 has reduced potable water supply in 4 municipalities of the North of Chinandega and 3 municipalities of Estelí by half.

- A large majority of rockfalls occur along public roads. Road construction taking into account proper engineering practices, including drainage systems can largely prevent these.
- Housing constructed at the edges of gullies, precipices, and slopes above 30% should be forbidden through environmental bylaws.
- Records show that below average rainfall is not the primary cause of crop failure. This is mainly due to soil erosion. On unprotected slopes between 15 and 30% this amounts to soil loss of 5 mm a year and on slopes between 30 and 50% from 5 to 12mm a year. Over the past 40 years these soils (mostly mollisols and entisols) have lost up to 40 cm. Many farmers now cultivate on subsoil. It is perhaps worth noting that 40 years ago a farmer obtained two harvests and corresponding yields of 2.6 metric tonnes per hectare. Present yields on the same soils now correspond to 0.97 tonnes/ha, whilst only one harvest is possible. The obvious answer is to terrace these slopes or reforestation.
- El Salvador, Honduras, and Nicaragua all suffer from advanced stages of land degradation, which not only is a principal cause of poverty, but also increases risks brought about by flooding and landslides. Within the coming decades this will cover increasingly larger areas, such that the cost of risk management will exceed available funding. Thus, sooner rather than later authorities and donors will be forced to recognize the limits of DIPECHO and the cost of a more sensible approach. This cost will increase as time goes by.
- DIPECHO action plans already include some emphasis on schools. This should be given still more importance, including disease prevention as related to water borne diseases, sanitation, and environmental management in general, and formally be included in curriculae of primary and secondary schools.
- DIPECHO training materials through SINAPRED are already in the process of being standardized. Standardization throughout the Central American Region should be encouraged to facilitate communication and to reduce costs.

#### **GVC, Nicaragua** (Luis Sonzini)

He leído reiteradas veces el reporte de la evaluación y en general lo encuentro bastante positivo y propositivo.

Algunas de las recomendaciones sobre la que me sentía mas identificado son las de hacer énfasis en la profundización de estrategias regionales, en mas momentos de intercambio con otras regiones de Latinoamérica y en promover actividades dirigidas al fortalecimiento de la resiliencia individual y comunitaria.

#### **UNICEF, Panamá** (Claudio Osorio)

- Me extraña que en la evaluación no se haya considerado, o al menos el informe ejecutivo no lo menciona, como los planes de acción de DIPECHO en Centroamérica contribuye o no a la implementación a nivel nacional/local del PRRD del CEPREDENAC. Se hace en varias oportunidades mención al Hyogo

Framework de EIRD, pero no se reconoce la "traducción" que han hecho los países de de Centroamérica del mismo en su PRRD-CEPREDENAC.

- En línea con lo anterior, y considerando que el PRRD es uno de los referentes al momento de elaborar las propuestas para DIPECHO, se subentendiendo que los mismos entonces debería contribuir a la integración de Centroamérica, que es el objetivo fundamental del SICA y sus Secretarías técnicas como CEPREDENAC.
- La mayoría de las conclusiones/recomendaciones se hacen de los Proyecto de alcance local, sería importante que DG ECHO tuviera recomendaciones específicas sobre proyectos regionales y/o sectoriales, y como los mismos contribuyen con los socios del plan de acción donde se enmarca el proyecto regional, así como socios de futuros planes de acción.
- No se si a estas alturas aun se puedan incluir algunas conclusiones/recomendaciones sobre la coordinación de los socios DIPECHO no solamente con los representantes de los Sistemas Nacionales de Reducción de Riesgo, si no que también con autoridades locales y sectoriales.

#### **Oxfam Solidaridad, El Salvador (Mónica Vázquez)**

Gracias por compartir esta información con nosotros. En general me parece que la evaluación da una valoración muy positiva del programa y algunas recomendaciones valiosas.

