Emergency Preparedness & Response Handbook

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Acronyms

BPRM	DOS Bureau of Population, Refugees and Migration
CI	Caritas Internationalis
CR	Country Representative
CRED	Centre for Research on the Epidemiology of Disasters
DFID	UK Department for International Development
DOS	US Department of State
ECHO	European Community Humanitarian Office
EMT	Executive Management Team
ERT	Emergency Response Team
ERWG	Emergency Response Working Group
FFP/ER	USAID Food for Peace/Emergency Response
HR	Human Resources
HQ	Headquarters—CRS/Baltimore
ICRC/IFRC	International Committee of the Red Cross/Red Crescent/International Federation of the Red Cross/Red Crescent Societies
IDP	Internally Displaced Person
IFAD	International Fund for Agriculture Development
NGO	Non-governmental Organization
OCHA	UN Office of Coordination for Humanitarian Affairs
OFDA	USAID Office of Foreign Disaster Assistance
OSD	Overseas Support Department
OTI	USAID Office of Transition Initiatives
RD	Regional Director
SHARP	CRS Strategic Humanitarian Action Plan
SFP	Supplementary Feeding Program
TAP	Transition Activities Program
TDY	Temporary Duty
TFP	Therapeutic Feeding Program
USAID	United States Agency for International Development
USDA	United States Department of Agriculture
UNHCR	United Nations High Commissioner for Refugees
WFP	World Food Programme
WHO	World Health Organization

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Foundations of CRS Emergency Preparedness & Response 1

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1.1 The CRS Emergency Preparedness and Response Mission and Vision

Reviews the agency mission and vision statements and the CRS emergency preparedness and response mission and vision statements.

1.2 Emergency Preparedness & Response: Key Definitions and Concepts

Reviews concepts and definitions of emergency, natural and human-made disasters, complex emergencies, disaster typologies, etc., and discusses the linkages between disaster prevention, disaster mitigation, disaster preparedness, emergency response, and development.

1.3 Principle-led Programming

A brief introduction to the principles of emergency work with an emphasis on core humanitarian principles.

The CRS Mission and Vision 1.1

The CRS agency mission statement articulates the motivation behind CRS' work and identifies the broad ways in which CRS lives out its mission. The statement includes very clear references to CRS' work in emergency situations.

Box 1.1

Catholic Relief Services
Mission Statement

Catholic Relief Services was founded in 1943 by the Catholic Bishops of the United States to assist the poor and disadvantaged outside the country. It is administered by a Board of Bishops selected by the Episcopal Conference of the United States, and is staffed by men and women committed to the Catholic Church's apostolate of helping those in need. It maintains strict standards of efficiency and accountability.

The fundamental motivating force in all activities of CRS is the Gospel of Jesus Christ as it pertains to the alleviation of human suffering, the development of people and the fostering of charity and justice in the world. The policies and programs of the agency reflect and express the teaching of the Catholic Church. At the same time, Catholic Relief Services assists persons on the basis of need, not creed, race or nationality.

Catholic Relief Services gives active witness to the mandate of Jesus Christ to respond to human needs in the following ways:

- by responding to victims of natural and man-made disasters;
- by providing assistance to the poor and to alleviate their immediate needs;
- by supporting self-help programs which involve people and communities in their ow development;
- by helping those it serves to restore and preserve their dignity and to realize their potential;
- by collaborating with religious and non-sectarian persons and groups of good will in programs and projects which contribute to a more equitable society;
- by helping to educate the people of the United States to fulfill their moral responsibilities in alleviating human suffering, removing its causes, and promoting social justice.

In addition to the agency's mission statement, CRS developed a vision statement in 2001 that speaks eloquently to the agency's vision of the world and provides further support to

our thinking about emergencies. The vision statement calls on CRS staff, partners and supporters around the world to strive to transform the world in which we live through solidarity.

Box 1.2

Catholic Relief Services
Vision Statement

Solidarity will transform the world to:

- Cherish and uphold the sacredness and dignity of every person;
- Commit to and practice peace, justice and reconciliation; and,
- Celebrate and protect the integrity of all creation.

CRS Emergency Preparedness & Response Vision and Mission

In December 1999, at the Emergency Preparedness & Response Program Quality Summit in Nanyuki, Kenya, a Vision and Mission Statement for CRS emergency preparedness and response was developed that reflects the agency's commitment to justice and to an agency-wide approach to emergency programming.

Box 1.3

CRS Emergency Preparedness and Response Vision

CRS promotes social justice, solidarity and compassion through timely emergency preparedness and response that addresses the needs of the most vulnerable.

CRS Emergency Preparedness & Response Mission

CRS fulfills its mission to foster hope for populations in distress when the entire agency:

- Works together as stakeholders.
- Shares leadership guided by clear systems and procedures.
- Builds new and strengthens existing networks of partnerships and relationships.
- Promotes ownership of emergency response by strengthening local capacities.
- Achieves quality standards in programming.
- Accesses human, material and financial resources appropriate to each emergency.

Emergency Preparedness and Response: Key Definitions and Concepts 1.2

1.2.1 What is an Emergency?

An **emergency** according to the Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response can be defined as "a situation where people's normal means of support for life with dignity have failed as a result of natural or human-made catastrophe." As promulgated by the United Nations, a disaster is "a serious disruption of the functioning of a society, causing widespread human, material or environmental losses which exceed the ability of the affected society to cope using only its own resources." For the purposes of this manual, the following definition of emergency, which encompasses both rapid and slow-onset disasters, will be used:

> **An emergency is an extraordinary situation, present or imminent, in which there are serious and immediate threats to human life, dignity and livelihoods.**

As illustrated in the above definition, the word *disaster* is most often used to refer to a catastrophic event or series of events. The Merriam Webster dictionary defines *disaster* as "a sudden calamitous event bringing great damage, loss, or destruction." We would add to this that a disaster can also be slow-onset such as with droughts. The word *emergency* most often refers to the results of such an event or events. The Merriam Webster dictionary defines *emergency* as "an unforeseen combination of circumstances or the resulting state that calls for immediate action [or] an urgent need for assistance or relief." Even though these words are often used interchangeably, CRS utilizes the emergency definition in the box above and understands disasters as a catastrophic event or series of events.

Another common term referred to in relief work is **humanitarian action**, which describes the action that is taken to provide emergency **assistance** and **protection** to disaster-affected populations. Assistance and protection are the two pillars of humanitarian action. Sometimes specific humanitarian actions appear to clearly fall under one pillar or another (e.g., protection of unaccompanied children; assistance in the form of providing food aid to food insecure populations). It is more common, however, that all humanitarian action contributes in some way both to protecting and assisting disaster-affected populations from risks to their lives and livelihoods.

It is not always clear what constitutes an emergency situation. Not every earthquake or hurricane results in damage to human lives and livelihoods to such an extent that an emergency is declared. In fact, the same weather phenomenon can occur in two different places and have very dissimilar impacts on the lives and livelihoods of those affected. This can be attributed to a wide variety of factors from the population density of the affected area to the economic condition of the affected population. Disasters don't discriminate between rich and poor, yet richer households, with insurance coverage and well-constructed homes, for example, have more resilient livelihood systems and can cope with the effects of a disaster better than poorer households.

So, the question then arises of how CRS determines when a disaster event requires humanitarian action. A general definition of a disaster, developed by the Center for Research on the Epidemiology of Disasters (CRED, University of Louvain, Belgium), uses the following criteria.

- 10 or more people reported killed
- a call for international assistance
- 100 or more people reported affected
- declaration of a state of emergency

Unfortunately, this kind of academic definition doesn't take into account the various political dynamics that may, for example, lead a government *not* to declare a state of emergency due to political concerns or, conversely, to request international assistance when it actually has the capacity to respond.

Another way of identifying an emergency situation, and one that is closer to what is most useful for CRS, is based on the application of key indicators such as the crude mortality rate described in Box 1.4.

Measurement of crude mortality rates is a key indicator in major emergencies involving events such as epidemic outbreaks or famine. However, emergency situations do not always develop dramatically with large scale deaths. For example, an earthquake may not result in any deaths, but may destroy a large percentage of houses leaving the affected population

Box 1.4

Crude Mortality Rate

One way of defining an emergency is to consider changes in mortality and morbidity. Excess mortality exists when the **crude mortality rate** (CMR) is higher than the prevailing mortality level of the surrounding population in an emergency setting. In developing countries a CMR higher than 2 deaths per 10,000 persons per day has been the traditional definition of excess mortality.

The prevailing mortality rate in developed countries may vary from that of developing countries and this needs to be considered during the initial assessment. Calculating the CMR may not be applicable or relevant to a sudden-impact disaster unless there is a long-standing or significant population displacement.

The Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response Handbook

homeless and vulnerable. Some emergency situations evolve over time and it is harder to determine when emergency measures should be launched if no baseline data exists to compare to ongoing monitoring. For this reason, it is critical to be aware of a number of key indicators to be monitored that will provide clues about the development of an emergency and trigger points to alert aid agencies on when to intervene.

Adapting a table used by UNHCR by including the minimum standards found in the Sphere Handbook, Table 1.1 provides emergency indicators that warrant immediate action. The Sphere Handbook makes a significant contribution to humanitarian relief work by providing standards of response and benchmarks to measure the meeting of those standards. The Sphere Handbook is referred to throughout this document and is available in every CRS country program office and on the internet (www.sphereproject.org) for further reference.

Table 1.1 Key Indicators of an Emergency Situation

Indicator	Emergency Levels
Mortality Rate	= or >1 per 10,000 per day
Nutritional Status of Children	>10% less than 80% of median weight for height
Food	<2,100 calories per person per day
Water Quantity	<15 liters per person per day for consumption, cooking, washing
Water Quality	>25% of people with diarrhea
Site Space	<30 square meters per person
Sanitation	>20 people per toilet
Shelter (personal space)	<3.5 square meters per person

An important consideration in developing key indicators for emergencies specific to a particular place is the **context**. The above indicators were developed primarily with refugee or displaced populations in camp settings in mind. Many people around the world live in conditions of poverty and destitution in which even some of the minimum standards and key indicators of emergency response may seem like elusive dreams. These are conditions of chronic and desperate poverty but are not necessarily classified as "emergencies". **What distinguishes an emergency situation from one in which the population lives in sub-standard conditions is the occurrence of a catastrophic event or events.** Situations in which people live in sub-standard conditions require a response on the part of relief and development organizations but in most cases where a disaster event has not occurred, the response should be the longer term work of development rather than emergency response. This is discussed in more detail in the following section.

Regardless of how an emergency is defined, CRS must make decisions on whether or not to intervene based on CRS criteria (see Annex A for criteria for a CRS response in conflict situations). These include key factors such as:

1. The results of thorough assessments and analyses that determine the type and scale of the disaster and whether outside assistance is needed to save lives and/or support livelihoods.
2. An analysis of the value-added of a CRS and/or partner intervention.
3. The organizational and technical capacity of the CRS country program and local partners to intervene.
4. Security and safety of CRS and partner staff, program beneficiaries and CRS and partner property (e.g., application of CRS Security and Staff Safety Guidelines; Do No Harm analysis).
5. Funding availability.

For CRS, defining an emergency is based first and foremost on the results of assessments. Depending on the scale and urgency of a disaster, assessments can range from rapid situational assessments to comprehensive sectoral assessments. Regardless of how quickly an assessment is conducted, there are principles that must be applied to ensure that the information collected is accurate and useful. Assessments are briefly discussed in Section 2 of this handbook. Additional guidance on assessments will be available in the forthcoming CRS Emergency Assessment Manual.

1.2.2 Disaster Typologies

Disasters can be divided into two broad groupings: natural disasters and human-made disasters. These two broad categories can then be sub-divided into several categories based on the speed, scale and duration of the event(s). Table 1.2 provides a non-exhaustive list of these different types of disasters. While variations on the definitions of natural and human-made disasters exist, for the purpose of this handbook, the definitions that follow will be used.

Natural disasters usually refer to phenomena such as earthquakes, typhoons, volcanic eruptions, and drought. While some natural disasters are catastrophic in character and could hardly be prevented, many environmentalists will argue that the negative results of natural disasters on people are often a result of human activity. For example, houses washed away during floods are likely to be those that are built on precarious deforested hillsides by poor families with few alternatives. Many natural disaster phenomena are cyclical in nature

> Each year from 1991 to 2000, an average of 211 million people were killed or affected by natural disasters – seven times greater than the figure for those killed or affected by conflict. Globally during the last decade, natural disasters alone killed an average of nearly 1,300 people every week. Nations of low or medium human development provided 98 per cent of the victims.
>
> IFRC World Disasters Report, 2001

and can be predicted with some degree of accuracy; thus emphasizing the importance of prevention, preparedness and mitigation in program planning.

Human-made disasters can cover a wide array of events caused by human activity. Human-made disasters can be caused by human errors such as a nuclear power station accident or the collapse of a building due to faulty engineering. Most relevant to the work of international humanitarian agencies are those human-made disasters resulting in violent conflict or war. A term utilized often to describe the nature of post-Cold War violent conflict is **Complex Emergency.**

Complex emergencies refer to internal political crises and/or armed conflict, complicated by an array of political, social and economic factors. (United Nations CETI Contingency Planning Training, 1996). They typically include a breakdown of legitimate institutions and governance, widespread suffering and large-scale population displacements. Complex emergencies tend to be very dynamic, distinguished by rapid changes that are difficult to predict, thus raising complex issues regarding the timing, nature and scale of the humanitarian action needed.

Table 1.2 Characterizations of Disaster Events

	Slow-Onset	Rapid -Onset	Cyclical/Chronic
Natural Disaster	Drought	Earthquake Flooding Cyclone Volcanic Eruption Hurricane Snow Storm Landslide Avalanche Dust Storm	Drought Flooding Cyclone Hurricane
Human-made Disaster	Drought Violent Conflict	Accidents Biological hazards Violent Conflict	Violent Conflict

The categories described above can take on different characteristics depending on the timing and scope of the disaster event(s). For example, there are **acute or rapid-onset disasters** versus **slow-onset or progressive disasters, cyclical disasters** and **chronic emergencies**. Some categories overlap as in the example of cyclones which are both rapid onset and cyclical (i.e., somewhat predictable). The typology of a disaster has implications regarding what can be done in terms of prevention, mitigation and preparedness, not just the response.

1.2.3 Emergency Phases

In addition to the various types of disasters, there are different phases of the emergency response to them. For example, in most rapid onset disasters the very first stage is **search and rescue**. Search and rescue operations usually involve specialized units in developed countries. In developing countries, there are times when specialized units are available locally or sent in by other countries. In many cases, however, it is the local population that acts immediately to search for victims and bring them to safety. This stage of an emergency response is immediate and usually lasts just three to four days after a disaster event.

The follow-up stage to search and rescue consists of **humanitarian action or emergency relief**. This stage is unpredictable in terms of its duration. A country with means may need only short-term emergency relief for its disaster-affected population before moving quickly to rehabilitation and reconstruction. There could also exist variations within a disaster-affected population with economically well-off groups recovering more quickly from a disaster event than those less well-off. Some countries may be very hard hit by a disaster event and require emergency relief over a long period of time. Regardless of the scope of an emergency and the financial well-being of the affected population, CRS strives to provide emergency relief to meet immediate needs in a way that also avoids creating dependency and supports self-sufficiency. This is achieved primarily by ensuring **participation** of the disaster-affected population in program design and building on **local capacities.**

As an emergency situation stabilizes (or appears to move towards peaceful resolution in the case of violent conflict), the affected communities and humanitarian actors move into the transition stage of **rehabilitation and reconstruction,** and, if all goes well, to **development**. While it is important to understand these various stages of the relief-development cycle, it is equally important to understand that it is rarely a case of clear cut, defined stages (see Figure 2.6, the Emergency Project Cycle for additional information). The various stages often overlap or shift back and forth over time.

Development Programs:
Linkages with Disaster Prevention, Preparedness and Mitigation

Risk and disaster management must become part of the development process. The opportunities to mitigate future disasters will never be grasped unless governments analyse risks and develop disaster management plans. International agencies need to forge true partnerships with local non-governmental organizations (NGOs) and build their capacities to respond swiftly and effectively to their own disasters.

IFRC World Disasters Report, 2001

1.2.4 Understanding Disaster Prevention, Mitigation and Preparedness

Disasters and their subsequent emergency situations present myriad characteristics that defy easy labeling or categorization. Civil conflict can be compounded by a natural disaster thus leading to an ever more complicated set of circumstances and humanitarian needs. While every emergency

situation is different, they often share some similarities in terms of the basic conceptual understanding of emergency phases and the linkages between prevention, mitigation, preparedness, relief, and development activities. The work of relief and development organizations such as CRS cannot just be responsive to disasters. We must be **pro-active** to first and foremost prevent disasters whenever possible. Secondly, efforts must be made to mitigate the effects of disasters. Thirdly, preparedness for disasters is necessary to ensure the most effective response when a disaster does occur. Finally, risk management must be fully integrated into development programming.

Risk and Disaster Impact

Why is it that the same type and intensity of natural disaster, such as a hurricane or a drought, can have such varying impacts in different places? The answer is clearly that different societies have developed varying ways of coping with disasters and that the degree to which a society is vulnerable will largely dictate how the disaster affects the population. Even within a given population, not everyone will suffer equally. Those who have solid asset bases, opportunities and insurance mechanisms will often recover their losses fairly quickly while the poor and marginalized will suffer disproportionate losses and take much longer to recover.

Disasters occur in every country of the world. Thus, all societies are at risk to some degree. What determines the level of risk in a particular area is a combination of disaster proneness and the society's or individual's vulnerabilities.

RISK = DISASTER PRONENESS + VULNERABILITY

Disaster proneness is an estimation of what types of disasters are likely to strike a given area, how frequently they can be expected to occur, and their forecasted intensity. Some countries can be prone to a wide range of disasters (e.g., typhoons, earthquakes, floods, droughts) while others will be plagued primarily by one or two consistent problems.

Vulnerability, according to Anderson and Woodrow (1991), "is the concept that best explains who suffers in a disaster." Across the globe, certain classes of people are more vulnerable than others with gender, caste, ethnicity, religion, disability, and age being the most common discriminating factors. Vulnerability is a function of many poverty-related factors including:

- a lack of assets and savings,
- limited access to employment opportunities credit and other resources,
- low education and skill level,
- poor health and nutritional status,
- substandard shelter, and

- the occupation of marginal, degraded and even dangerous lands.

In addition, vulnerability is affected by international and domestic governmental economic and social policies, the degree to which public services exist and can be accessed, infrastructure and market development, and the presence of civil unrest or war.

Sadly, the concept of vulnerability as it applies to disaster risk is a double-edged sword; the more vulnerable people are, the more likely that their property, livelihoods and lives will be in danger of injury, damage and destruction, and the less able they are to recover from such losses. Conversely, populations whose vulnerabilities are low will rarely experience "disaster" because a catalyst will not cause excessive loss of life and property as it would in other circumstances (Anderson and Woodrow, 1991).

To expound on this point, the impact of any disaster on human life and property, if left unchecked by governments, organizations and communities, will depend on the timing, severity and duration of the disaster combined with the population's vulnerability.

DISASTER IMPACT = DISASTER + VULNERABILITY

For the most part, the timing, severity and duration of a natural disaster such as an earthquake or typhoon cannot be influenced by human action. Thus, the work of relief and development organizations focuses on diminishing the second part of this equation, vulnerability.

For CRS, disaster prevention, mitigation and preparedness activities should be folded into existing agency planning processes such as the Annual Program Plan (APP) and the Strategic Program Plan (SPP) processes. It is essential that emergency prevention, mitigation and preparedness be considered during these planning processes if they are to become an integral part of a country program's activities.

Box 1.5

Mitigation

Though the term mitigation is frequently used these days in the context of drought management or famine prevention, it applies to a wide range of disasters, both natural and man-made as well as quick-onset and progressive. By implementing strategies that cause the impact of disasters to be less severe and bolster peoples' ability to cope with such crises, mitigation ultimately seeks to:

- prevent human suffering, death, and damage to assets and property,
- create a more stable environment for sustained development and an escape from poverty, and
- reduce or curtail the need for emergency response and costly relief campaigns, thus freeing up valuable human and financial resources for long-term investments in development.

CRS Mitigation Handbook, 1996

1.2.4.1 Disaster Prevention

The prevention of disasters would reduce untold human suffering and damage to livelihoods and property. Unfortunately, disaster prevention, especially in developing countries, is often overlooked or ignored. This can be due to a variety of reasons such as the lack of resources or political will to invest in prevention activities. Regardless, it is of utmost importance for relief and development agencies such as CRS to take disaster prevention activities into consideration in ongoing development programs. While poverty reduction strategies may reduce vulnerability to some disasters, others that are beyond human control will occur. Thus disaster prevention strategies must be bolstered by pre-catalyst disaster mitigation as described below.

1.2.4.2 Disaster Mitigation

Mitigation can be defined as strategies or interventions implemented before a disaster strikes or in response to the onset of a disaster event to minimize its impact or to prevent ultimate catastrophe.

Some people say mitigation is only a fancy guise for what would otherwise be categorized as development or relief. While it is true that mitigation activities can be developmental or relief-oriented in nature, mitigation focuses on reducing both short- and long-term vulnerabilities of populations as they relate to the particular types of disaster catalysts which occur in that area. Unlike ongoing development work, disaster mitigation inherently implies that a definable disaster is expected to occur or does occur rather than the mere presence of chronic food insecurity and poverty. And though some mitigation is responsive in nature, as is the case with emergency relief, the difference between the two is that post-catalyst mitigation is an early response which seeks to prevent further deterioration and disaster by dealing with the most immediate causes of insecurity. While development tackles the root causes of vulnerability and relief deals with the acute symptoms, mitigation straddles the two and is both proactive and reactive in nature.

Disaster mitigation should occur along-side ongoing development work and disaster preparedness, the latter being necessary in all societies, developed and developing alike.

Rapid-Onset Disaster Mitigation

As stated earlier, most rapid-onset natural disasters, such as hurricanes and earthquakes, cannot be averted by human action. Much can be done, however, to minimize their effects through preemptive mitigation activities which take place before the onset of a catalyst. Such activities should be built into an organization's repertoire of ongoing development

activities. While it is true that all development-oriented outcomes (e.g., improved education, income generating opportunities, increased access to effective health care, etc.) will ultimately help people to thrive and cope, mitigation focuses specifically on a community's particular level of risk, based on local disaster proneness and vulnerabilities.

There are generally two categories of pre-catalyst mitigation activities: non-structural and structural. Examples of non-structural strategies include the establishment of zoning and building codes, efforts to reduce population densities, changes in agricultural practices, education and public awareness campaigns, and the development of meteorological forecasting and early warning systems. The last is of particular importance because early warning that is linked to an efficient and widespread communications system allows people to protect their lives and property through evacuation, the removal of assets to safer ground, and the securing of homes and other structures. Many non-structural mitigation measures require either large substantial outlays of funds and/or government policy decisions. Nonetheless, NGOs can still make important contributions in terms of non-structural mitigation activities, particularly in the realm of capacity-building at the local level (e.g., evacuation process training or agricultural extension to demonstrate and teach new planting techniques).

NGOs tend to focus on the implementation of structural mitigation projects within vulnerable communities, generally as food or cash-for-work schemes. Homes can be built with locally available materials to be more resistant to high winds and tremors, agroforestry and education in natural resource management can help reverse ecological damage and prevent mudslides and erosion from occurring, and natural or artificial barriers can be created to forestall flooding or protect people and assets from winds.

If properly implemented, pre-catalyst mitigation activities will minimize the damaging effects of future disasters and decrease the need for both emergency relief and rehabilitation. The mitigation-oriented focus is thus more on prevention than relief. This does not mean, however, that emergency response will no longer be necessary. On the contrary, even in the wealthiest of countries, disaster preparedness is essential. Organizations working in developing countries prone to rapid-onset disasters would be wise to implement a three-pronged approach that includes ongoing development work, pre-catalyst mitigation activities and effective disaster preparation. Figure 1.1 outlines mitigation in the rapid-onset disaster context.

Slow-Onset Disaster Mitigation

Like rapid-onset disasters, slow-onset disasters also necessitate pre-catalyst mitigation activities that are implemented before the onset of a catalyst. Emphasis at this stage should be placed on reducing local vulnerabilities to commonly-occurring hazards. But with slow-onset disasters, development and relief organizations have a further role to play. In

Figure 1.1 Mitigation Framework for Rapid-onset

RISK ASSESSMENT
that analyzes local disaster proneness and vulnerability

ONGOING DEVELOPMENT ACTIVITIES TO COMBAT THE UNDERLYING CAUSES OF POVERTY

Examples: Interventions in education, health and nutrition, and income generation.

PRE-CATALYST MITIGATION ACTIVITIES

Purpose: To respond directly to the findings of the risk assessment and work to reduce vulnerabilities and minimize the impact of commonly-occurring catalysts.

Nature: On-going development activities.

Examples: Construction of earthquake or hurricane-resistant homes; tidal basin work to prevent rice fields from being washed away; reforestation to prevent mudslides.

DISASTER PREPAREDNESS ACTIVITIES

Examples: Development of early warning systems, maintenance of food and medicine stocks, preparation of emergency shelters, and development of emergency response procedures and communication systems.

ONSET OF CATALYST
(e.g., monsoon, hurricane, earthquake)

DISASTER STRIKES
but the impact is lessened due to mitigation activities
There will be less injury, death, population displacement, and loss of home, property and other economic assets due to pre-catalyst activities.

EMERGENCY RELIEF*
as determined from an assessment and analysis

REHABILITATION and RECONSTRUCTION ACTIVITIES*
designed to help people rebuild their homes, build back their asset base and reestablish social networks

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* Note: The more effective mitigation activities are, the less emergency relief and rehabilitation are required.

addition to bolstering peoples' long-term ability to cope with crises, there is a vital need for appropriate mitigation activities immediately after the initial catalyst has emerged. Post-catalyst, pre-catastrophe mitigation activities prevent the initial disaster (e.g., drought, crop infestation or hyper-inflation) from becoming a catastrophe and curtail a continued downward spiraling of suffering, the break-down of families and communities, destitution, death, and dependence on outside assistance.

The Process of Famine

The process of famine deserves special attention when discussing slow-onset disasters because even in areas where famine is not ever an outcome, the famine framework informs us how people react to a wide range of catalysts that directly affect their level of food security. Famine as an outcome is preventable, and the breadth and severity of damage, suffering, destitution, and death caused by the famine process are intolerable.

Rather than a finite event, famine is a process that can result from a number of different catalysts such as drought, crop infestation, desertification, and/or war. Chronic food insecurity increases until it is acute, household resources become depleted and, if left unchecked, a famine ensues. The goal should not be to respond to the late-stage indicators of famine - severe malnutrition, starvation deaths and mass migration - but to prevent famine from ever becoming the final outcome of the process. The emphasis thus shifts from a traditional strategy of saving lives through emergency relief to one of preserving livelihoods by helping people to protect their productive potential and maintain family and social networks (Buchanan-Smith and Davies, 1995; Drèze, 1988).

From the wide array of famine-related literature of the 1980s and 1990s, we have come to understand that food insecurity and famine are less of a food supply issue than one of economic and social relationships. Sen's entitlement theory shifted the focus from national food production and availability to the ability of individuals and households to gain access to goods that provide for adequate consumption (Sen, 1981). Attention still needs to be paid to the food supply balance sheet to ensure that there is sufficient food in countries and regions to meet consumption and production needs. But, more importantly, households must have the means of accessing that food. They do so by using their labor, their productive assets, their stores or savings, and their social claims (e.g., family ties, repayment for past favors, assistance from the state, etc.) to establish entitlements to food (Sen, 1981).

Households faced with risks to their food entitlements will plan to minimize their impact through a range of coping strategies, many of which include liquidating the assets that they have built up during less stressful times. Each society, and indeed each individual, will have its own coping mechanisms according to the particular livelihoods, resources and traditions. However, there are many commonalities in the ways that people from different parts of the

developing world manage their resources and minimize risk. Experience has demonstrated that people facing increased levels of food insecurity will generally decrease their current consumption in order to protect assets for future viability (de Waal, 1989). As peoples' desperation increases, they resort to more extreme and less reversible measures (Corbett, 1988; Cutler, 1985).

Slow-Onset Mitigation in the Food Security Context

There is a very fine line between chronic and acute food insecurity, particularly since people in many parts of the developing world regularly experience "lean" seasons, some which can last for months on end. People will cope with these cyclical food shortages in much the same way they deal with the onset of a slow-onset disaster such as drought or crop failure. When the food shortage is of a particularly prolonged or intense nature, and/or when people have had their coping mechanisms weakened by a prior strain, the famine process accelerates and seasonal insecurity is transformed into an emergency situation.

Seasonal and acute food insecurity manifest themselves in one or a combination of the following ways:

- insufficient food **availability** due to (a) a decline or failure of local production or (b) the lack of other food, produced domestically or imported, in local markets;
- insufficient purchasing or bartering power to **access** food; and/or
- the inability to maximize biological **utilization** of food consumed due to disease burden and other factors.

In most slow-onset disasters, all three components of food security, availability, access and utilization, will be compromised. Mitigation activities should seek to bolster those variables that are most directly affected by the disaster. For example, in cases where local production has failed, organizations should help people become productive once again through activities such as the development of low-cost water supply systems or the establishment of dryland gardens. In the meantime, if there is indeed a shortage of food at the local level, commodities should be made available through domestic, regional or international imports. In situations where food is available but a lack of purchasing power prevents households from accessing it, interventions that either help to increase incomes or decrease market prices are appropriate. Food-for-work and other income-generation schemes, for example, will help households obtain food and other basic needs while preventing the liquidation of savings and productive assets. Destocking, livestock price guarantee schemes and the timely release of grain onto the market can help maintain terms-of-trade that will be favorable to pastoralists and other deficit producers. During periods of drought and civil conflict, when households generally decrease their caloric and nutrient intake, there is likely to be a corresponding decline in access to clean water, thus increasing the likelihood of increases in the spread, intensity and duration of diseases. Young children and mothers are at particular risk to increases in morbidity (Belbase and Morgan, 1994). Mitigation activities

should attempt to decrease disease risk and bolster utilization through the early provision of supplementary food for vulnerable groups (e.g., children under two, pregnant and lactating women, the elderly, etc.), vaccination campaigns and the implementation of water and sanitation interventions.

It is important to note that many mitigation activities designed for slow-onset disasters are appropriate for dealing with *seasonal food insecurity* as well. In areas where there are annual food deficits, organizations should build both pre- and post-catalyst mitigation activities into their ongoing work. Where seasonal food shortages are due at least in part to poor local storage capacity, communities and households should be aided in establishing storage facilities. Food/cash-for-work schemes can be implemented during the lean seasons and other programs, such as supplementary feeding, mother-child health, and school feeding, can be augmented (both in terms of coverage and size of benefit) to minimize the impact of increased insecurity. By bolstering peoples' ability to cope with seasonal food insecurity, organizations can help individuals and households decrease their long-term vulnerabilities and be better prepared to deal with unexpected, periodic disasters when they occur.

Figure 1.2 depicts how mitigation activities, both pre- and post-catalyst, should be used to minimize the effects of and prevent the augmentation of slow-onset disasters.

Figure 1.2 Mitigation Framework for Slow-onset

RISK ASSESSMENT
that analyzes local disaster proneness and vulnerability

ONGOING DEVELOPMENT ACTIVITIES TO COMBAT THE UNDERLYING CAUSES OF POVERTY

Examples: Interventions in education, health and nutrition, and income generation.

PRE-CATALYST MITIGATION ACTIVITIES

Purpose: To respond directly to the findings of the risk assessment and work to reduce vulnerabilities and minimize the impact of commonly-occurring catalysts.
Nature: On-going development activities.
Examples: Water harvesting projects; construction of household or community storage facilities; introduction of drought-resistant crops and farming methods; peace and reconciliation efforts.

DISASTER PREPAREDNESS ACTIVITIES

Examples: Development of a multi-faceted early warning system which is linked to planned response procedures and mechanisms; maintenance of regional, national or local grain stocks.

ONSET OF CATALYST
(e.g., drought, crop disease, etc.)

POST-CATALYST, PRE-CATASTROPHE MITIGATION ACTIVITIES

Purpose: To react in a timely fashion to a catalyst or symptoms of stress to prevent a continued downward spiral of suffering and destitution and to protect peoples' livelihoods while helping to meet immediate consumption needs.
Nature: Quick-reaction, targeted activities aimed at bolstering peoples' coping strategies. Can involve the implementation of new projects or the expansion of ongoing projects.
Examples: Drilling of boreholes in drought-affected areas; early distribution of food rations; livestock preservation activities; market interventions to stabilize prices and prevent hoarding; cash/food-for-work or direct income transfers to bolster incomes, prevent decapitalization of productive assets, and prevent distress migration.

CATASTROPHE PREVENTED
Human and physical losses are minimized

REHABILITATION and RECONSTRUCTION ACTIVITIES*
If necessary to replace assets that were lost early in the crisis

RETURN TO TOP OF CHART

* Note: The more effective mitigation activities are, the less emergency rehabilitation will be required.

Understanding the Problem at Hand

All development and relief work requires a certain level of knowledge of local livelihood systems; mitigation activities, particularly for slow-onset disasters, cannot be implemented successfully without the following three categories of information.

1. **Risk assessment:** To understand the level of risk experienced by any given population, analyses of disaster proneness and vulnerability are necessary (ADB, 1991). Disaster proneness highlights the types of commonly-occurring catalysts, the probability that they will occur, typical timing (if cyclical), and expected intensity of the disaster.

Vulnerability assessment should take into account the degree to which people in a particular area are able to protect themselves from suffering, injury and death and prevent damage or loss of their property and assets.

Vulnerability assessment must be conducted at a disaggregated level in order to allow for targeting of the most food insecure households. Webb, et al. (1992) found in Ethiopia that "while all households in the drought-affected regions studied were affected, the impact of famine varied by household according to income and asset base. These findings suggest that even where almost everyone is extremely poor, the depth of poverty is important in determining the impact of famine."

> Since the 1950s, costs associated with natural disasters have rocketed 14-fold. Meanwhile the world's richest nations donated just 0.39 per cent of their 1999 gross national products (GNPs) in annual overseas aid – half the amount the United Nations (UN) considers necessary. Of this figure, a fraction is invested in preventing disasters. Yet research suggests that US$ 40 billion spent in disaster mitigation would have reduced global economic losses in the 1990s by US$ 280 billion.
>
> IFRC World Disasters Report, 2001

Another way of looking at vulnerability analysis for seasonal food shortages and slow-onset disasters is to think of when and why people are most food insecure by assessing a wide range of food security indicators. These could include, for example, nutrition and health figures (indicators of utilization); earnings and sources of income, education and skill levels, insurance mechanisms, and asset accumulation (indicators of access); and agricultural productivity and diversity, natural resource management, marketing and distribution systems (indicators of availability).

2. **Timely, accurate and decentralized early warning systems:** The topic of early warning systems has generated much interest and activity over the past decade. Though some rapid-onset disasters can be detected before they affect human populations (e.g., hurricanes, monsoons, cyclones, heavy rains) and are important for disaster preparation and evacuation, early warning systems are most pertinent to the mitigation of slow-onset disasters.

Historically, prediction of increasing food insecurity has been hampered by an over concentration on domestic food stocks and production figures. As we know, starvation and chronic hunger can be widespread in countries that have food surpluses or are even exporting food, thus early warning systems must also include consistent monitoring of other data.

Today there are numerous systems in place through governments, international organizations, NGOs, and research institutions that look at a wide range of indicators in order to detect increasing food insecurity early on in the process. Such indicators include coping mechanisms, changes in asset values and other social indicators; meteorological data; agricultural production and food supply figures; and market prices and terms-of-trade. In addition to sophisticated national and regional level systems, many village or district-based information systems exist that focus more closely on localized conditions and the coping behaviors particular to that community. To maximize resources, avoid replication and have access to the most comprehensive set of indicators, collaboration and information-sharing among information-collectors is crucial.

3. Knowledge of local coping mechanisms: A clear understanding of coping mechanisms is a necessary prerequisite both for accurate early warning and for the implementation of mitigation activities which will bolster peoples' own capacities and means of coping with crises. Careful analysis will reveal both the strategies and the order in which they generally occur as well as the assets which are most important to preserve given particular livelihoods. Even within a country or province, different groups of people may have different ways of dealing with crises. The selling off of livestock, for example, is a much more desperate measure for pastoralists, whose livelihoods depend on maintaining herds, than for agriculturists who keep animals as "savings accounts" rather than productive assets. Unfamiliarity with peoples' unique ways of protecting their livelihoods and lives can lead to inappropriate measures that will fail to mitigate the impact of the crisis at hand.

These categories of information, which take real commitment to consistently monitor and analyze, are necessary to bridge the gap between development and relief and to effectively reduce or curtail the need for emergency response, particularly for slow-onset disasters. However, information alone will be of no benefit to those who suffer from crises unless it is used to plan and implement timely and appropriate mitigation interventions. To make this link, there is a need for a response mechanism or a plan of action that will help people to preserve their sources of livelihood and meet immediate consumption and basic needs.

1.2.4.3 Disaster Preparedness

Disaster preparedness can be defined as strategies and capacities developed during non-crisis periods to collect and disseminate relevant information, diagnose the situation, plan for contingencies, and stock necessary emergency inputs. The following section provides an approach to contingency planning which is a critical step in emergency preparedness.

Contingency Planning: What is it and why do it?

In October 1996, the UN Complex Emergency Training Initiative (CETI) developed guidelines for emergency preparedness. The guidelines define **emergency preparedness** activities as those that aim to protect lives and property from an immediate threat, to promote rapid reaction in the immediate aftermath of a disaster, and to structure the response to both the emergency and longer-term recovery operations.

> [Disaster research confirms], that preparedness, like emergency response, is not an activity to be initiated as an extraneous effort or outside initiative. It must be actively carried out by whomever will have a role in providing emergency services and it must be integrated into on-going services and programs.
>
> UNICEF, 1995

There are four interdependent prerequisites for preparedness for a rapid and effective emergency response.

- Planning
- Availability of standby resources (financial, human and material)
- A mechanism for rapid decision making
- Taking contingency actions

Specific actions that can or should be taken at both the field and headquarters levels during the preparedness stage of contingency planning include implementation of:

- internal management mechanisms,
- resource actions (preliminary identification of personnel, material and equipment needs),
- inter-agency co-ordination mechanisms.