Evidentemente, el resumen ejecutivo no puede recoger toda la complejidad de las conclusiones y recomendaciones que, supongo, se recogerán en el documento completo. Puede ser que no haya alcanzado a comprender todas las implicaciones de los diferentes aspectos tratados. Sin embargo, hay puntos sobre los que me gustaría compartir mis comentarios:

- Sección A.2.c (pág. 2): No estoy segura de entender este comentario sobre la tendencia a la repetición. Parece indicar que la repetición (que no explica a que se refiere) es mala per se. Y por otro lado relaciona la repetición con falta de innovación. Habrá que aclarar a que características o aspectos de todo lo que implica un proyecto DIPECHO se refiere. A mi modo de ver, puede repetirse un modelo general de intervención que se ha probado que ha funcionado y esto no es malo (de hecho, sería positivo, pues ya se ha probado que ha funcionado) sin dejar de buscar la innovación en metodologías, herramientas, etc. Además, los actores locales implicados en los proyectos son diferentes (diferentes comunidades, organizaciones locales, gobiernos municipales, etc.) por lo que, aunque sea un proyecto similar en el modelo general, no dejaría de ser un proyecto piloto para estos actores locales, proyecto que necesitan poner en práctica para poder replicar.
- Sección B.2.g (pág. 3): No comparto la opinión de que los NCM perpetúan el hecho de que se seleccionen más proyectos de Nicaragua y Honduras que de los otros países. No veo relación entre los NCM y esta situación. En mi experiencia, el NCM en El Salvador ha contado con una amplísima participación de socios DG ECHO (ejecutores o no de proyectos en cualquiera de los Planes de Acción DIPECHO) y de otros actores implicados en el tema de DP y DRR. Desconozco

a que se debe la diferencia en la cantidad de proyectos ejecutados en los diferentes países, pero no creo que tenga ninguna relación con los NCM.

- Sección B.2. Recomendación a. (pág. 4): Comparto la opinión de fomentar la integración de los proyectos DIPECHO con los planes locales de desarrollo y de integrar la visión de DRR. Creo que es una intención que varios compartimos y fomentamos que los resultados obtenidos con proyectos DIPECHO se tomen en consideración posteriormente para planificación de uso del suelo, desarrollo de infraestructuras, etc. Sin embargo, creo que debe quedar bien claro que esto es algo que se debe esperar fuera de los proyectos en sí. Es decir, es imposible esperar que se conseguiría influir en planificación de usos de suelo, por ej., en el periodo de ejecución de un proyecto DIPECHO (15 meses). Y no creo que se deba esperar. Esto va más allá de la naturaleza y objetivos del programa DIPECHO.
- Sección B. 5. Impacto (pág. 6): Las valoraciones son muy positivas para el programa, con lo que concuerdo.
- Sección B. 5. Recomendación a. (pág. 7). No comparto la opinión de iniciar un programa basado en tipologías de riesgo. No comprendo el valor añadido que puede tener utilizar en este momento esta nueva tipología que aun no está bien definida cuando aún ni siquiera hemos agotado las posibilidades del análisis  $R = A \times V$ . Tampoco comparto la opinión de iniciar un programa latinoamericano. Supone esto eliminar los tres programas actuales (CA, Caribe, Región Andina) a favor de un único programa latinoamericano? ¿Cual sería la ventaja de esta nueva estructura frente a la actual? A mi modo de ver, la distribución geográfica actual le da el valor añadido de compartir al interior de cada una de estas tres regiones ciertas características y coincidencias de contexto social, cultural y de entorno físico, que se perderían con un programa latinoamericano. Esto incidiría negativamente en la posibilidad de compartir y replicar experiencias entre proyectos. Obviamente, esto no quiere decir que no se puedan compartir experiencias y herramientas entre las diferentes regiones, pero entiendo que esto no es algo tan evidente como al interior de las regiones.
- Sección B. 5. Recomendación c. (pág. 7). Aunque no puedo dejar de estar de acuerdo con la aspiración de proteger también los medios de vida, además de las vidas, me preocupa que esto pueda implicar un cambio en la naturaleza del programa DIPECHO que le haga perder sus positivas características actuales. Es decir, si la búsqueda de resultados en relación a la protección de medios de vida y preparación para la recuperación implica que se perdería la agilidad y eficacia característica de los proyectos DG ECHO, no estaría de acuerdo en incluirlo dentro de los objetivos del programa DIPECHO. Los objetivos actuales del programa son necesarios (y suficientes desde muchos puntos de vista). Otros objetivos más integrales podrían (y deberían, como indican en otros apartados de la evaluación) buscarse desde otras líneas de la Comisión. Otra ventaja de las características actuales del programa DIPECHO es que ha facilitado el LRRD (como también señala una de las conclusiones en la pág. 3) al poder implementarse de manera muy relacionada con proyectos DG ECHO de emergencia y rehabilitación. Algo que es muy difícil de conseguir con otras líneas de la Comisión (como igualmente han señalado en la evaluación con el ejemplo del programa PREVDA)