Contingency planning is a forward planning **process** in a state of uncertainty in which scenarios and objectives are agreed, managerial and technical actions defined and potential response systems put in place to prevent or improve response to an emergency. Contingency planning for CRS should be:

- a dynamic process, focused on preparation and flexibility,
- integrated into on-going projects and planning activities,

- a useful source of information for managers, programming staff and emergency officers,
- an integral part of all CRS preparedness activities,
- addresses only scenarios which are likely to impact CRS operations or require CRS action, and
- field based.

The essential elements of a contingency plan are:

- scenarios and trigger events,
- strategic objectives,
- priorities (operational objectives),
- resource needs,
- likely roles and responsibilities,
- security updates, and
- regularly reviewed, validated and amended as necessary.

Most importantly, contingency planning must be understood as a **process**, not a one-off activity that results in a report that is put on a shelf. Contingency plans must be on-going and updated regularly as a situation evolves to be effective.

In order to know when contingency planning must occur and, in particular, when such planning should kick into high gear, **early warning** information must be monitored. The CETI guidelines define early warning as a process of information gathering and policy analysis to allow the prediction of developing crises and action either to prevent them or contain their effects.

The Role of Early Warning in Contingency Planning

An early warning system is essentially the ongoing collection and analysis of information that feeds into a contingency planning process.

For early warning to be effective, key indicators must be identified and information collected from a variety of sources. Sources can include the affected population itself, the local population, church representatives, journalists, political entities, other NGOs and UN agencies. Information can be collected on **early warning indicators** such as, in the case of refugee emergencies, the buildup of ethnic, religious or social tensions; political instability; a natural disaster event; or increasing human rights abuses. In addition to these factors that may prompt a refugee movement, there are also what are called “pull” factors that may exist. For example, “pull” factors can include already established refugee communities in the potential host country; shared language, culture, religion; ease of the migration routes; or, perceived liberal asylum policies. When analyzing indicators that may prompt a refugee

movement it is also important to consider other **intervening factors** such as the policies of the potential host country (e.g., are the borders closed and carefully patrolled); **alternatives to flight** (e.g., have internally displaced camps been established); and, **constraints to flight** (e.g., is winter setting in thus creating impassable roads). Finally, when regularly collecting and analyzing early warning information, it is important to recognize **triggering factors**, or those factors that will prompt more active contingency planning. Triggering factors in a refugee emergency can include factors such as a natural disaster, a new type of person affected, a significant increase in the intensity of the situation or borders being opened to refugees.

Collecting and analyzing early warning information is not necessarily a scientific process. Intuition and experience play important roles in determining when the collection of early warning information is necessary and, more importantly, when early warning analysis indicates the need for active contingency planning. It is easier to find reasons not to collect early warning information than the opposite. Collecting and analyzing such information regularly takes time and resources. In the case of a particularly sensitive situation, such activity can even be perceived as political in nature. Yet the value of closely tracking developments that may lead to an emergency and conducting preparedness activities based on that information is obvious when it positions a relief agency to respond more efficiently and effectively to an emergency event when it occurs. Good coordination and information sharing with other actors can reduce the burden of information collection and contribute to more comprehensive analysis.

Developing Scenarios

One of the first tasks in a contingency plan is to develop scenarios and triggering events. Scenario planning should be based on experience and early warning indicators. This activity is intuitive yet of vital importance in the planning process since it creates the basis for further planning. In scenario planning all possibilities should be considered, particularly worst and best case scenarios. Of all the possibilities, the probability of each scenario should be discussed. Of the three to four most probable scenarios, those in which CRS would be most likely to respond should be used as the basis for further planning.

The essential elements for scenario development are as follows.

Step 1: Describe the current situation and develop baseline information.

- Likely number of people affected (location, status and conditions)
- The level of insecurity and other general conditions
- A description of current CRS operations
- An overview of agency capacities in the region
- Other agency resources

Step 2: Define probable changes (scenarios).

- State which variables could affect the country and/or region (security/conflict, economic conditions, political issues, election outcomes, crop production, etc.)
- Provide some general scale to rank the current situation of the variables (e.g., security conditions are: good-fair-poor)

Step 3: Select scenarios for further development and analyze against variables.

- Eliminate those with extremely low probability
- Eliminate those which would not impact CRS operations

Step 4: Clearly state assumptions for scenarios.

- Example

Items from Step 1	Current Situation	Assumption for Scenario X	Triggering Events
Number affected	100,000	250,000	Border opens
Location of affected	Gathered at Y town	Moving towards Z border crossing	Border opens

Step 5: Identify possible triggering events for each scenario that would set your preparation or operational plans in motion.

Writing a Contingency Plan

The essential elements of a contingency plan are as follows.

- Identify scenarios and triggering events (as described above)
- Determine strategic objectives
- Set priorities (operational objectives, activities)
- Identify resource needs and capacities
- Assign likely roles and responsibilities
- Conduct security updates
- Prepare the plan
- Follow up

A suggested format for a contingency plan follows.

Section 1 General Situation and Scenarios

I. Current country operations
II. Background to current situation and analysis of root causes of conflict
III. Scenarios (maximum of 3-4)
   A. Brief description of the scenario
   B. Affected population profile (who would be most affected; where are they located; would they move to seek protection and assistance or stay in their homes; what is their ethnic/economic/religious profile; etc.)
   C. Anticipated impact of the scenario on humanitarian needs
   D. Intervening factors (constraints to providing protection and assistance or to affected populations to move, e.g., borders closed; difficulty for an American and or Catholic organization to gain access to a particular country, etc.)
   E. Assumptions
   F. Emergency response triggering factors (when would the operational plan kick in? e.g., major military action)

Section 2 Strategic Objectives

I. Overall strategic goal of the program
II. Strategic objectives
III. Comments on the policy stance of current/probable partners (Caritas, UN, etc.) and donors that may have an impact on the affected population and on our programs

Section 3 Objectives and Activities by Sector (the below list is illustrative; actual objectives included in the plan depend on the analysis above)

I. Policy/Advocacy
II. Protection of affected population
III. Food
IV. Logistics
V. Infrastructure and site planning
VI. Shelter
VII. Domestic needs/household support (NFIs or non-food items)
VIII. Water and Sanitation
IX. Health and nutrition
X. Community services
XI. Education
XII. Economic Activities

Each section should include a consideration of the following.

- Needs
- Resources
- Sector Objectives
- Activities
- Timing
- Existing and proposed readiness measures
- Implementation responsibilities

Another useful approach to planning is to prepare some raw data for each possible intervention that can be utilized for proposal development. This activity is particularly useful in ensuring that all staff are aware of the standards to be used for sector interventions. The Sphere Handbook is very useful for this process since it contains comprehensive information on minimum standards and key indicators for several emergency sectors.

Example: Water: Provide sufficient and good quality water to meet the needs of X households for cooking, washing and personal hygiene.

standards/needs
15-20 liters per person per day.
Adequate quality.
Think of local population.
Avoid trucking if possible.
Adequate on site storage.
Protect natural water sources.
Distribution system-people don't need to walk too far.
Suitable water containers (include in domestic items sector).

Section 4 Procedures for Feedback, Maintenance and Future Action

Describe how the plan will be updated and revised, who will be responsible for ensuring this will be done and how will the information be disseminated.

Annexes

I. Maps
II. Gap Identification Chart
III. Sample Forms (registration, waybills, etc.)
IV. Matrix of Commodities with their specifications
V. Potential suppliers (local and international)

VI. Budget estimates

Process Outputs

- The plan
- Roles and responsibilities clarified; key relationships established for coordination
- Identification of training/capacity building needs and schedules for such activities
- Likely projects and estimated budgets if possible
- Standby arrangements such as stockpiles and staff
- Preparedness checklists

These outputs are to be regularly reviewed, validated and amended as the process continues.

The characteristics of a good contingency plan are:

- Comprehensive, yet not too detailed
- Balanced between flexibility and concrete actions
- Well structured, easy to read and easy to update
- A living document, consistently updated, amended and improved

1.2.5 Cross-cutting Themes in CRS Emergency Response

1.2.5.1 The Rights-based Approach to Humanitarian Action

The rights-based approach to humanitarian action is founded on international law, particularly on the Universal Declaration of Human Rights and the Geneva Conventions. The Universal Declaration of Human Rights, along with the Covenants on Civil and Political Rights and Economic, Social and Cultural Rights, articulates the fundamental rights to life and to an adequate standard of living. The rights-based approach is consistent with CRS' foundations in Catholic Social Teaching.

The rights-based approach forms the cornerstone of The Sphere Humanitarian Charter and Minimum Standards in Humanitarian Response. The Humanitarian Charter expresses the commitment of NGOs to the principles of humanitarianism (see Section I.3 for more information) and international law, including the right to life with dignity; the distinction between combatants and non-combatants; and the principle of non-refoulement. Following the humanitarian charter is guidance on how to ensure that humanitarian programs are indeed providing the services needed to ensure life with dignity by adhering to minimum standards and key indicators in five key areas: water, sanitation, nutrition, food, shelter, and health care.

Box 1.6

What is the difference between a Refugee and An Internally Displaced Person?

A person becomes a refugee only when he/she crosses an international border. In contrast, an internally displaced person remains inside the boundaries of his/her own country. Thus, the difference between refugees and internally displaced persons is technical and legal, and has little to do with their reasons for flight. Both categories of persons are often affected by the same causes of displacement. They often have identical protection and material needs that deserve the equal attention of the international community. Most humanitarian agencies have the operational flexibility to address the needs of both refugees and internally displaced persons. UNHCR, whose statutory mandate is to protect refugees, has been authorized, on an ad hoc basis by the United Nations , to act on behalf of internally displaced persons.

Protecting Refugees: A Field Guide for NGOS, United Nations Publications, Geneva, May 1999

While international law represents a deep and diverse field of study, it is important for humanitarian workers to understand the key aspects of this discipline that affect emergency work. For example, as summarized in Box 1.6, international law provides very different legal provisions for refugees than for internally displaced persons. This can have a direct impact on emergency response work, especially in violent conflict situations.

1.2.5.2 The CRS Justice Lens and Peacebuilding in Emergencies

War represents perhaps the gravest assault on human dignity. It leaves untold thousands dead or maimed along with multitudes who are forced from their homes, families separated, livelihoods destroyed, and societies torn apart. CRS has a moral obligation as an organization founded on Catholic Social Teaching (CST) to actively promote and protect human dignity. In the case of violent conflicts, this means that CRS has a responsibility to not only relieve suffering by providing humanitarian assistance but also to dedicate itself to work for lasting peace.

Peacebuilding is defined by CRS as a holistic approach that addresses the root causes of conflict and includes the processes, interventions, strategies, and methods to promote a just peace. Peacebuilding activities occur at every level of society, occur at any time (pre, during, and post-conflict) and encompass a myriad of activities. Depending on the nature of the conflict and using a variety of means, NGOs can contribute in some ways to the avoidance of violent conflict spiraling into full blown crises. However, it is equally important that NGOs understand what they can and cannot address in terms of peacebuilding. Complex situations may arise where principles and approaches may conflict and aid agencies face difficult dilemmas regarding the use of aid. Moreover, NGO activities that strengthen civil society organizations in the name of peacebuilding may be perceived as partial to one side or another of a conflict. The analytical tool in Table 1.4 can be used to carefully analyze the application of principles to problems in emergency programming.

The Justice Lens is one approach utilized by CRS to analyze its work. The principles that are at the core of the Justice Lens are drawn from Catholic Social Teaching and have also been expressed in the CRS Guidelines on Humanitarian Assistance in Conflict Situations (see Annex A). In emergencies, CRS staff must make critical assessments of the scope, timing, nature, and extent of needs and capabilities. These situations frequently involve a state in crisis, if not chaos. For CRS, the Justice Lens is a key element in the assessment of these emergencies in terms of analyzing the root causes of conflict in the same way we analyze the root causes of injustice in development programs. In violent conflict situations, however, this analysis must also be coupled with an understanding of humanitarian principles and, in many cases, international law. A basic understanding of international law is an essential component of application of the Justice Lens to a complex emergency. Armed with the vocabulary of international law and an understanding of its relation to the CRS Justice Lens, CRS staff can more actively engage in the humanitarian aid community using the common language of international law to coordinate with other actors in these situations.

During violent conflict, NGOs are faced with dilemmas regarding the interplay between peace, development, human rights, and justice. If, as some argue, peace is the pre-requisite for development, human rights and justice, then we should devote a much greater

Table 1.3

Elements of a Peacebuilding Strategic Framework	
Why:	Assess our obligations, responsibilities as well as the intent of our emergency programming based on the CRS Principles, Catholic Social Teaching, the Justice Lens, and humanitarian principles.
When:	Timing of activities (pre-conflict, during and post-conflict). Short, medium and long-term responses based on immediate disaster and humanitarian needs and longer-term conflict and peacebuilding approaches.
How:	Determine influence and dynamics of right relationships during intervention by specifically strengthening local capacities for peacebuilding (within the emergency situation, but also regionally and internationally).
What:	Determine strategies and activities based on conflict mapping, analysis and assessment.
Where:	Context of emergency intervention. Determine the impact of CRS interventions on structures (local, in US, international).
Who:	Consider protection of civilians and refugees, leadership levels to be targeted and partnership relationships for intervention.

share of our resources to the fight for peace, first and foremost, to prevent as well as to put an end to deadly conflict. What would this fight look like? The humanitarian community has acquired some experience in various aspects of "peace programming," such as the Local

Box 1.7

Supporting Peacebuilding in Emergencies

CRS' emergency response programs often entail the distribution of significant quantities of material resources (e.g. food, shelter, non-food items). At the same time, CRS increasingly focuses on how these activities can contribute to rehabilitation and longer-term development as an explicit requirement of relief programming. While it is most often beyond the capacity and influence of relief and development agencies to significantly contribute to peace in situations of violent conflict, agencies now concede that the resources of emergency programs have often had, and continue to have, an enormous potential to reinforce societal divisions or exacerbate violent conflict. Some strategies exist to reduce this possibility.

- Use participatory processes to identify needs of all groups within a population and to determine the type amount, storage, and distribution of material goods.
- Collaborate with other agencies to develop modi operandi that avoid fueling the conflict by duplication and manipulation of efforts and resources and distorting the economy.
- Consider constructively engaging belligerents in discussing ways they could meet people's needs.
- Integrate sustainable development approaches and objectives into relief efforts.
- Be aware of the implicit ethical messages regarding the use of arms (especially where some NGOs use military protection for personnel and supplies) and the ways in which unequal value may be placed on the lives and expertise of local people and expatriates (e.g. who is employed, in what capacity, and when and how evacuation occurs, and for whom).
- Support indigenous conflict resolution mechanisms when appropriate.

CRS: Applying the Justice Lens to Programming, 1998

Capacities for Peace approach and conflict transformation activities. But what does it really mean to program for peace? In the midst of violent conflicts, where civil society has been effectively squashed or destroyed, understanding pre-conflict and current social structures provide a necessary basis for analyzing relationships and prioritizing activities that may contribute to the eventual rebuilding of civil society. But this represents only one part of the whole and, once again, there remain more questions than answers. A recent study by the World Bank provides empirical data that links the economic aspects of a society to the potential for violent conflict (see Box 1.8). The results of this study make all the more important the role of economic development in peacebuilding.

Box 1.8

Underlying Causes of Conflict: the Economic Factor

It is common for reporting on violent conflict to focus on the ethnic and/or religious nature of the conflict. The critical role of economics as an underlying cause of conflict is often underplayed in the international media. Research by the World Bank identified stronger links between certain key economic factors (such as dependence on primary commodity exports and low national income) and civil conflict than with any ethnic or religious factor. In a statistical analysis conducted on global data on civil conflicts between 1965 and 1999, the risk for civil war was systematically linked most strongly to dependence on primary commodity exports, low average incomes, slow growth, and a large diaspora.

The author of this research, Paul Collier, states that, while a factor, ethnic and/or religious differences do not play as serious a role as a predictor of violent conflict, but are manipulated by belligerents in order to form more palatable "objective grievances" for fighting. This is not just a by-product of conflict, but an essential activity for a rebel organization. The general public will be more willing to take up arms to fight against an "oppressor" than to fight to gain economic wealth for the rebellion leaders. Unfortunately, according to Collier, "while these objective grievances do not generate violent conflict, violent conflict generates subjective grievances…by the end of a civil war, there is intense inter-group hatred based upon perceived grievances."

In addition, the study also found that countries that have recently experienced violent conflict run a very high risk of returning to conflict in the first ten years of post-conflict peace, thus emphasizing the importance of post-conflict programs to solidify peace that support economic development and poverty alleviation.

www.worldbank.org/research/conflict/papers/civilconflict.html

1.2.5.3 Do No Harm

Humanitarian actors working in conflict situations cannot provide assistance in a vacuum, without considering their own role in the dynamics of the conflict and in the related international political arena. War tears societies apart; families are separated, livelihoods destroyed, new power relations formed. There are always winners and losers in war, and the power wielded by the winners shapes new relationships and shifts in the power wielded by particular groups and across groups. It is the responsibility of humanitarian relief agencies to understand these dynamics in order to minimize the role of aid in exacerbating exploitative power relationships, and in order to maximize the contributions of our activities to sustainable peace. Before violent conflict, NGOs and other members of civil society often serve as primary witnesses to the increasing human rights abuses that often presage violent conflict. We work in communities directly affected by growing violence and watch as the development activities we support collapse under the weight of growing instability. Our own staff themselves begin to feel the pressures to take sides. It is of utmost importance that CRS staff working in these situations be aware of the role of humanitarian actors and relief items in the dynamics of conflict. The Local Capacities for Peace (LCP) analytical framework offers an approach to avoid our work having a negative impact on societal tensions/conflict, while reinforcing capacities for peace at the local level. The project has identified patterns in which humanitarian and development aid may inadvertently exacerbate or cause conflict, as well as options for supporting local capacities for peace. The analytical tool is titled Framework for Considering the Impact of Aid on Conflict and it is available in the CRS Project Proposal Guidance.

Another aspect of a Do No Harm approach is reflected in the potential for relief supplies to be manipulated negatively by aid workers themselves. Studies conducted in refugee camps in West Africa in 2001 revealed instances of some aid workers trading relief supplies for sex with some of the most vulnerable members of the disaster-affected population. This unacceptable practice has led to efforts on the part of NGOs and UN agencies to develop guidelines on the protection of disaster-affected populations. CRS staff are expected to maintain the highest degree of professionalism in carrying out their responsibilities in emergency situations. Guidance on this can be found in the CRS Security and Staff Safety Guidelines regarding personal behavior. More guidance will be available in the forthcoming Emergency Logistics Guidelines which addresses the issue of transparency in aid programs and the responsibility of aid workers to ensure that the disaster-affected population know their rights.

1.2.5.4 Coordination

As articulated in the CRS Guidelines for Humanitarian Action in Conflict Situations (see Annex A), CRS supports and will participate in coordinated planning, assessment and operations insofar as they are consistent with our principles and conditions of response.

Such coordination is a critical component in mounting an effective emergency response program. This includes coordination with Church partners, NGOS, the Red Cross Movement, donors, UN agencies, inter-governmental organizations, and governments. The most critical level of coordination is in the field. But coordination should also occur at the international level, especially in the areas of advocacy, public education, and information sharing.

Coordination is an essential element of any quality humanitarian action, especially in acute stages of an emergency when the need for strong communication and coordinated action is paramount. While it is acknowledged that it is important, coordination is not always a top priority. Differing organizational mandates and competition sometimes lead to a resistance to coordinate. The United Nations Office for Coordination of Humanitarian Affairs (OCHA) has an explicit mandate to coordinate the work of UN agencies in emergencies. NGOs often join in this coordination system when there is a clear benefit to doing so. Such benefits can include the provision of information that is useful to the whole humanitarian community such as the number and location of disaster-affected populations. OCHA can also serve an important function in liaising with governments and/or belligerents to advocate on behalf of all aid agencies for humanitarian access. In addition to coordination of the overall humanitarian community, there are often sectoral coordination meetings in emergencies that focus on the technical aspects of programs.

There may be legitimate differences in opinion about who should lead coordination efforts and what their roles and responsibilities should be. Nevertheless, a coordinated emergency response is more effective and efficient than an uncoordinated one and every effort should be made to ensure strong communication and information sharing amongst the humanitarian aid community whenever possible. The Gap Identification Chart in Annex H is a tool that can be used to ensure that all aspects of an emergency are addressed in a coordinated fashion.

1.2.5.5 Capacity Building and Partnership

Many NGOs operating in emergencies strive to build local capacities, to support sustainable livelihoods and to avoid creating dependencies. One way to do this is through **capacity building** activities. Capacity building can be implemented at a variety of levels and with a variety of groups. For example, CRS promotes capacity building of staff, partners and communities. Capacity building is integrally linked to partnership. Without a strong partnership, capacity building activities are rarely successful. CRS strives in all of its relief and development work to build partnerships with other organizations that share our values such as a commitment to justice and the protection and promotion of human dignity. In this same vein, there are also situations in which CRS may make a decision to directly implement emergency activities. This decision is based on the urgency of the needs, the capacity of CRS to respond, and the capacity of local partners to respond.

Capacity building can also be defined as any intervention designed either to reinforce or create strengths upon which communities can draw to offset disaster-related vulnerability (Lautze, Hammond, Coping with Crisis, Coping with Aid, 1996). One way to do this is to support **local coping mechanisms**. Coping mechanisms are responses to repeated shocks to people's livelihoods. Coping mechanisms are broad and varied. Some examples include measures such as increased eating of wild foods in times of food shortages or people coming together to provide assistance to vulnerable groups within their community. Most organizations support local coping mechanisms that strengthen the ability of a community to survive a shock to their livelihood system without external assistance. Resorting to coping mechanisms, however, is a sign of distress and repeated use of coping mechanisms or the use of "last resort" coping mechanisms, such as selling of assets, may lead to long-term damage to a livelihood system. NGOs must be able to recognize local coping mechanisms that strengthen a community and those coping mechanisms that represent potential long-term or permanent damage to a community. In the latter case, NGOs such as CRS and our partners may make the decision to step in to provide support to communities to protect, and eventually to recover, their livelihoods.

Box 1.9

Emergency Preparedness and Response Training Programs

Several CRS country programs, especially those located in countries with cyclical or chronic disasters, have engaged over the past few years in capacity building projects for local partners that emphasize emergency preparedness. Such programs have been implemented to date in Angola, Congo/Brazzaville, Uganda, Guatemala, and Indonesia.

One such program is the Western Emergency Preparedness Program (WEPP) in Uganda. WEPP is designed to improve the ability of local actors to respond to and mitigate the effects of emergencies. Participants are from the local dioceses, from local government District Disaster Management Committees, and several local NGOs.

The program, due to last over thirty months, is designed to improve all areas of the participant agencies' abilities in disaster management and emergency preparedness. Workshops topics include Contingency and Mitigation Planning, Organisational Capacity Assessment and Improvement, Emergency Logistics, Assessment, Monitoring and Evaluation, and general Emergency Management. The course topics are aimed at increasing the agencies' abilities in these fields and to contribute to their capacity to draw up their own Contingency Plans.

One benefit of having so many disparate actors learning and working together is the air of co-operation that is fostered. By working together, they learn about shared standards and approaches and share the same language. They also get an appreciation of the roles each may play in a coordinated effort to deal with any emergency that should occur in the future. By working together, they increase their overall ability to support disaster-affected populations with quality programs.

1.2.5.6 Transition Programming

In conflict situations, the necessary elements of a successful transition from war to sustainable peace remain elusive. NGOs face many barriers to successful transition programming. Because of the high degree of uncertainty regarding the commitment of belligerents to peace, NGOs are reluctant to dismantle emergency structures or to invest in transition activities. Demobilization and disarmament of ex-combatants is complicated, especially if fighters are rejected by their communities due to past atrocities. Given the nature of the conflict, large segments of the general population may be suffering from psycho-social trauma. It may be difficult to access funding for appropriate activities at the appropriate time due to the priorities of donor agencies and the general lack of consensus on what constitutes transition activities. All of this occurs in an environment in which structural injustices that contributed to the conflict in the first place often remain unresolved and therefore continue to linger behind the facade of peace.

One of the most important factors to take into consideration at the very beginning of a disaster response is the **exit or transition strategy**. The timing of shifts to more developmental types of activities may not be easily identifiable, but should be considered in the analysis and project design stage to the extent possible. Indicators can be identified that will be monitored to assist in making the programming decision to shift from relief activities to transition and development activities. In Rising from the Ashes, Anderson and Woodrow call on NGOs to be responsible for the developmental impact of their relief work. Describing the linkage between emergency response and development, they also discuss the importance of activities related to preparedness and mitigation: "Awareness of the relationships between disaster response and development is fundamental to preparedness and mitigation. In the final analysis, because the local capacity is increased through development to the point where it can cope with crises that occur, even disaster "prevention" is possible."

Principle-led Programming 1.3

CRS extols principle-led programming in its relief and development activities. From the agency's foundations in Catholic Social Teaching to the technical program quality statements that inform sectoral interventions, principles, standards and approaches inform our work. CRS' work in emergencies is informed by all of the above as well as by international law and principles related specifically to humanitarian situations.

Humanitarian action in an organized sense is a relatively new concept. The first modern humanitarian organization, the International Committee of the Red Cross (ICRC), was created in the late 19th century. Since that time, many organizations have come into existence with the explicit objective of providing humanitarian assistance and protection. Yet it was not until the 1990s that humanitarian organizations began to develop principles and protocols by which to conduct assistance and protection work. The principles that form the basis for humanitarian work are based primarily on international law instruments such as the Geneva Conventions and Refugee Law (see Annex D for additional information).

CRS developed its own Guidelines for Humanitarian Action in Conflict Situations in 1992 (formerly known as the Harper's Ferry Guidelines). In 1994, the ICRC/IFRC and NGO Code of Conduct was developed. Additional information on these principles can be found in Annexes A, B and C. CRS strives to adhere to the agency's guidelines for conflict situations (see Annex A) as well as to the four core humanitarian principles articulated in the ICRC/IFRC/NGO Code of Conduct (see Annex B): humanity, impartiality, neutrality, and independence.

As a faith-based agency, CRS' work is driven by values based on Catholic Social Teaching. These values are supported and complemented by universal human rights. In conflict situations, these values are further supported by the core humanitarian principles. The application of values and principles in real situations presents challenges. Humanitarian aid staff are often faced with ethical dilemmas in conflict situations. Values and principles are meant to assist NGO staff to understand the moral and ethnical parameters within which relief work is conducted.

The analytical tool found in Table 1.4 presents one way in which to analyze the application of principles-led programming and the related benefits/risks. The left column lists some of the key principles in humanitarian response such as neutrality and impartiality. Below this is a list of CRS core values such as justice and solidarity. These are followed by the CRS program quality statements, general good practice (e.g., accountability and transparency), and various approaches that CRS supports such as capacity building and participation. When planning an emergency response program, especially when faced with ethical

dilemmas such as demands by rebels for relief goods, it is imperative that staff carefully analyze the situation in terms of the principles under which CRS operates.

The reality of dilemmas faced by staff in field operations may result at times in the compromising of principles. Reality demands that a balance be struck between humanitarian principles, organizational values and program quality principles and standards measured against the benefits and risks to the disaster affected population, CRS staff and partner staff. There are never any easy responses to such dilemmas. There is, nonetheless, a responsibility on the part of CRS to adequately address such issues and carefully analyze the benefits and risks for taking one decision over another.

For more information on the items included in the left column of Table 1.4 see:

Core Humanitarian Principles	Annexes A, B, C, D
CRS Core Values	Section 1.1; Catholic Social Teaching
CRS Quality Statements	Annex E
Good Practices	Glossary
Approaches	Section 1.2.5

Table 1.4 Analytical Tool for a Principled Approach to Emergency Programming

Principles/Good Practices/Approaches	Problem/Issue	Strategies to Address the Problem/Issue	Benefits	Risks
Core Humanitarian Principles Humanity Neutrality Impartiality Independence				
CRS Core Values Justice Subsidiarity Solidarity Stewardship				
CRS Quality Statements Overseas Programming Orientation, raining, Debriefing Security Staffing Staff Care Procurement Media				
Good Practices Accountability Transparency				
Approaches Capacity Building Partnership Participation Local Capacities for Peace Do No Harm				

Box 1.10

Additional Resources

1. CRS Project Proposal Guidance

2. CRS Policies and Guidelines for Overseas Programming

3. Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response Handbook

4. Rising from the Ashes, Anderson, Mary B. and Peter Woodrow

5. Local Capacities for Peace, Mary b. Anderson

5. UN/CETI Contingency Planning Guidelines

See Bibliography for details.

Emergency Program Quality 2

In this section you will find information on the following topics.

2.1 General Background on CRS Emergency Preparedness & Response

Includes an operational framework and definitions of CRS core competencies for emergency programming.

2.2 Emergency Preparedness & Response Program Quality

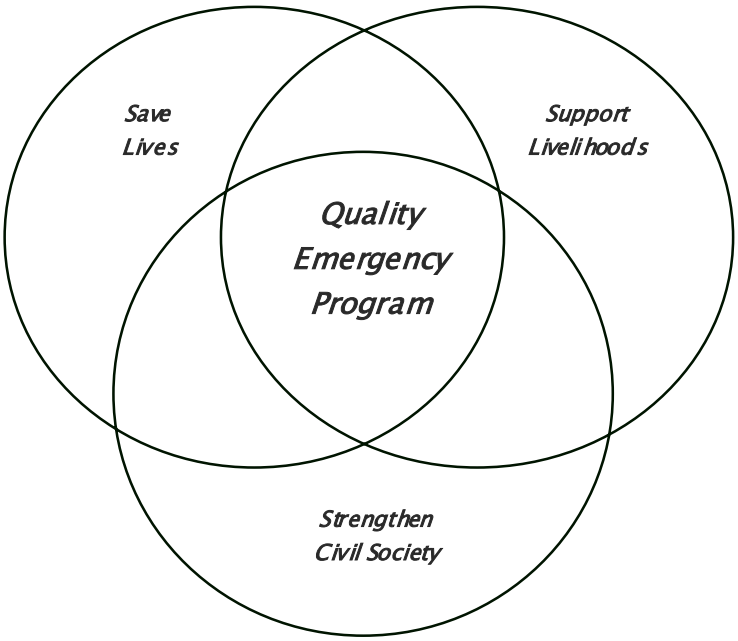
A discussion on what CRS considers the building blocks for quality emergency programming, conceptual frameworks, emergency standards, the project cycle, and basic project design.

General Background on CRS Emergency Preparedness & Response 2.1

CRS works in collaboration with local and international partners to provide the most effective emergency services possible. High quality systems, standards and staffing are a means to this end. From the very beginning of an emergency, CRS and partners should strive to meet immediate needs (saving lives), to support local coping mechanisms and livelihood systems (supporting livelihoods) and to assist the disaster-affected population to develop structures that will contribute to disaster prevention, mitigation and preparedness in the future (strengthening civil society). A balanced approach that integrates these three elements will contribute to an effective emergency response.

An **operational framework,** such as the one illustrated below, assists country programs to think long term while addressing immediate needs. This operational framework helps programs to approach emergency operations from a development and justice perspective, i.e., to design emergency response programs that build on the capacities and coping mechanisms of the affected population, contribute to a quick return to livelihood supporting activities, and strengthen civil society organizations as much as possible from the very beginning. Particular emphasis is placed on addressing root causes and transforming – not recreating – conditions of poverty and high vulnerability.

Figure 2.1



2.1.1 CRS Emergency Preparedness & Response Program Quality Statements and Technical Core Competencies

CRS promotes principles-led programming. That is to say, CRS has developed quality statements and principles for all program areas and themes. Quality statements are descriptions of programmatic excellence in CRS core competencies and cross-cutting themes of peacebuilding, partnership and gender. Each quality statement consists of a vision of what programs seek to achieve in the long-term and a set of guiding principles for our work in a given sector (Agriculture, Education, Health) or theme (Peacebuilding, Gender, Partnership). Quality statements for emergency preparedness and response can be found in Annex E.

CRS also recognizes that excellence in program quality requires focus in terms of technical capacity. CRS emergency programs are designed to meet the specific needs of disaster affected populations. This can mean a wide variety of interventions, from food to shelter to clothing and education materials. CRS' commitment to program quality, however, promotes a focus on certain key areas of intervention for which the agency will commit resources to improving our technical capacity. For emergency programming, CRS has four overseas **technical core competencies** as described below. The CRS Emergency Response Team focuses its work on providing technical assistance and developing guidance, tools, and training modules to support excellence of CRS programming in these areas.

Food and Non-Food Programming

This refers to the provision of food and non-food items. This categorization recognizes that food and non-food programming require a range of skills, including but certainly not limited to the logistics of ordering, storing and distributing commodities. Staff involved in the design of food and non-food distribution programs should have strong backgrounds in areas ranging as broadly as food security to the details of internationally accepted technical standards for determining ration size and composition, number of jerry cans per family, contents of hygiene kits, etc.

Public Nutrition

This sector refers to CRS general distribution and supplementary feeding programs and what is known as Public Nutrition, that is, a broad-based problem-solving approach to addressing nutritional problems of populations or communities. In contrast to clinical nutrition, the emphasis is shifted from the individual to the population level, and from a narrow set of technical interventions to a wide range of strategies, policies and programs to combat malnutrition.

Public Nutrition recognizes that food insecurity is only one of the determinants of malnutrition in emergencies, and interventions need to address both the health and social environment to have an impact on malnutrition. A Public Nutrition approach makes explicit the impact of the political, economic and health environment on a family's ability to care for its members and itself. This approach requires that a context-specific analysis of the types and causes of malnutrition form the basis of decision-making at all stages of the planning cycles including planning and designing programs, implementation, monitoring and evaluation. This sector directly supports CRS activities in general feeding as well as supplementary feeding. CRS will not develop a core competency in therapeutic feeding which is considered a medical intervention.

Preventive Health Care

In general, this sector focuses on basic preventive health care interventions including the control and treatment of diarrheal diseases, treatment for acute respiratory infection, treatment and prevention of malaria, and an expanded immunization program. Ante- and post-partum care, safe delivery, and the promotion of breastfeeding are other recommended activities. In addition, CRS work in this area could support interventions that address mental health issues such as trauma and violence against women. These activities represent those of typical CRS Mother-Child Health and Child Survival programs as well as those activities often carried out by our local Caritas counterparts. However, additional work remains to be done to further define and refine CRS work in this sector.

Agriculture Recovery

This sector can be characterized as a process for which the main aim is to reestablish components of farming systems disturbed by disasters. This includes the planning, implementation and monitoring of interventions in bio-physical aspects (seeds fairs, restocking of livestock, animal husbandry, farming practices, farming environment, land husbandry) as well as in the socio-economics aspects (provision of tools, marketing of agriculture production, gender issues).

These technical core competencies were selected by participants in the December 1999 Emergency Preparedness & Response Program Quality Summit based on the following criteria.

- The relationship of the core competencies to the fulfillment of the CRS vision and quality statements for CRS emergency programs
- Agency expertise
- Current CRS partner expertise

- Complementarity of the selected core competencies themselves (e.g. mutually supportive activities that address morbidity and mortality in emergencies), and
- CRS activities versus those of other NGOs and UN agencies (e.g. CRS' particular value-added in a particular sector)

These core competencies do not exclude CRS involvement in other sectors, such as shelter, education, or psycho-social programming, if assessments identify these as priority needs for the affected population and country program staff have the requisite technical expertise. Moreover, it should be understood that the definition of high quality programming in the above sectors includes the integration of justice analyses and the agency's cross-cutting themes.

Excellence in emergency response program quality is achieved when the above elements are of high quality and are fully integrated into an agency-wide response. However, it is recognized that not all of the listed elements would necessarily be included in every emergency response at the onset but may be included over time or after the most immediate needs have been met. Overall, the response must be tailored to the specific operating context, both in the affected country and, in the case of elements such as advocacy and global solidarity, in the United States.

Emergency Preparedness & Response Program Quality 2.2

2.2.1 Building Blocks for Emergency Program Quality

CRS is dedicated to providing the highest quality relief services possible. This can be achieved when the affected country program and the various headquarters departments involved work together effectively. Figure 2.2. illustrates the key building blocks for excellence in CRS emergency programming from an agency-wide perspective. With the understanding that there may exist external factors beyond our control that affect program quality, the building blocks identified are clearly within our control. Capacity building in these areas should be the focus of our attention both in emergency and non-emergency situations. Below is a brief explanation of each building block.

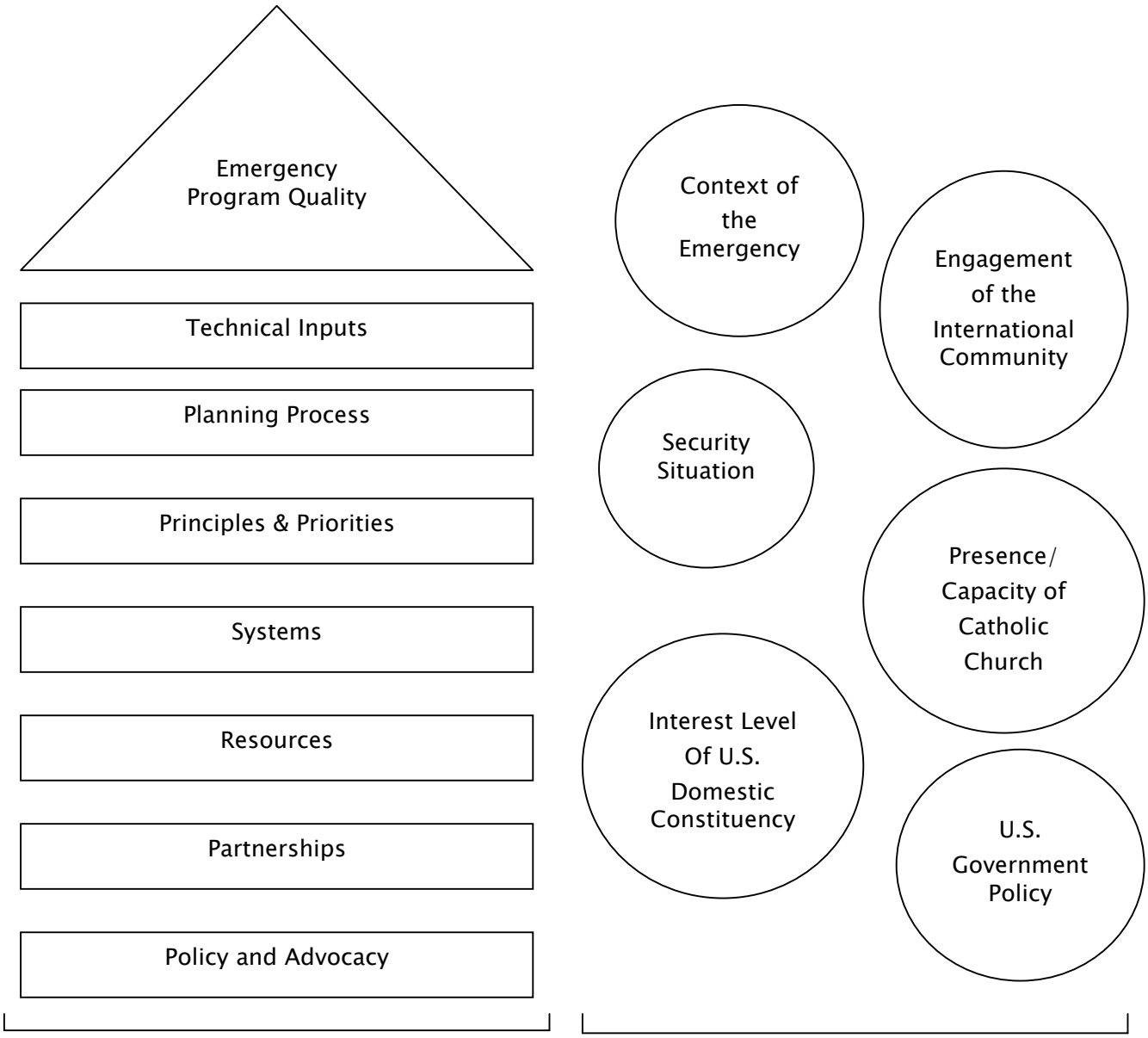
Technical inputs refer to the human, material and financial resources that contribute to programs that are technically sound and demonstrate best practices in the sector. They are generally most effectively applied within a framework for critical thinking and decision making such as a "results" oriented **planning process.** The planning process is on-going and, in an emergency context, the elements in the planning cycle need to be adapted according to the phase of an emergency as per the Figure 2.6 of the Emergency Project Cycle.