- Sección B. 5. Recomendación d. (pág. 7). Esta recomendación me parece contradictoria con la anterior. Por un lado quieren proteger medios de vida, pero por otro cuestionan la ejecución de obras de mitigación (que pueden ser un medio muy eficaz para proteger medios de vida además de vidas) y priorizan la inversión en infraestructura de DP (que no creo que proteja más que las vidas).
- Sección B. 6. Sostenibilidad c. (pág. 7). Totalmente de acuerdo. Creo que la participación e implicación activa de los gobiernos municipales es un aspecto clave para garantizar la sostenibilidad y el éxito en general de los proyectos.

### **GAA, Nicaragua** (Jürgen Schmitz)

"Tampoco comparto la opinión de iniciar un programa latinoamericano, ¿Supone esto eliminar los tres programas actuales (CA, Caribe, Región Andina) a favor de un único programa latinoamericano? ¿Cual sería la ventaja de esta nueva estructura frente a la actual? A mi modo de ver, la distribución geográfica actual le da el valor añadido de compartir al interior de cada una de estas tres regiones ciertas características y coincidencias de contexto social, cultural y de entorno físico, que se perderían con un programa latinoamericano. Esto incidiría negativamente en la posibilidad de compartir y replicar experiencias entre proyectos. Obviamente, esto no quiere decir que no se puedan compartir experiencias y herramientas entre las diferentes regiones, pero entiendo que esto no es algo tan evidente como al interior de las regiones."

Me identifico plenamente con lo expresado por parte por Mónica, sería un gran paso hacia atrás unir estas programas y bajaría el nivel de adaptación de los programas a los diferentes ámbitos sociales, culturales y geográficos. El argumento que los proyectos en las regiones altas de Guatemala son muy similares a los proyectos que se ejecutan en las zonas del Altiplano de Perú y Bolivia por ejemplo para mí es equivocado. Como geógrafo trabajo por 4 años exactamente en estudios de comparación entre la región andina y la región mesoamericana, (ecología, aspectos socio-culturales y la adaptación del ser humano) dentro del marco de un proyecto financiado por el gobierno de Alemania (ejecutado por la sociedad alemana de investigación, DFG). Uno de los resultados era que existen diferencias grandes en los aspectos socio-culturales entre las culturas andinas y mesoamericanas, igual en sus diferentes condiciones ecológicas.

Para aclarar más mi punto de vista me refiero a lo que se menciona bajo la sección C del resumen de evaluación:

"Identifying priority risk zones based on simple risk conditions is not sufficient and the concept and notion of risk typologies is a very powerful way of promoting the selection of projects that cover a wide range of situations. There is greater similarity between DP projects in the Guatemalan highlands and Bolivia than between two projects within the same country or political region. Focusing on risk types associated with community risk assessments and the results of vulnerability and capacity analysis would give greater meaning to the notion of pilot projects and increase DIPECHO's impact".

Esta frase para mi es solamente valido para evaluar tipos de riesgo por ejemplo, pero también explica que hasta dentro de un solo país (Guatemala por ejemplo) hay una gran diversidad socio-cultural y ecológica.