CRS **principles and priorities** are fundamental to what we choose to be about at CRS. Before any planning takes place it is important that there is clarity about CRS priorities. CRS has historically undertaken a variety of program activities. These should be selected based on the agency's organizational capacity to support high quality programs. CRS also has a commitment to the principles of Catholic Social Teaching and related cross cutting themes, with the most recent emphasis on solidarity and peacebuilding.

Effective **systems** support the other elements contributing to program quality. When the need for functioning systems is frustrated, staff find it difficult to attend to other factors essential to program quality. Excellent emergency programs require effective human resources, finance, logistics, and procurement systems to support program implementation.

Resources are essential to support all of the elements above them. Links with the larger international community and the U.S. domestic constituency and issues beyond program

Figure 2.2 **Building Blocks for Emergency Program Quality**



quality have a significant impact on the resources available. Additional information on various resources available to CRS emergency programs can be found in Section 3.

Partnership is a very important concept for CRS and an integral element of CRS emergency programming. The vast majority of CRS work in emergencies is conducted in close collaboration with partners, from local and international Caritas agencies to other NGOs and UN agencies. Partnership principles for CRS can be found on the CRS intranet site (*Overops>PQSD> Partnership*).

Policy and Advocacy inform us of what the agency and/or the United States Catholic Conference of Bishops (USCCB) thinks about a particular issue. Policy and advocacy exist at both strategic and operational levels. For example, the Program Quality and Support Department is concerned with operational policy issues such as the existing Policy on the Procurement, Distribution and Use of Milk Products and Infant Feeding Equipment in Field Programs. The Policy and Strategic Issues Division at CRS headquarters has primary responsibility for issues-related policy formation in CRS.

Humanitarian action touches every department, unit and individual in CRS from direct work responsibilities to the individual desire to assist disaster-affected populations. Improving the agency's overall humanitarian action capacity requires an agency-wide effort. To this end, the Emergency Response Team developed the **SHARP (Strategic Humanitarian Response Plan**). The SHARP is a strategic action plan for the entire agency that provides the road map and sign posts to achieve high quality CRS humanitarian response, contributing to the agency's visionary direction for becoming a more agile and innovative organization. Utilizing a systems approach, it identifies strategic objectives, responsible parties and measurable benchmarks, thus engaging all levels of leadership throughout the agency in a process designed to sustain profound positive change in how CRS operates in humanitarian crises. Updates on progress made towards the SHARP objectives are reported on a quarterly basis to the Executive Management Team. The SHARP can be viewed on the CRS intranet (*Overseas Operations>PQSD>Emergency Response*).

2.2.2 The Big Picture: The Relief-Development Link

CRS works in both relief and development settings. Relief and development are not easily separated categories; there is endless interplay between the two over time. Risks to livelihoods exist at all levels, national to community to individual household. A wealthy country or a wealthy family can be devastated by a disaster as can a poorer country or a poor family. The link between relief and development lies in understanding the nature of risk and working to reduce vulnerability to risk while supporting local capacities to cope and be resilient to shocks over time. By understanding the vulnerability context of the communities we serve, we are better placed to accurately identify activities that, in non-emergency times, will contribute to reducing risks to livelihood systems and, in emergency

times, will assist to understand the root causes of the vulnerability of the disaster-affected population which, in turn, will contribute to a developmental relief approach. One way to ensure that all CRS programs, be they in relief or development settings, consider concepts of vulnerability and risk is by viewing all of our activities through a **risk reduction lens**.

Figure 2.3 The Risk Reduction Lens

IRFC World Disasters Report, 2002

By insisting that our program managers view all of their activities through a risk reduction lens, we change fundamentally the way we plan. Considering risks to the population we serve as a critical aspect of program design leads to a recognition that risks exist for all people and that both relief and development interventions of CRS should contribute to reducing vulnerability and building resilience to risk over time.

2.2.3 Conceptual Frameworks for Emergencies

Conceptual frameworks are *analytical tools* that help to explain the cause-effect relationships among complex variables. They assist us to understand the livelihood systems of the poor which in turn enables us to understand the root causes of problems when they arise.

The CRS strategy map highlights as an agency priority the objective to "build local capacity to improve integral human development and people's environments." At the time of

publication of this handbook, CRS is in the process of developing a holistic conceptual framework to assist us to understand the key elements and interrelationships that contribute to improved integral human development. The development community as a whole has been moving towards the use of livelihood security frameworks to provide a holistic understanding of the many aspects of development for households and communities.

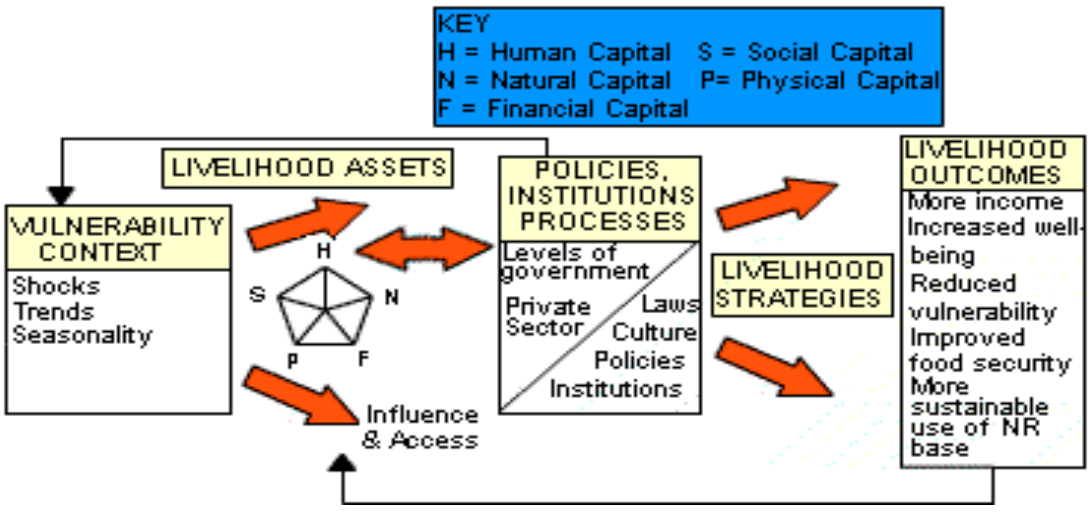
To illustrate such a conceptual framework, we take the example of the sustainable livelihoods framework developed by DFID (UK Department for International Development) as described in Learning about Livelihoods: Insights from Southern Africa (2002). The definition of livelihood used by DFID is:

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

The DFID framework sets out to conceptualize:

- How people operate within a vulnerability context that is shaped by different factors – shifting seasonal constraints (and opportunities), economic shocks and longer-term trends.
- How they draw on different types of livelihood assets or capital in different combinations which are influenced by:
- The vulnerability context
- A range of institutions and processes
- How they use their asset base to develop a range of livelihood strategies to achieve desired livelihood outcomes

Figure 2.4 **DFID Sustainable Livelihood Framework**



The arrows in the framework try to show how the different elements interrelate and influence one another. The framework is informed by certain core concepts:

- It is people-centered in the sense that it advocates that:
- Development policy and a practice should flow from an understanding of the poor and their livelihoods strategies
- The poor should directly contribute to determining development priorities and be able to influence the institutions and process that impact on their lives
- It is holistic in that the framework encourages analysis that cuts across different sectors and recognizes a range of actors and influences as well as multiple livelihood strategies and outcomes.
- It is dynamic in that it tries to understand change over time and the complex interplay between different factors
- It starts from an analysis of strengths rather than needs and problems
- It looks for and makes the linkages between "micro" and "macro" levels
- It is concerned with sustainability in all its dimensions – social, economic, institutional, and ecological

Why is a conceptual framework important for CRS emergency programs?

For emergency project design and implementation, conceptual frameworks are crucial for analyzing the core problem(s) and immediate and underlying causes, and for developing appropriate programming responses to meet the immediate needs with the long-term perspective in mind. Without a clear and concise conceptual framework, the country program team risks collecting information in an emergency situation without a clear tool for analyzing it. At best, the team risks developing a misplaced intervention that may correspond little to the needs of the population and that wastes the resources of the donor and the community. At worst, the intervention may actually have a negative effect on populations as it undermines traditional practices or causes local communities to invest their scarce resources in activities that are not viable. Conversely, the proper use of a conceptual framework will ensure that a thorough analysis is conducted and that interrelationships between key variables are identified. This will help to identify the most appropriate interventions to address the problem, getting at root causes whenever possible to contribute to long term solutions.

Saving Lives, Supporting Livelihoods

As stated in section 1, an emergency is defined as "An extraordinary situation, present or imminent, in which there are serious and immediate threats to human life, dignity and livelihoods due to natural or human-made disasters." The overriding concern in emergency situations is to save lives, while at the same time to support livelihoods. Simply stated, the

immediate goal in an emergency situation is to ensure that affected populations are able to live with dignity, without compromising their future livelihoods.

This concept is not unique to emergency situations, but is more acute as the threats to life are immediate. In addition, the concepts of saving lives, protecting human dignity and supporting livelihoods are central to CRS' mission and vision. CRS' commitment to justice calls upon all members of the human family to engage in "right relationships" that protect and preserve human dignity. In order to protect human dignity, households need to have access to basic human needs (food, water, shelter, health, income) and need to be safe (i.e., personal security); consequently, they engage in a variety of mechanisms to ensure their survival. Emergency situations directly threaten this survival. In emergency situations, the lack of basic needs is often the greatest threat to life, in addition to personal insecurity. At the same time, CRS' commitment to justice engages us to dig underneath the surface of immediate needs to identify the underlying causes of injustice. A conceptual framework such as the livelihoods framework discussed above provides clues as to the linkages between the micro- and macro-levels, between the policies, institutions and processes that affect individual households' livelihood assets and livelihood strategies.

What is Food Security? Definition and Components of the Framework

Until CRS develops its own holistic conceptual framework to define integrated human development, it is helpful in many situations to utilize a food security framework to analyze problems. While the livelihood security framework described above helps us to understand the bigger picture, a food security framework can assist us to analyze basic needs in emergency situations. In broad terms, food security is defined that "all people, at all times, have the necessary physical and economic access to sufficient food and water to meet their dietary needs necessary for a productive and healthy life today, and the good health to use that food properly, without sacrificing future food security." In other words, the food-insecure individual or household does not consume sufficient quantity (or quality) food or water to survive; or, if there is sufficient food, the individual does not have the good health to use it properly.

Most agencies, including CRS, recognize that achieving food security requires that sufficient quantities of food are *available*; that households have physical and economic *access* to it, and that individuals are able to *use* it properly. In order to achieve food security, the household must use a variety of mechanisms to acquire food and to ensure the good health to use it properly. Thus, food security not only requires food production, but also income, health, water, education, shelter, peace and access to basic services. This is the combination of mechanisms that the household uses to acquire food (purchase, production, trade, gifts) and to use it properly.

In terms of **availability** of food, this is influenced by important underlying determinants, such as the land (including size of plots, fertility of the soil and access to land); labor; and farm inputs (tractors, hoes, etc). These, in turn, are influenced by factors such as a farmer's health status (which affects productivity), income and access to credit (which affects the ability to purchase inputs), and the education levels of farmers (which affects productivity). And finally, these factors are influenced by basic social, political and natural factors, including access to markets, peace and stability, government policies and the natural environment.

If households are unable to produce sufficient food to meet their needs, households will need to purchase food – in other words, **access**. Access to food depends upon a household's or individual's level of income, the local food prices, and the presence of foods on the market. Access to food is immediately affected by an individual's income-generating activities and salaries (or prices) for such activities. These are influenced by factors such as land, labor and access to credit. These, in turn, are influenced by determinants such as the health of labor, access to credit and education levels. And finally, these are influenced by basic determinants, including access to markets, peace and stability, government policies, the natural environment, income, roads, health practices, and access to potable water. These determinants are influenced by a host of political, economic and social factors, including access to resources, war and government policies.

Importantly, even those who might have sufficient availability of and access to food need proper **utilization** (or health). Utilization can be inhibited by diseases that either prohibit absorption (diarrhea) or affect appetite (such as malaria, HIV/AIDS and tuberculosis). The utilization of food (or health) is immediately affected by child care practices, the health environment and access to basic health services.

How can the Food Security Framework be Used in Emergency Situations? Tools for Analysis

The food security framework can be used during the immediate stages to guide the initial assessment and as an analysis tool. It is during this stage that CRS and partner staff need to find information on the immediate threats to life (lack of access to basic needs), to identify the causes, and to develop responses. At the same time, the team also needs to ensure a holistic (as opposed to a sectoral) approach, in order to avoid missing a potentially important need.

A food security framework can therefore be used to answer the following questions in an emergency situation.

- Is access to basic needs (i.e, sufficient food, water, health care, shelter) a problem for the affected populations?

- If so, what is the severity of the problem?
- What are the immediate and underlying causes of the problem?
- Of these, what are the most important causes, or key leverage points?
- Are individuals engaged in activities that might compromise their future food security?

Based upon this analysis, the emergency response team on the ground can highlight the most immediate concerns and design (with communities or partners) short-term interventions to meet the affected populations' needs while considering longer-term interventions that address underlying and basic causes.

Following the initial assessment and analysis, the food security assessment can be followed by more detailed sectoral assessments – such as agriculture, health, water/sanitation or shelter – if these were identified as priorities in the initial assessment. In addition, the results of the food security analysis can also be used to identify and address structural and underlying causes of the emergency – such as conflict, government policies or environmental factors – that should be taken into consideration during rehabilitation activities.

Box 2.1

What is famine?

Famine is typically associated with a sharp deterioration in economic conditions, extreme social disruption, and some degree of excess mortality (Webb and Richardson, in Riely). Famine is distinguished by "episodic mass starvation" (Downing). [Famine is thus defined] as "an extreme collapse in local availability and access to food that causes a widespread rise in mortality from outright starvation or hunger related illnesses." [This understanding is] shaped by the following famine concepts (Field):

- *Famine is a process*, a slow-onset phenomenon, the cumulative result of weakening access to food. It is a process of stress and destitution that *can* result in a famine outcome.
- *Famine conditions* are reached when destitution (the involuntary disposal of productive assets) occurs, often culminating in distress migration.
- *Famine is an outcome* that accompanies destitution or follows destitution. It is the final, but not inevitable, stage of the famine process in which people starve, suffer disease, and die in unusually large numbers.

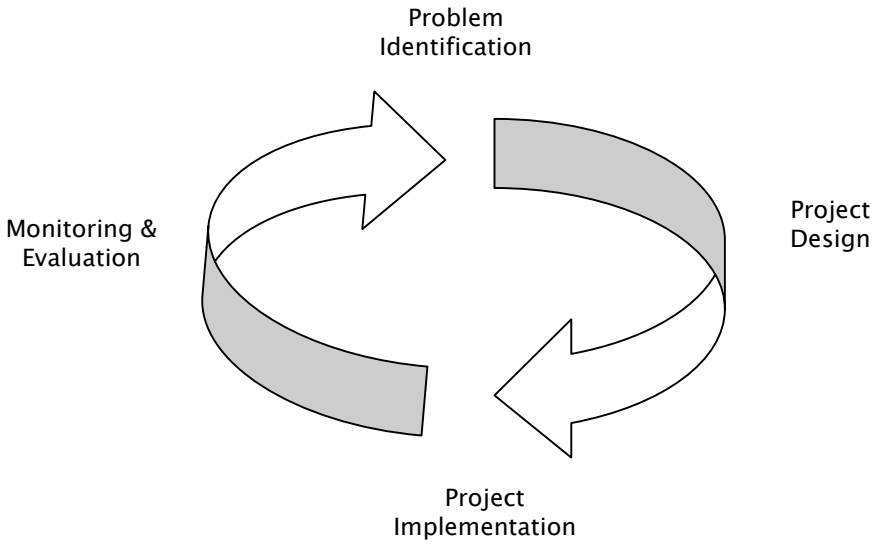
These famine concepts have several significant consequences. First, the potential for famine and the incidence of past famines can be measured, studied, and diagnosed. Second, programs and policies can be developed to reduce the frequency of famines (prevention) and reduce the impact of famine conditions (mitigation) when they occur. Third, early warnings can often be issued far in advance so that responses can be made in time.

(FEWS-Famine Early Warning System, www.fews.net)

2.2.4 The Project Cycle

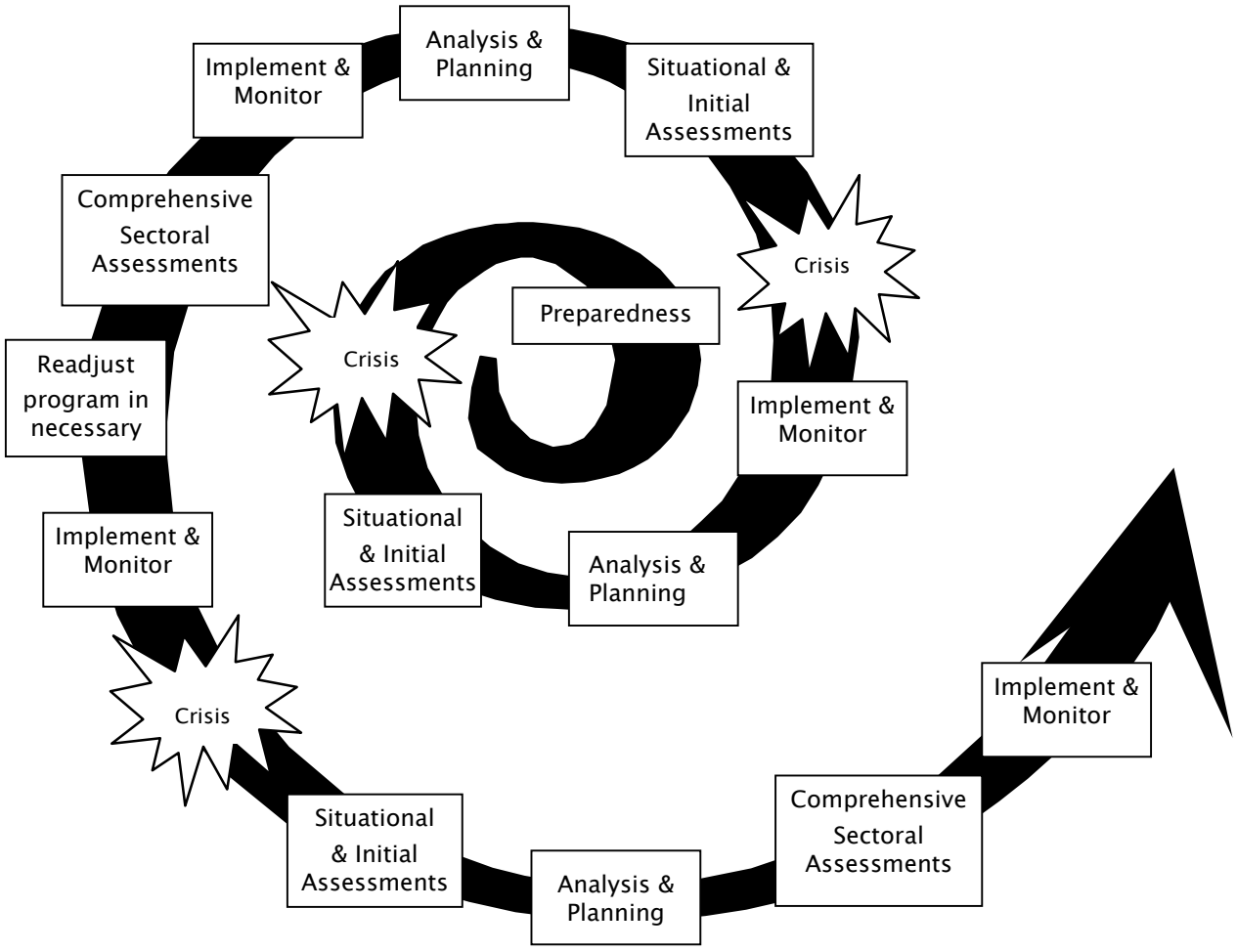
As in a development environment, emergency projects follow several steps that over time complete a project cycle. Below is an illustration of the classic project cycle.

Figure 2.5 The Project Cycle



Because of rapidly of changing events in emergencies, programs may need to shift back and forth along the project cycle. It may be more helpful to think of the project cycle as a spiral in which crisis events may occur throughout the life of a project (or an entire emergency response program for that matter). To ensure that activities are meeting priority needs it is essential to regularly reassess and adjust projects as necessary. This requires close monitoring and more flexibility than in most development situations. The illustration on the following page depicts an emergency project cycle in which the project experiences periods of regular implementation punctuated by crises that necessitate a re-assessment of needs and possibly adjustment of project activities.

Figure 2.6 Emergency Project Cycle



Particular aspects of an emergency, whether it is in an acute initial phase or in a chronic yet fairly stable phase, provide cues to what kind of programming priorities and methodologies are most appropriate. Similar to development projects, each step in the cycle builds upon the next, hence the importance of the pre-emergency phase (preparedness) in the ability to respond quickly and effectively to an emergency event, conducting and documenting thorough needs assessments, and establishing strong systems from the very beginning.

2.2.5 Project Design

2.2.5.1 Assessment

Box 2.2

Sphere Handbook Analysis Standards

Taking the sector of food aid and logistics from the Sphere Handbook, there are three analysis standards we should seek to achieve.

Analysis Standard 1: Initial Assessment
Before any program decisions are made, there is a demonstrated understanding of the basic conditions that create risk of food insecurity and the need for food aid.

Analysis standard 2: Monitoring and Evaluation
The performance and effectiveness of the food aid program and changes in the context are monitored and evaluated.

Analysis standard 3: Participation
The disaster-affected population has the opportunity to participate in the design and implementation of the assistance program.

Key indicators (including the essential elements of an assessment) and guidance notes on each of these standards can be found in the Sphere Handbook.

Assessment is the foundation of planning. It includes data collection and analysis and is an on-going process. Different assessment methodologies and tools are appropriate depending on the phase of an emergency and the priority goals. For example, there is a difference between background information collected prior to an emergency, the situational and initial assessments in the first few days after a disaster event, and the use of credible sampling methodologies in a survey conducted a few weeks into an emergency. Planning in advance to the extent possible can save time. Flexibility and on-going reassessment, however, is particularly important in situations of flux.

As illustrated in Figure 2.6, after a disaster event has occurred it is important to conduct a **situational assessment** in order to have enough information to make key decisions regarding the nature of the emergency such as whether it is life threatening or will require external assistance. The results of a situational assessment determine whether more information is needed and an **initial needs assessment** should be conducted. At this point the most important information needed is demographic (who, how many in total, how many women and children) and descriptive (what has happened, are populations moving, what are their basic life saving needs, what is the security situation, etc.). As the initial response is implemented and begins to function more smoothly, it is important to continue to **reassess** the situation and make adjustments in programming as necessary. Furthermore, as a situation stabilizes and more information can be collected, it is important to conduct **comprehensive sectoral assessments** to provide information on possible project design adjustments that will

contribute not only to saving lives, but whenever possible, support livelihoods and a return to stability.

A good assessment will contribute to sound analysis and subsequently to accurate problem identification. While there is a need for speed in acute disasters, this must be balanced with a thorough assessment and careful analysis to ensure that the problem and its root causes have been accurately identified and a project has been designed to effectively address both short and long term needs. When this process is not conducted correctly there is a significant risk of misidentifying needs, capacities and vulnerabilities of the disaster-affected population and potentially doing more harm than good. Program quality for CRS requires quality assessment and analysis.

The CRS Project Proposal Guidance (PPG) provides more detailed information on problem identification (see the reference pages below). The Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response provides information on key elements of assessment and analysis for five sectors (food aid, nutrition, health, shelter and site planning, and water/sanitation). An example is presented in Box 2.2. In addition, CRS will publish an Emergency Assessment Manual in early 2003 to provide more guidance.

2.2.5.2 Goals, Objectives, Indicators

The formulation of the **goal** provides the framework for the **plan**. Goals are broad descriptions of what is to be accomplished. **Objectives** are precise statements indicating what is needed to achieve the goals, and are stated in terms of measurable indicators. An **indicator** is a measurable variable about something (data) that can be collected to assess a situation. The best indicators are those which are most predictive of a situation or factors known to influence a situation (see the table on the following page for examples). For additional information on goals, objectives and indicators see the reference listed below for the CRS Project Proposal Guidance.

Objectives and their associated indicators must demonstrate knowledge of existing internationally accepted **technical standards** for disaster relief. When standards cannot be met, due to resource limitations or lack of access to the affected population for example, this should be stated explicitly either in the project text and/or in subsequent monitoring reports. Box 2.3 on the following page illustrates an example of a standard and key indicators for food aid requirements found in the Sphere Project handbook.

As a rule, emergency programs should evolve from immediate to longer-term objectives. Prior to an emergency event, especially those slow-onset events that can be relatively easily predicted such as drought, programs should initiate preparedness activities. Prevention of harm and preservation of local capacities should take precedence in all but life threatening

situations in which these have failed. In this case, responding to acute needs of the population in general, and then to acute needs of individuals, takes precedence. Activities that promote development should be integrated into programs as the acute phase begins to stabilize. In ongoing development programs, activities to promote preparedness and mitigation should be considered for the most likely disaster scenarios in a given context.

Box 2.3 Food Aid Standard and Key Indicators

Food Aid Requirements Standard:	Key Indicators:
The food basket and rations are designed to bridge the gap between the affected population's requirements and their own food resources	Requirements are based on the following WHO initial planning estimates: 2,100 kcals per person per day 10-12% of total energy is provided by protein 17% of total energy is provided from fat Adequate micronutrient intake through fresh or fortified foods Estimates of people's food and income sources include consideration of: Market and income opportunities. Foraging and wild food potential. Agricultural seasons and access to productive assets. Sources of income and coping strategies. Ration scales include consideration of: General nutritional requirements. Specific needs of vulnerable groups. Access to alternative sources of food and/or income. Commodity selection includes consideration of: Local availability and market impact. Local acceptability and preparation. Fitness and nutritional composition. Fuel requirements for cooking. Other nutritional factors. The Sphere Handbook, 2000

2.2.5.3 Targeting and Selection Criteria

It is essential to establish selection criteria to properly identify groups at risk. Criteria may be based on need or on geographic or sectoral considerations. In addition, a decision for CRS to intervene depends on whether there is a particular value-added for a CRS intervention to assist this group or if there is value-added for a CRS partner to get involved. Examples of "value-added" could include CRS and/or partner expertise in the needed sector or CRS and/or partner responsibility to respond to needs in the affected geographic area.

There are several ways to define selection criteria and identify the target population. These should be developed with a deep understanding of the local context, social relations, understanding of underlying causes (justice analysis), and a clear understanding of our objectives – what are we trying to promote (better hygiene practices) or prevent (malnutrition). It is very important to ensure that there is clear understanding, if not agreement, on the part of the local partner, donors, population, local officials, etc. regarding who the project will target and the selection criteria. Assumptions should not be made that local leaders will target those considered most vulnerable by outsiders. Coming to an agreement on targeting with all concerned may be time consuming up front, but in the long run it will pay off by ensuring the most vulnerable are assisted.

It is important to ask the questions "Who is at risk and why?" and "Who is vulnerable to what?" The lack of a clear analysis of who is at risk and why is one of the main reasons for poorly targeted projects. The problem is often not a lack of information; rather it is the inadequacy of the subsequent analysis because of a lack of conceptual thinking. For example, it is important at the very earliest of stages of an emergency response to keep in mind the saving lives-supporting livelihoods-strengthening civil society approach as an overall operational framework.

When the question of what we are trying to achieve is answered (Is it a decrease in malnutrition rates? Protection of livelihood assets?), we can then look at the kind of targeting needed. For food aid, for example, we generally look at targeting using nutritional status or general food deficits in a given area. Once it is clear what our objectives are, targeting can then be narrowed further to particular groups or households or individuals within those groups. For example, the targeted population could be families hosting refugees or internally displaced persons or the elderly within a particular community. In some situations, local community organizations representing the affected population can be given the resources and they select who receives them.

Box 2.4

Criteria for targeting different types of vulnerability

Beneficiaries are identified according to certain criteria. These criteria should relate to the nature of vulnerability that is being addressed by the intervention. The criteria may be a categorization according to status: refugee/non-refugee; displaced/non-displaced; a cut-off on a continuous scale of measurement (nutritional status, degree of food deficit); or a combination of criteria (socially vulnerable groups within a refugee population).

Vulnerability	Targeting Criteria
Physiological	Nutritional (anthropometric) status to identify malnourished children and even sometimes adults. Pregnant and lactating women, the elderly, the sick and convalescent.
Social	The elderly, widows, women-headed households, orphans, unaccompanied minors, the disabled, households who have been separated from their communities and normal representatives.
Economic	Depends on the underlying cause of food insecurity, but may include the drought affected (farmers, pastoralists, landless laborers, etc. who are affected by crop failure, livestock losses, unfavorable terms of trade, unemployment, etc.) and the displaced who have been separated from their economic means of survival. Alternatively, levels of food deficit may be calculated and communities prioritized for distribution accordingly. Economic shock.
Political	Refugees and those communities exposed to violence, oppression, conflict and war. Within communities the question of political vulnerability is much harder to assess.

Jaspars, S and Young, H, 1995

Another strategy commonly known as general distribution or blanket feeding targets all households in a geographic area or targets an entire population in a refugee camp. Targeting can also change over time depending on the type of emergency and the stage it is in. For example, even refugee populations can over time develop new ways of accessing income or food thus decreasing their reliance on external food sources. Box 2.4 provides some categories for defining vulnerability and the associated targeting criteria.

Depending on the situation, targeting may be necessary within vulnerable groups. For example, if an assessment determines that a general food ration is most appropriate, further investigation may indicate that within the general targeted group, there are variations that require further targeting. If there is a wide discrepancy among the sizes of families, it may make sense to distribute various ration sizes according to family size. Or, if

there are particularly high levels of malnutrition amongst children under two years of age, a supplementary feeding program may be appropriate.

A gender analysis that identifies power and status relationships, coupled with the project's objectives, will contribute to identification of target groups and selection criteria. It will also provide key information regarding implementation strategies. For example, a food aid program for displaced persons may target pregnant and lactating women with nutrient-rich food supplements. A thorough gender analysis will also provide information to help determine the most appropriate distribution location and schedule. Distribution systems should seek to minimize the burden that is often placed on women to collect commodities in addition to their other household responsibilities.

2.2.5.4 Implementation

Once the goal, objectives, targeting, and indicators have been identified, the plan for **implementation** should be developed. All emergency project proposals should include a detailed **implementation schedule** or calendar of activities. This is a key aspect of project design that must not be overlooked. In completing an implementation schedule many small but critical details that may have been previously overlooked become apparent. Moreover, completion of implementation schedules helps to ensure the logical sequencing of activities.

2.2.5.5 Monitoring and Evaluation

Finally, monitoring and evaluation (M&E) should be considered throughout the program design phase as well as the life of the program. Well planned and implemented M&E is critical to ensure that program activities remain appropriate and effective during the program implementation.

Evaluations, whether real-time, mid-term, or final, provide managers and program beneficiaries with an understanding of whether the program has achieved its objectives. One source of additional information on M&E in emergencies is ALNAP, an active learning network based in London. ALNAP provides excellent and detailed information on the specifics of monitoring and evaluation for humanitarian action. These materials can be found on their website (www.alnap.org) or on the CRS intranet (*Overseas Operations>PQSD>Emergency Response>Resources).*

The purpose of **monitoring** is to:

- determine whether the situation is improving/deteriorating.
- determine whether the action is effective and what adjustments are needed.

In crisis or very unstable contexts, re-establishing the baseline picture is frequently required (e.g., an area/a group of people become newly accessible, a situation changed dramatically, information is required in greater depth) to the point that assessments begin to merge with monitoring activity.

The purpose of **evaluation** is to:

- assess the factors affecting the level and distribution of benefits produced
- determine whether programmes are relevant to a changed context
- recheck relevance of goals and strategy and assess results
- check on unintended impacts of the project (do no harm)

The distinction between the monitoring process and evaluation blurs in a crisis/unstable context. Given the rapid changes, it is necessary to "stop" more often and reappraise programmes in terms of changes in context, efficiency and effectiveness, the relevance of goals/strategy, unintended impacts ("do no harm" principle).

UNICEF, March 2001

Box 2.5

Additional Resources

1. CRS Project Proposal Guidance
   - Project Design
   - Gender Analysis
   - Implementation Schedule
   - Problem Identification and Analysis
   - Problem Trees
2. Sphere Project Handbook
3. Refugee Health: An Approach to Emergency Situations, Médecins Sans Frontières
4. UNHCR/WFP Guidelines for Estimating Food and Nutritional Needs in Emergencies
5. UNHCR/WFP Guidelines for Selective Feeding Programmes in Emergency Situations
6. UNHCR Framework for People Oriented Planning
7. WHO Selected Essential Medicines for Emergencies
8. CRS Policy on the Procurement, Distribution and Use of Milk Products and Infant Feeding Equipment in Emergencies
9. ALNAP Training Modules for Evaluation of Humanitarian Action (www.alnap.org)

See Bibliography for details.

CRS Emergency Projects: Funding, Review, Headquarters Support 3

In this section you will find information on the following topics

3.1 Funding Sources

A description of major funding sources for emergency programs

3.2 Project Review and Funding Process

How CRS reviews emergency proposals submitted for private CRS funding

3.3 Emergency Response Working Group

A description of how support is coordinated in CRS headquarters for emergency programs

Funding Sources 3.1

3.1.1 CRS Private Resources

There are three sources of private funds for emergency programs apart from those regularly programmed in Annual Program Plans. It is critical that the most restricted fund sources are the first to be spent down.

Regional Funds

Funds managed by the region are available for emergency use at the discretion of the Regional Director. ERT review is not a prerequisite for application of regional funds for emergency response.

O'Neil Funds

The W. O'Neil Foundation, Inc. has specified that their contribution to CRS go to the immediate and direct relief of people affected by natural disaster or complex emergencies for the provision of immediate, life saving basic necessities for low-margin-of error-projects through the provision of food, non-food items, medical care and temporary shelter.

These funds may not be used for administrative overhead unless such costs result in a substantial multiplier effect. O'Neil funds may not be used for research, purchase of capital equipment, counseling or long-range programs.

The Emergency Reserve of the Overseas Operations Reserve

Funds from OverOps Reserve are available to fund an emergency response when: 1) restricted funding is not available at the time funds are required prior to donations coming in to Fundraising; 2) when regional funds are not available to cover project costs; 3) no other resources are available for the response. These funds are generally used for supporting emergency activities that do not meet O'Neil Fund criteria.

In-kind Donations

In-kind donations are often the manifestation of a desire to support disaster-affected populations with goods that are thought to be helpful. Unfortunately, in-kind donations do not always effectively respond to needs. It is imperative that country programs responding to disasters clarify explicitly which in-kind items would be most useful in an emergency response. It is also very important that issues related to transport and importation requirements be carefully considered long before items are collected. More detailed

guidance for appropriate giving can be found on the InterAction website (www.interaction.org).

3.1.2 Caritas Internationalis (CI)

The Secretariat's Operations Desk is responsible for launching the Special Operational Appeal (SOA) to the entire CI network. Once an emergency has occurred, and a member provides the following, the Operations Desk reviews the information and disseminates it to the membership at large as part of an SOA with details on the proposed emergency response and funding needs. In general, CRS tends to leave submission of SOAs to local Caritas organizations. In any case, CRS emergency programs planned for SOA submission are subject to the usual regional director approval and consultation with CRS/Baltimore.

Information needed to launch an SOA

1. Brief description of the cause of the disaster, the approximate number of people affected and the type of damage / problem (including newspaper articles and photos).
2. Measures taken by the Government, other governmental and non-governmental organizations (including Caritas) to mitigate the effects of the disaster
3. The number and type of beneficiaries (including selection criteria) that Caritas can reach effectively, the type of assistance to be provided, and the period during which the beneficiaries will be helped by Caritas.
4. Description of the procurement, storage, transportation and distribution of assistance (the needed personnel, vehicles, warehouse space etc. including costs associated with the distribution)
5. Information on how you will account for the resources and report on their use.
6. Coordination with other co- involved organizations (both Government and NG0s) in order to avoid duplication.
7. Evaluation of the program's effectiveness (optional).
8. Budget – the budget should quantify all the needed inputs (including administration related to the program which can be expressed as a percentage of the total program value, e.g. 5%). It should be in US dollars (giving the current exchange rate).
9. Bank account information – where to wire the members' contributions.

See Annex I for more information on CI's approach to and management structures for emergency programming.