Entonces como adaptar al programa DIPECHO si se centraliza en un solo programa? Lo hará más difícil. Además hay que ver las diferencias en legislación, los sistemas e instituciones nacionales de prevención mitigación y atención a desastres entre los diferentes países.

## **OIKOS, El Salvador** (Sara Ruiz)

Leyendo detenidamente el documento hay especialmente cuatro puntos sobre los que quiero llamar la atención:

- El énfasis que se hace en la necesidad de buscar más innovación a través de los proyectos en detrimento de la repetición de experiencias. Si bien es cierto que la innovación es necesaria tampoco creo correcto que se deban descartar experiencias exitosas ya comprobadas porque si se ha demostrado que hay acciones que funcionan, por ello mismo no se deben cambiar, sino más bien en este caso se deberían de repetir en otras áreas de intervención. Sin embargo tal y como está enfocado en el documento deja pocas posibilidades a la repetición de acciones que hayan logrado impactos positivos, lo que significa posibilidad de réplica en otros contextos.
- Se habla de que el concepto de preparación a desastres debería incluir tanto proteger vida como livelihood. Sin embargo, esta afirmación haría del DIPECHO algo más extenso de lo que realmente es este programa. Si se incluye proteger livelihood cambiaría el mandato actual de esta línea que permite una gran flexibilidad en la ejecución. De esta forma, la preparación se cruzaría con otros aspectos del desarrollo que están mucho más allá del DIPECHO, lo que haría perder la identidad y especificidad del Programa DIPECHO mismo.
- Se resalta que desde los proyectos se deben hacer esfuerzos por integrarse en aspectos de la planificación territorial y los planes locales de desarrollo, pero esto son objetivos que se enmarcan más en líneas de prevención de desastres (como por ejemplo PREVDA) que en DIPECHO, cuyo objetivo es y debe ser la preparación de las comunidades en riesgo, porque es donde se han obtenido los mayores logros en las intervenciones. Pienso que querer abarcar otros componentes en el marco de los 15 meses de los proyectos no garantizaría el nivel de impacto que actualmente han ganado las intervenciones DIPECHO.
- No creo como se afirma en el documento que los Talleres de Consulta Nacional se deban armonizar en encuentros regionales. Creo que lo exitoso de estos Talleres Nacionales es que responden a las peculiaridades de cada país y de sus estructuras locales, gubernamentales y no gubernamentales. Querer armonizar estos espacios en un ámbito regional restaría mucho de sus particularidades territoriales y sociales en pos de un espacio donde se diluiría el aspecto local, tan importante en el marco DIPECHO.
- Hay un aspecto que no veo mencionado en el documento y que creo que es importante resaltar y es el estrecho monitoreo que reciben los proyectos por parte de los Responsable del Programa DIPECHO, que visitan los proyectos dos o tres veces en el transcurso de los 15 meses de duración. Este seguimiento permite estrechar visiones entre los socios DIPECHO, los actores locales y nacionales y los Responsables durante el periodo de ejecución y enriquecer los procesos con estos intercambios.

## **PNUD, regional** (Linda Zilbert)

- Entiendo que se trata de una evaluación del Programa DIPECHO que, como tal y como se señala al iniciar la lectura del documento, estamos hablando de 4 Programas ejecutados y uno en marcha. En el documento que nos han compartido no deja traslucir

esa mirada del proceso, de como ha ido evolucionando, de los avances o retrocesos; no se deja entrever un análisis del proceso, sino por el contrario, hay mas bien una clara insistencia en el ultimo y actual Plan de Acción y de los proyectos en actual implementación que, como debe suponerse. al estar en la mitad de su ejecución, no grafican exactamente los productos que se pueden lograr y mucho menos el impacto que estos puedes tener. Este comentario es valido para los proyectos de cobertura nacional, pero lo es mucho mas, aplicado a los proyectos de alcance regional.

Para tener una mejor idea de la evolución, hubiera sido interesante si se hubieran podido hacer algunos paralelos con los Planes de Acción de las otras regiones, aun mas habiendo un espacio como el Taller de Consulta Regional realizado a finales de noviembre del 2007, en donde participaron los representantes de ECHO de las otras dos subregiones (Países Andinos y el Caribe).