3.1.3 USAID

Office of Foreign Disaster Assistance (OFDA)

The goal of OFDA supported activities is to meet the humanitarian needs of the affected population, with the aim of returning the population to self-sufficiency. OFDA provides humanitarian assistance in response to a declaration of a foreign disaster made by the U.S Ambassador or the U.S. Department of State. Once an event or situation is determined to require U.S. Government assistance, USAID/OFDA can immediately provide up to $25,000 to the U.S. Ambassador/USAID Mission to purchase relief supplies locally or give a contribution to a relief organization in the affected country (see 3.1.5 of this section). More importantly for CRS, OFDA is one of the largest donors worldwide for relief activities. OFDA provides millions of dollars to CRS emergency projects annually. In addition, OFDA can send its own relief commodities, such as plastic sheeting, blankets, tents, and water purification units, from one of its five stockpiles located in Italy, Guam, Honduras, and the United States.

Box 3.1

NICRA

CRS is allocated a NICRA (Negotiated Indirect Cost Rate Agreement) by the USG General Accounting Office. The NICRA for CRS is 27%. The NICRA rate applies to ALL USG-funded projects, including the Ambassador's Fund.

In calculating these rates, CRS' total direct cost base has been modified to exclude donated commodities and associated freight (including ocean, inland, and internal transport, storage and handling including packaging and reconstitution, survey fees, warehousing charges, and other warehousing fees), capital equipment in excess of **$5,000,** exchange fluctuations, and micro enterprise loans. Moreover, for rates from FY1999 going forward, the Base of Application also excludes fundraising and public awareness expenses (related to HQ Department costs). **Therefore, when calculating the indirect cost recovery amount to budget in federally funded awards, Departments and Country Offices must exclude these same costs from the total direct cost base to arrive at the effective NICRA application base.**

More information regarding NICRA can be found on the CRS Finance intranet site or by contacting the headquarters Finance Department.

Memo from CRS Overseas Finance. November 2. 2001

In addition to disaster response, USAID/OFDA's mitigation staff oversees a portfolio of projects designed to reduce the impact of disasters on victims and economic assets in disaster-prone countries.

CRS country program staff should make it a point to know the OFDA representatives in their region or country program and at OFDA headquarters in Washington, D.C. OFDA Proposal Guidelines (updated in 2002) can be found on the CRS emergency response intranet site (*Overseas Operations>PQSD> Emergency Response>Resources for Proposals>OFDA)* or on OFDA's website (www.usaid.gov/hum_response/ofda/).

Food for Peace/Emergency Response (FFP/ER)

USAID's Food for Peace Programs (Public Law 480) supports both humanitarian and sustainable development assistance in the form of U.S. agricultural commodities. The P.L. 480 program is operated jointly by the Department of Agriculture and USAID. Title II is managed by the Food for Peace office. Title II emergency food aid programs are targeted to vulnerable populations suffering from food insecurity as a result of natural disasters, civil conflict, or other crises. International Disaster Assistance funds are also used to improve the capacity of foreign nations to prepare and plan for disasters, mitigate their effect, and teach prevention techniques increasing the skills available locally to respond when disaster strikes. FFP/ER proposals are generally for one year or less.

FFP/ER Proposal Guidance (updated January 1999) can be found at the USAID website (http://www.usaid.gov/hum_response/ffp/emerg.html) or on the CRS emergency response intranet site (*Overseas Operations/PQSD/Emergency Response/Resources for Proposals/FFP/ER).*

FFP also funds transition activities to support populations in the move from emergency relief to development when the situation is complex and subject to fluctuation. A Transition Activity Proposal – **TAP** may be submitted when FFP identifies a country as eligible for transition support. TAP guidance can be found in Annex G of the FFP/ER guidance.

Office of Transition Initiatives (OTI)

USAID/OTI is the office within USAID responsible for providing assistance to countries that are in a stage of transition from crisis to recovery. Its assistance is designed to facilitate the transition to peace and democracy by aiding in the demobilization of combatants or developing democratic governance structures within the country. OTI's special interventions now includes complex emergencies, post-conflict scenarios, and the prevention of disaster.

Unsolicited Proposals

USAID encourages the submission of unsolicited proposals which contribute new ideas consistent with and contributing to the accomplishment of the Agency's objectives. However, the requirements for contractor resources are normally quite program specific and must be responsive to host country needs. Further, USAID's specific objectives are usually designed in collaboration with the cooperating country. These factors can limit both the need for and USAID's ability to use unsolicited proposals. Therefore, prospective offerers are encouraged to contact USAID to determine the Agency's technical and geographical requirements as related to the offerer's interests before preparing and submitting a formal unsolicited proposal.

USAID's policies regarding unsolicited proposals for grants and cooperative agreements are set forth in ADS 303.5. Contract Information Bulletin (CIB) 99-18 dated 9/28/99 sets forth

USAID's guidelines on submission of unsolicited proposals and procedures for responding to them that may result in the award of a contract, grant, or cooperative agreement.

3.1.4 US Department of State-Bureau for Population, Refugees, and Migration (BPRM)

BPRM provides multilateral grants to international relief organizations in response to refugee emergency appeals and contributes to the regular program budgets of organizations such as the U.N. High Commissioner for Refugees (UNHCR).

3.1.5 United States Embassies' Ambassador's Fund

As mentioned in 3.1.3 above, once an event or situation is determined to require U.S. Government assistance, USAID/OFDA can immediately provide up to $25,000 to the U.S. Ambassador/USAID Mission to purchase relief supplies locally or give a contribution to a relief organization in the affected country. The American Embassy in the country can also allocate emergency funding directly to CRS.

3.1.6 United States Department of Agriculture (USDA)

USDA does not have a particular mandate to respond to emergency programs, but will consider support when appropriate, especially through monetization. USDA is not a viable resource to respond to the acute stage of an emergency since they are not set up to respond quickly, but should rather be considered for slow onset emergency situations that do not involve famine, and for which longer term recovery efforts will be required. USDA funds, generally speaking, are more appropriate for transition and recovery activities.

3.1.7 European Commission Humanitarian Aid Office (ECHO)

CRS is currently eligible to receive direct funding from ECHO. While ECHO is reviewing the eligibility of CRS as a grantee (non-EU NGO vs. member of CI), CRS membership has been extended until December 2002. Country programs should consult with their regional teams in headquarters for an update on CRS status with ECHO if interested in pursuing funds from this donor source. Any application for ECHO funding **must be channeled through the Framework Partnership Agreement (FPA) signatory in headquarters to be considered for assistance** (currently, these should be sent to the Director of the Overseas Support Department and copied to the ERT/HQ).

Specific guidance for application for assistance from ECHO (updated July 2001) can be found on the CRS emergency response intranet site (*Overseas Operations>PQSD>Emergency Response>Resources for Proposals>ECHO).*

3.1.8 United Nations Agencies

There are several United Nations agencies that are directly operational themselves and/or support the work of non-governmental organizations in emergency situations. These agencies include the World Food Programme (WFP), the Food and Agriculture Organization (FAO), the United Nations High Commissioner for Refugees (UNHCR), the Office for the Coordination of Humanitarian Affairs (OCHA), and the World Health Organization (WHO). These and other UN agencies provide funding to NGOs for relief programs.

3.1.9 Other Donors

There are other donors interested in supporting emergency activities. Among donors who have funded CRS emergency programs in the past are the UK Department for International Development (DFID). Other governments may have emergency funding available to agencies such as CRS depending on the type of emergency, the region and CRS' work and partners in the area.

CRS Emergency Proposal Review and Funding Process 3.2

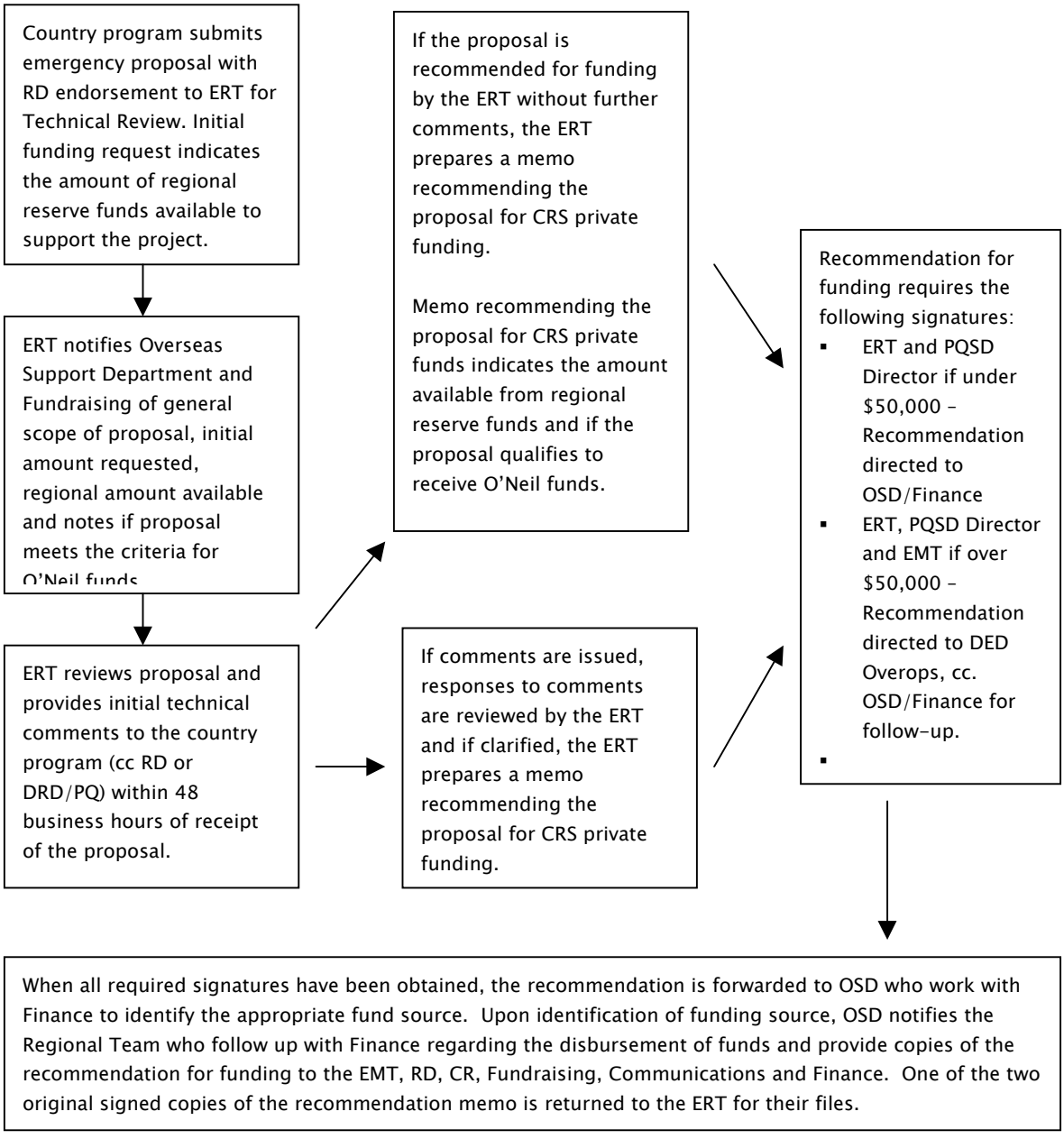
The ERT currently conducts technical reviews of proposals seeking private CRS resources from HQ. Technical reviews utilize the Technical Committee Review Format included in the Project Proposal Guidance as a basis for review, taking into consideration the scope and urgency of the emergency. Technical reviews for other funding sources should be reviewed according to the regional review system guidelines for emergency projects. ERT technical advisors will provide comments on proposals being submitted for USAID Food For Peace/OFDA, ECHO and other public funding upon request.

The ERT is committed to completing the initial technical review of a proposal for CRS private funds within 48 hours of receipt. After conducting the initial review (see Annex G for the technical review format), the ERT contacts the country program if there are any outstanding questions or concerns regarding the proposal. In most cases, there is an exchange of information between the ERT and the country program until all are satisfied with the quality of the proposal. This generally does not take more than one week, depending on the types of issues to be addressed. When the proposal completes the technical review, it can go down one of two paths. If the funds requested are less than US$50,000, the proposal goes to OSD where they work with Finance to identify fund availability and a funding source. OSD notifies the country program of this information.

If the funds requested total more than US$50,000, the proposal is sent to the Deputy Executive Director for Overseas Operations (DED Overops) for final approval. If approved, the DED Overops forwards the proposal to OSD and Finance for fund allocation. The diagram on the following page illustrates this process.

It is expected that responsibility for technical reviews will devolve to the regions as regional emergency structures are strengthened, especially with the creation of the CRS Emergency Corps in 2002.

Figure 3.1 **Emergency Proposal Review, Recommendation and Funding Procedure for CRS Private Funds**



Emergency Response Working Group 3.3

At the onset of an emergency, an Emergency Response Working Group (ERWG) meeting is convened by the ERT/HQ or, in their absence, by the Regional Team for the area in which the emergency is located.

The ERWG serves as a coordination forum for identifying the roles and responsibilities of HQ departments in an emergency response. ERWG meetings are brief and to the point, with a focus on key information sharing and identification of action points. The general agenda should include:

1. An update of the situation (Regional Team Representative):

    - Brief outline of the history of the situation and CRS' experience in providing assistance to the country/region (the Regional Team representative should bring a map to show areas affected by the disaster)
    - CRS action to date
    - Status of the security situation
    - Projected needs
    - Anticipated magnitude of the response

2. Determination of CRS' level of involvement in the emergency*

3. HQ point person for the emergency (Regional Team Representative)*

4. Identification of Donor Source Code numbers (OSD, Fundraising, Finance Representatives)*

5. Decision on a fund description*

6. Determination of talking points that may need to be developed to assist in communications with the public [for Fundraising and to ensure that the CRS message is consistent] (Fundraising, Regional Team, PSI Representatives)*

7. Policy issues and needs (PSI Representative)

8. Communications and publications update and projections (Communications Representative)

9. Website needs (Website Unit Representative)

10. Human resources needs (Regional Team and HR Representatives)

11. Status of incoming calls, inquiries (Fundraising Representative)

12. Fundraising outlook (what do commitments currently look like and is it likely we will launch an appeal) (Fundraising Representative)

13. Status of queries of in-kind donations (Fundraising Representatives)

14. Planned CRS delegation visits (EMT and Regional Team Representatives)

15. Separate meetings may need to be arranged should some of the matters require further discussion (chairperson)

Notes are taken, action points highlighted and circulated to all ERWG members and all attendees as soon as possible after the meeting. The Regional Team should forward the minutes to the country program giving consideration to the potential sensitivities in the operating environment. As there is the possibility that the minutes may be circulated more widely than to the ERWG, care should be taken to prepare brief, general notes that focus on action points.

Follow-up meetings are scheduled based on the magnitude of the response and needs for information sharing.

*A decision will be reached during the ERWG meeting

ERWG Composition

Permanent ERWG Members:

1. Deputy Executive Director/Overseas Operations
2. Director, Program Quality & Support Department
3. Overseas Support Department (OSD)
4. Fundraising
5. Church Outreach
6. Finance
7. Purchasing
8. Policy and Strategic Issues
9. Human Resources
10. Communications
11. Web Unit
12. Emergency Response Team/HQ

To discuss actions required at the initial onset of an emergency, attendees should also include:

- Deputy Executive Director for Special Projects if security is an issue
- Regional Team/Group representative responsible for the region in which the emergency is situated
- PSI representative with a focus on the country/region in which the emergency is situated

Annexes

A. CRS Guidelines on Humanitarian Action in Conflict Situations

B. ICRC/IFRC/NGO Code of Conduct

C. Sphere Project Humanitarian Charter

D. International Law Instruments and Ground Rules for Humanitarian Aid in Conflict Situations

E. CRS Emergency Preparedness & Response Program Quality Statements

F. CRS Emergency Proposal Format

G. Technical Review Format

H. Gap Identification Chart

I. CI Guidelines for Major Emergencies

J. CRS Situation Reporting Formats

K. Emergency Response Team Organizational Chart

L. Emergency Response Checklist for Managers

M. Humanitarian Relief News, Organizations, Donors Websites

A. CRS Guidelines on Humanitarian Action in Conflict Situations

Below is an abridged version of the CRS Guidelines on Humanitarian Assistance in Conflict Situations disseminated in April 1992 (formerly known as the Harper's Ferry Guidelines). The version included does not include sections on situation reports and proposal guidelines that are superseded with the information included in other annexes of this handbook. It has also been edited to reflect changes in CRS structures.

CRS Guidelines on Humanitarian Action in Conflict Situations

Introduction

CRS has developed a framework within which to manage emergency responses in conflict situations. What follows is first, a set of basic principles which will guide CRS' response in conflict situations. These principles are broad enough to address the range of conflict situations in which CRS works, and have been derived from CRS' Mission Statement and Catholic social teaching.

In drawing from the Mission Statement, the following is central to the guidelines: "The fundamental motivating force in all activities of CRS is the gospel of Jesus Christ as it pertains to the alleviation of human suffering, the development of people and the fostering of charity and justice in the world."

Together with **Gaudium et spes** and Pope John Paul II's **Sollicitudo rei socialis, Pacem in terris** lays out the principles for a contemporary Catholic theology of international affairs centered on "the universal common good."

Based on Catholic social teaching, the guidelines have relied particularly on **Pacem in terris**, Pope John XXIII's 1963 encyclical. The concepts of the common good and the human dignity of the person as well as the importance of "reading the signs of the times" are taken from this landmark document.

Second, CRS has identified a series of essential conditions that must be met in any response to a conflict situation to ensure the integrity and effectiveness of the response. These conditions are consistent with the Principles of Response and are derived from our rich and diverse experience.

Following the principles and conditions is a section that sets forth recommendations on the design of the response. This includes sections on pre-assessment, assessment, re-assessment and cross-border and cross-line operations.

After the design section comes a series of sections which discuss operational issues: coordination, use of food, personnel, material support, and funding. Finally, there is a concluding section on addressing the underlying causes of conflict.

I. PRINCIPLES OF RESPONSE

A. Principle of the Common Good

Following Catholic Social Teaching, CRS believes that although the common good is the first responsibility of government, it is likewise a social responsibility falling on all persons and groups. When political authorities, either domestic or international, fail to protect the common good (understood as the safeguarding and protection of civil, political, economic, and social human rights), it falls to others, including social institutions such as CRS, to act on behalf of the rights of a deprived population, when that population is unable to protect itself.

B. Principle of Human Dignity

CRS' response in conflict situations is to alleviate human suffering, promote human development, and foster a culture of peace, respect and dignity.

C. Principle of Impartiality

CRS' response in conflict situations is impartial with respect to race, creed, political orientation, and ethnicity, but is partial to the poor, the suffering, and the marginalized. CRS only assists civilian victims in conflict situations. CRS prefers to assist victims on both sides of the conflict unless needs on one side are met by other groups or unless operational considerations preclude working on both sides.

D. Principle of Non-Partisanship

CRS is non-partisan in its approach to humanitarian assistance in conflict situations in the sense that CRS neither takes sides nor supports partisan causes in the hostilities. Consistent with our mandate, CRS stands in solidarity with the victims of the conflict.

E. Principle of Independence

CRS' humanitarian action requires operational freedom to function without political or other interference. CRS, and/or our partners, must be free to operate without arbitrary detention of staff, seizure of relief equipment or diversion of relief supplies. Without this independence humanitarian action is impossible.

II. CONDITIONS OF RESPONSE

A. Conditions for CRS

1. CRS must conduct a thorough analysis of the background and causes (political, economic, social, religious, and cultural) of the conflict.