- No creo que se le haya hecho una real valoración de lo que significa el proceso de consulta, tanto en su dimensión nacional como regional, desde lo que implica la elaboración de los informes de país y su presentación y difusión en los talleres por un conjunto de actores nacionales o regionales representantes de gobiernos, instituciones científicas y académicas, sectores y organismos públicos y organizaciones no gubernamentales y otros agentes de la cooperación. Verlo mas allá de la rigurosidad de los diagnósticos sino como espacios de consulta, consenso, abordaje y debate del tema; ejercicios que convocan a un conjunto de actores regularmente para debatir el qué hacer, el dónde y por qué promover acciones y medidas de preparativos de desastres y reducción de riesgos.

Incluso hubiera sido interesante si se pudiera hacer un comparativo o alusión a otros procesos o mecanismos aplicados por la cooperación en la elaboración de propuestas o proyectos; incluidos los demás programas de la CE. Conocer si se aplican mecanismos de consulta con actores nacionales o contrapartes locales, los niveles de participación o no de los beneficiarios. También conocer de las valoraciones que otros organismos de cooperación tienen con respecto a este Programa DIPECHO. Este ejercicio bien pudo darse en Nicaragua o en el Taller Regional en donde se contó con la presencia de otros organismos de cooperación.

- Resalta en el documento el desconocimiento que hay en cuanto a las propuestas regionales que forman parte del actual Plan de Acción. Se habla de la necesidad de sistematizar experiencias y de intercambio de lecciones aprendidas pero no se menciona que las tres propuesta regionales justamente tratan de favorecer justamente ese intercambio de experiencias y practicas. En el caso del proyecto de la FIRC teniendo como interlocutor a las Sociedades Nacionales de la Cruz Roja y favoreciendo la homogenización de materiales, contenidos y mecanismos de formación: En el caso del UNICEF – ISDR el proyecto tiene como objetivo justamente sistematizar experiencias en el sector educación. Y por ultimo, en le caso del PNUD, cuyo proyecto tiene como finalidad no solo sistematizar experiencias sino además el promover espacios nacionales de divulgación e intercambio a través de la realización de 6 Ferias del Conocimiento (5 nacionales y 1 regional).

Es posible que las circunstancias en las cuales se realizo el proceso de evaluación no hayan sido las mejores, ya que en el momento de las entrevistas con los socios y recojo de información referida a los proyectos, nuestro proyecto (al igual que los demás del actual Plan de Acción ) se encontraban recién en la mitad de su ejecución (en nuestro caso en el proceso de registro del inventario) no pudiendo posiblemente entenderse ni

percibir el alcance real de los productos de la propuesta. Otro aspecto que no favoreció al momento de la entrevista fue el horario y fecha que nos dieron para la misma (7am del ultimo día del Taller Regional de Consulta) lo limitado del tiempo (a las 9 am iniciaba el Taller) y un limitado conocimiento de nuestra propuesta; todo esto no permitió sacarle mayor provecho a la entrevista y debatir sobre posibilidades futuras, perspectivas y aportes.

Sugiero y les agradecemos si pueden visitar nuestra Plataforma Web RedDesastres ( [www.reddesastres.org](http://www.reddesastres.org) ) para puedan tener una mejor idea de lo que se pretende con este proyecto y de los alcances de los productos que esperamos lograr. Como se menciona en el proyecto, y que además hemos reiteradamente afirmado en los Talleres de Consulta Nacional y Regional y en la breve entrevista que nos hicieron los evaluadores, estamos esta vez ampliando el proceso de sistematización de experiencias, practicas y herramientas al ámbito centroamericano. También creo que seria conveniente puedan en *Reddesastres* consultar el campo referido a Ferias del Conocimiento para que vean el alcance y valor que tienen estas celebraciones cuando de intercambio y socialización se habla.

- Los procesos de consulta nacional y regional tienen un valor que no hay sido resaltado. Desde el momento de organización del proceso de consulta (elaboración de TORs, contratación, revisión de los avances, revisión de productos, etc.) se constituyen en un mecanismo de articulación, encuentro e intercambio entre el conjunto de proyectos y de los ejecutores de los mismos. Se constituyen en una propuesta interesante de coordinación y socialización, puede aun ser débil y de poca proyección (solo centrada en el informe y taller de consulta) pero al cual es posible darle otra proyección, incluso de intercambio, seguimiento y monitoreo.
- En el mismo sentido, tampoco creo que haya sido igualmente resaltada la importancia que tiene el mecanismo de divulgación y diseminación que se ha venido promoviendo al finalizar los proyectos y que, se han dado en el contexto de los Talleres de Consulta en los Planes de Acción anteriores. Para este año, dado que se adelantaron los Talleres de Consulta, esta divulgación y diseminación de los resultados de los proyectos se dará en el marco de las Ferias de Conocimiento Nacionales y la Feria de Conocimiento Regional.
- Cabe resaltar también que, a lo largo de los 5 Planes de Acción implementados en Centroamérica, poco a poco y progresivamente se ha ido mejorando la vinculación y articulación de las propuestas con los organismos de gestión a escala local y/o municipal. Esto se recomienda en el documento de evaluación pero seria también oportuno, analizando esa tendencia de incremento a lo largo de los diferentes Planes de Acción, poder ser mas propositivos en cuanto al “como y de qué manera fortalecer esos vínculos o articular los proyectos”
- Creo que los proyectos regionales pueden ser aquellos que permitan favorecer la proyección de las propuestas comunitarias, su trascendencia de lo local hacia lo nacional y/o regional, el intercambio y la replica (previo las necesarias adecuaciones).
- Creo que seria importante además que se propicien espacios y mecanismos de intercambio y reflexión entre los Programas DIPECHO subregionales, pero no creo que la naturaleza de las propuestas e intervenciones puedan ser manejadas, acompañadas y monitoreadas si se amplia a un margo región America Latina.

- En proyectos de 15 meses de duración, cuya ejecución efectiva es de no mas de un año, es difícil pensar en procesos internos de formación. Vale mas bien resaltar que la formación del staff o personal de los proyectos se ha ido dando en la misma práctica, en pleno proceso (o mas bien reto) de ejecución y en contar con personal y profesionales de gran experiencia como coordinadores, muchos de ellos mayormente jóvenes, con mística y compromiso con la comunidad. Dadas estas condiciones, podría mas bien sugerirse que previo al inicio de los proyectos puedan realizarse procesos de inducción (sea por país o regionalmente) que puedan aportar al fortalecimiento conceptual pero además practico, en cuanto a lecciones aprendidas de otros Planes de Acción y sobre practicas y herramientas producto de anteriores propuestas; elementos todos que permitan brindar una base y soporte para la implementación de nuevos proyectos.
- Quisiera mencionar que se han propiciado espacios de encuentro e intercambio también con otras iniciativas y proyectos de dimensión binacional, fronterizo, transfronterizo o regional promovidos por la Comunidad Europea. Sin embargo, a pesar de las coordinaciones, no ha sido muchas las posibilidades de concreción dado la diferencia de tiempos y plazos de consecución de los productos que existe entre un proyecto DIPECHO y un proyecto de mas largo plazo (por ejemplo el PREVDA).
- Guardamos para el final algunas observaciones en cuanto a las herramientas y metodología usada para el proceso de evaluación.

Con respecto a la encuesta que se circulo para que el conjunto de socios respondiéramos, ésta debió de tener variantes o ser diferentes para el caso de proyectos nacionales y regionales. No voy a evaluar si fue o no una herramienta atinada para los proyectos nacionales, pero definitivamente no aplicaba para los proyectos regionales.

Con respecto a las entrevistas, las continuas postergaciones de fechas para las mismas por parte del equipo evaluador y finalmente lo tardía que fueron las entrevistas para los proyectos regionales, creo que no permitió tener un mayor conocimiento y haber dado mayores inputs en este proceso de evaluación.