2. CRS must assess the capabilities of the partner, if any, other organizations, and target populations and determine the possibilities of joint response.

3. CRS must analyze the projected impact of the response and should ensure that neither the provision nor the source of the resources is used to fuel the conflict or to jeopardize the target population. The analysis should ensure that more vulnerable segments of the population are not adversely affected by the response. Further, an assessment should be made of the CRS "value added" i.e., what specific contribution CRS can make which others are not.

B. Conditions for Partners

When CRS' response will be channeled through partners:

1. The partners must be knowledgeable of, subscribe to, and act in a manner consistent with, CRS' Principles of Response.

2. CRS' partners must have access to the targeted population; they must be able to visit the affected areas and to communicate periodically with the beneficiaries.

3. CRS' partners must have the capacity to plan, carry out, and account for resources provided to them.

4. In those situations where no partners are available, or meet the above conditions and CRS is operational, the CRS field office must be able to meet the above conditions.

III. DESIGN OF RESPONSE

Conflict situations, across the entire continuum, from sporadic violations of human rights to full-scale war, require even more careful design of response than normal CRS programming.

A. Pre-assessment

While recognizing the need for quick and decisive action when confronted with humanitarian needs in conflict situations, it is important to develop the terms of reference of assessments in consultation, first, with headquarters and the appropriate regional office, and second, with other international humanitarian and development agencies, i.e., other NGOS, UN agencies, local Church partners, donors, etc. The consultation process should continue during and after the assessment period.

It is particularly important that regional offices be consulted when discussing the long-term implications of the emergency program and its potential effects on CRS programs in neighboring countries.

Rationale: The consultative process sets the basis for future collaborative efforts, sheds light on security and access considerations, and provides guidance in the formulation of political judgments as they relate to issues of impartiality and justice/peace programming opportunities.

B. Assessment

1. An on-the-ground assessment of needs and capacities should be a prerequisite to the development of an emergency response, including project proposals and operational plans. Although CRS staff should lead such assessments, participation by other NGO

representatives should be encouraged. Assessments should include a site visit whenever possible.

2. The assessment should follow internationally accepted standards with the following additional information:

a. The assessment of needs should consider:

i. An analysis of both the capacities and the vulnerabilities present in the affected population and in local organizations.

ii. The urgency of need and whether it is life threatening or otherwise critical.

iii. The needs of particular CRS-targeted priority groups (poor, unreached by others, etc.) affected by the conflict.

b. The assessment of CRS response should consider the needs relative to existing capacities in crisis areas, including the capacities of local people, local organizations, churches and of other external agencies (UN, NGOS, donors, etc.)

i. When the need is great but others have capacities to meet it, CRS field response is not necessary.

ii. If capacities exist but are not addressing particular needs (such as trauma) or groups (such as women), a gap may exist warranting CRS response.

iii. When needs are unmet and a CRS or partner capacity exists, a CRS response is called for.

c. An assessment of probable effectiveness of alternative CRS responses should include:

i. Assessment of CRS resources or access to resources vis-à-vis unmet needs.

Ìi. Assessment of CRS capacities vis-à-vis unmet needs.

iii. A critical assessment of local partners and other material and institutional capacities to respond to the emergency situation, to include an examination of what other na tional and international NGO/UN and government agencies are doing or intend to do in response to the emergency situation.

iv. Possible "resistance" to CRS response -- Church, jeopardy to other CRS work, liability to CRS work through resource reallocation e.g., staff reassignment.

v. Access to region (political, military and logistical). See section on Cross-Border Arrangements.

vi. Ability to meet accountability criteria in the areas of access, record keeping, and re porting.

vii. Staffing requirements, including an assessment of appropriate housing, food, water etc., for CRS staff.

viii. An analysis of the political and conflict- security environment.

ix. Minimum communication requirements.

x. An analysis of the effects of conflict situations on women, women-headed house holds, children and the elderly.

xi. Psychological/mental health issues.

xii. Budgetary implications.

xiii. Opportunities for contributing to a process of peace.

Rationale: Emergency response programs based on comprehensive assessments are more likely to anticipate future programming constraints and programming opportunities. Assessments will also help to determine the appropriate resource mix to employ in response to the emergency as well as guide the financial planning and budgetary process.

3. All of the above are assessed in order to determine effectiveness in terms of:

a. Meeting immediate needs

b. Contributing to long-term development and peace and justice

C. Re-assessment

Systems should be developed to ensure that periodic re-assessments of needs, conditions, and the overall working environment are conducted by external (out of country) personnel, with priority placed on regional staff. The re-assessment process should examine the multiple options of redirecting CRS resources including the option of phasing out CRS assistance.

Rationale: Conflict situations are intense and fluid and require regularly updated situational analyses to ensure maximum program impact. Special areas of consideration should be issues related to targeting, security, and impartiality. External assistance is required since staff working in day- to-day conflict situations may have less than optimal objectivity.

D. Cross-border and Cross-line Operations

1. In every conflict situation where CRS responds, CRS should look for opportunities to work on both sides of the conflict in order to build opportunities for future reconciliation. CRS is particularly well-suited to do this in situations where there is a Catholic Church on both sides.

2. In undertaking a cross-border operation, CRS must be in touch with the churches and other relevant bodies on both sides. In these cases, CRS must ensure that the gains of providing humanitarian assistance to both sides outweigh any potential cost incurred as the result of this assistance, i.e., that operations on one side are not jeopardized by operations on the other. While CRS will not negotiate away the right to operate on both sides, pragmatism and an effective division of labor may lead to a decision to operate on only one side.

3. Insofar as agreements provide increased security, accountability, and promote effectiveness of operations, they should be signed between CRS, local political authorities, and international bodies. All agreements that CRS signs should include an explicit statement about the primacy of humanitarian assistance. Draft agreements should be reviewed and approved by headquarters.

IV. COORDINATION WITH NGOS, UN AGENCIES, DONORS, AND OTHER ORGANIZATIONS

A. CRS supports and will participate in coordinated planning, assessment and operations insofar as they are consistent with our principles and conditions of response. Such coordination is a critical component in mounting an effective emergency response program. This includes coordination with Church partners, NGOS, ICRC, donors UN agencies, inter-governmental organizations and governments. The most critical level of coordination is in the field. But coordination should also occur at the international level, especially in the areas of advocacy, public education and information sharing.

B. To facilitate this coordination, CRS field staff should maintain continued contact with local government, UN and Church authorities, USAID missions and other donors, particularly those with a disaster role. Staff should keep the Church, the UN, and donors informed of CRS programming during conflict situations. This should be replicated at HQ level, in conjunction with other major NGOs and NGO consortia. CRS field offices should participate in all essential international and local coordinating bodies.

C. CRS country programs should participate in coordination efforts when these efforts ensure that a) all members of the "at risk" population are included in overall planning and b) the relief assistance is distributed equitably within targeted areas.

D. CRS country programs should be prepared to share human and material resources with other NGOs when sharing will maximize effectiveness.

E. CRS programs implementing emergency responses in conflict situations and their regional offices should ensure the timely flow of information to Caritas Internationalis (CI) and other interested bodies. Field and headquarters staff should participate when possible in CI emergency meetings and other NGO fora.

V. USE OF FOOD

A. Food as an Appropriate Resource

1. Principle: The provision of food is appropriate in conflict situations when people are in need, when it is used to reduce vulnerabilities, when it is well targeted, when it is time-bound and where access to adequate food in the conflict area does not exist. A food resource may come from either local purchases, food swaps or foreign donations.

Food is not an appropriate resource in a conflict situation if the distribution of food results in: coerced movements or winning political allegiances, disruption of traditional coping mechanisms or results in fueling the conflict.

Need is determined through; 1. anecdotal reports such as movement of populations, fluctuations in agricultural commodity prices and increases in nutrition related disease; 2. on the ground independent needs assessment from CRS, other NGOs and/or UN agencies, and 3. multilateral and bilateral situational reports.

2. Rationale: Food shortages are a common result of prolonged conflict due to disruptions in normal agricultural cycles and market mechanisms. CRS policy is that food can be used as an effective resource and ought to be considered for use where appropriate. CRS has access to and managerial capacity to program food assistance in emergency situations.

3. Assumptions: Food resources are available for use in conflict situations. Capacity of partners (food resources are more time and capital intensive than other non-food interventions.)

B. Targeting of Resources

1. Principle: Humanitarian assistance is targeted to the most vulnerable civilian groups, as determined by criteria established and reviewed through ongoing needs assessments. CRS will not enter into any agreements to provide assistance directly to combatants for use or distribution.

2. Rationale: Sound targeting and ongoing assessment maximizes impact of intervention, reduces perceptions of partisanship and avoids fueling conflict.

3. Assumptions: There must be a capacity for on-going needs assessments. Reaching the most vulnerable remains the overriding concern and there are risks that some food will reach combatants.

C. Developmental Impact

1. Principle: In addition to the obvious short term impacts of providing food in conflict situations humanitarian assistance has the potential for both a positive and/or negative long term impact on a community. Therefore, food assistance should focus on increasing capacities as well as reducing vulnerabilities of a community.

Specifically, food assistance should:

a. support rather than disrupt existing traditional coping mechanisms.

b. reinforce and strengthen the capacity of a local partner to effectively respond to conflict situations.

c. assist a community to return to a condition whereby self- sustaining activities can return or be developed.

d. not undermine the peaceful resolution of a conflict.

2. Rationale: Reduce the need for long term outside assistance.

3. Assumptions:

a. There exists an actual or potential institutional capacity, either within CRS or among local partners, to address long term development issues in conflict situations.

b. The design and implementation of an emergency program should involve broad-based participation of communities and partners.

c . There are acceptable levels of security and stability within the operating environment that allows for local partner participation in emergency situations.

d. There is effective coordination among NGO's to avoid incompatible programming and to provide security to operate an emergency program.

D. Accountability

1. Principle: CRS will meet the agency's accountability standards. In recognition of the fact that conflict situations present unique conditions for accountability, any exception to these standards will be justified, negotiated with the donor, and documented in the operational plan.

2. Rationale: There is a need for acceptable and agreed to standards of accountability to maintain the integrity of the agency as a steward of a resource.

3. Assumptions:

a. There are qualified and experienced staff to monitor and account for CRS resources.

b. There exists a positive negotiating environment between a donor and CRS.

VI. PERSONNEL

A. Human Resources should maintain and regularly up-date a file of people (internal/external) for conflict assignments.

B. CRS/HQ should ensure that HQ and field offices are adequately staffed such that field transfers and TDY assignments do not adversely affect regular, non-emergency programming efforts or overly burden the offices of neighboring country programs.

C. Personnel for emergency-conflict assignments which are considered to be war-risk areas as designated by the Agency, should have specific characteristics to include the following: (1) the assignment should be voluntary, (2) they must receive orientation on CRS conflict guidelines, and (3) they must be able to live in difficult and insecure environments.

D. Regional offices must remain in frequent contact and exhibit genuine concern for all staff, continually assure field staff that their point of view is understood, and be supportive when discussing programming or managerial differences. Staff going into conflict situations should receive adequate briefings on psychological stress likely to be encountered, prior to departing for the field; CRS/HQ or field staff in neighboring countries should make time available to discuss staff experiences, difficulties encountered, stress-related problems, etc. in an effort to make the transition from conflict situations to normal environments as smooth and as stress-free as possible. Staff should have access to professional counseling if necessary.

E. CRS/HQ should develop appropriate R/R compensation policies for international personnel serving in conflict areas.

F. When establishing an emergency program in a conflict situation, the implementation team should include personnel experienced in setting up logistics and administrative systems, in addition to the overall CRS field manager.

G. Contingency plans for the evacuation of CRS international staff and/or their dependents must be developed and staff should be prepared to leave at any time. Efforts should be made to secure US Embassy and/or other embassy assistance in providing security, protection and evacuation not only to US citizens but also to international non-U.S. citizens working for CRS. (See Security and Staff Safety Guidelines for CRS Field Workers)

H. CRS country programs should develop country-specific security standard operating procedures for implementation in conflict situations including specific reference to problems faced by CRS women staff members. These procedures should be based on the contents of the Security and Staff Safety Guidelines for CRS Field Workers.

I. Under no circumstances may CRS personnel bear arms.

J. CRS field offices should analyze on a regular basis the level of risk to national staff associated with working in conflict situations with the aim of reducing those risks by relocation or other means. In addition, CRS field offices should develop strategies for addressing "burn-out," motivational, and compensation issues related to CRS national staff.

K. A "non-Title II" logistics officer/manager should be positioned on the project implementation team and charged with responsibilities for office set-up and the "care and feeding" of project personnel.

L. CRS/HQ should make a commitment to ensure that staff working in conflict areas are provided with safe and adequate housing.

Rationale: The adequate provision of material support to CRS field offices operating in conflict situations serves to reduce stress, improve effectiveness, increase accountability, and limit security risks.

VII. MATERIAL SUPPORT

A. CRS/HQ should have the following material support in the form of portable kits available for immediate delivery to the project site:

- office/administrative supplies and manuals - financial supplies, including ledgers - Title II manuals, materials and forms
- ID/name cards, T-shirts, CRS logos, CRS packing tape

B. CRS/HQ should have mechanisms for the immediate purchase and delivery of vehicles and spare parts required during program implementation.

C. CRS/HQ should look at appropriate communication systems and establish guidelines/parameters to be applied by the assessment team in developing recommendations in this area.

VIII. FUNDING

CRS private funds can be made available in the field to support emergency start-up and program activities. CRS field offices are also encouraged to access local funding from the US Ambassador's $25,000 emergency fund and other public donor sources such as USAID, WFP, ECHO and others. CRS should also lobby the USG and others for the retroactive reimbursement of start-up funds legitimately charged to external donors.

CRS should not be influenced by the political persuasion of funding sources, particularly if donors have a stake or role in the conflict situation.

IX. RECOMMENDATIONS FOR ADDRESSING UNDERLYING CAUSES

A. Recognizing the third principle of human dignity, to foster a culture of peace and respect, CRS has a moral responsibility to work towards cessation of the conflict, to promote

non-violent solutions, and to address underlying causes. CRS should undertake one or more of the following:

- Supporting the local Church's efforts to develop activities and strategies toward reconciliation and non-violent resolution of conflict;

- Supporting human rights activities (see approved Board policy) with discretion while maintaining a low profile in the field;

- In situations with religious tension, attempting to promote inter-religious understanding and collaboration through its programs;

- Conducting public education in the U.S. about the causes of the conflict through a variety of avenues, including donor appeals;

- Networking with and providing information to organizations with specialized skills and the mandate for addressing specific underlying causes.

B. Recognizing that in conflict as in other emergencies prevention is better than cure, CRS should explicitly include consideration of issues of incipient and existing conflicts in the development of every country program strategy.

When assessing opportunities for providing humanitarian assistance in conflict situations, the assessment should ask specific questions related to how CRS can promote a process of healing, reconciliation and development at community, national and international levels.

When designing programs that promote a healing and reconciliation process, program designers need to be sensitive to underlying political, economic, and cultural causes, i.e., belief systems, ethnic rivalries, religious differences, etc., of the conflict.

Rationale: In conflict situations, the provision of material assistance, though essential in and of itself, does not constitute an adequate humanitarian response to the needs of affected communities.

B. ICRC/IFRC/NGO Code of Conduct

CRS and Caritas Internationalis are signatories of the ICRC/IFRC/NGO Code of Conduct written in 1994. The Code of Conduct lays out the principles by which we work in disaster situations. It is a voluntary code that humanitarian actors of good faith strive to respect in order to ensure the quality of disaster response work.

Following is a summary of the key principles articulated in the Code of Conduct.

The Code of Conduct

Principles of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Response Programmes

1. The Humanitarian imperative comes first

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

2. Aid is given regardless of the race, creed or nationality of the recipients and without adverse distinction of any kind. Aid priorities are calculated on the basis of need alone

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

3. Aid will not be used to further a particular political or religious standpoint

Humanitarian aid will be given according to the need of individuals, families and communities. Not withstanding the right of NGHAs to espouse particular political or religious opinions, we affirm that assistance will not be dependent on the adherence of t he recipients to those opinions. We will not tie the promise, delivery or distribution of assistance to the embracing or acceptance of a particular political or religious creed.

4. We shall endeavour not to act as instruments of government foreign policy

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

5. We shall respect culture and custom

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

6. We shall attempt to build disaster response on local capacities

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

7. Ways shall be found to involve programme beneficiaries in the management of relief aid

Disaster response assistance should never be imposed upon the beneficiaries. Effective relief and lasting rehabilitation can best be achieved where the intended beneficiaries are involved in the design, management and implementation of the assistance prog ramme. We

will strive to achieve full community participation in our relief and rehabilitation programmes.

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

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

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

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

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

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

C. Sphere Project Humanitarian Charter

CRS, as a supporter of the Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response, strives to reflect the contents of the project in its emergency programs. Below is the Humanitarian Charter contained in the Sphere Handbook which lays out the basic principles on which emergency programs should be based.

Part 1: The Humanitarian Charter

Humanitarian agencies committed to this Charter and to the Minimum Standards will aim to achieve defined levels of service for people affected by calamity or armed conflict, and to promote the observance of fundamental humanitarian principles.

The Humanitarian Charter expresses agencies' commitment to these principles and to achieving the Minimum Standards. This commitment is based on agencies' appreciation of their own ethical obligations, and reflects the rights and duties enshrined in international law in respect of which states and other parties have established obligations.

The Charter is concerned with the most basic requirements for sustaining the lives and dignity of those affected by calamity or conflict. The Minimum Standards which follow aim to quantify these requirements with regard to people's need for water, sanitation, nutrition, food, shelter and health care. Taken together, the Humanitarian Charter and the Minimum Standards contribute to an operational framework for accountability in humanitarian assistance efforts.

1 Principles

We reaffirm our belief in the humanitarian imperative and its primacy. By this we mean the belief that all possible steps should be taken to prevent or alleviate human suffering arising out of conflict or calamity, and that civilians so affected have a right to protection and assistance.

It is on the basis of this belief, reflected in international humanitarian law and based on the principle of humanity, that we offer our services as humanitarian agencies. We will act in accordance with the principles of humanity and impartiality, and with the other principles set out in the Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations in Disaster Relief (1994).

The Humanitarian Charter affirms the fundamental importance of the following principles:

1.1 The right to life with dignity

This right is reflected in the legal measures concerning the right to life, to an adequate standard of living and to freedom from cruel, inhuman or degrading treatment or punishment. We understand an individual's right to life to entail the right to have steps taken to preserve life where it is threatened, and a corresponding duty on others to take such steps. Implicit in this is the duty not to withhold or frustrate the provision of life-saving assistance. In addition, international humanitarian law makes specific provision for assistance to civilian populations during conflict, obliging states and other parties to agree to the provision of humanitarian and impartial assistance when the civilian population lacks essential supplies.1

1.2 The distinction between combatants and non-combatants

This is the distinction which underpins the 1949 Geneva Conventions and their Additional Protocols of 1977. This fundamental principle has been increasingly eroded, as reflected in the enormously increased proportion of civilian casualties during the second half of the twentieth century. That internal conflict is often referred to as 'civil war' must not blind us to the need to distinguish between those actively engaged in hostilities, and civilians and others (including the sick, wounded and prisoners) who play no direct part. Non-combatants are protected under international humanitarian law and are entitled to immunity from attack.2

1.3 The principle of non-refoulement

This is the principle that no refugee shall be sent (back) to a country in which his or her life or freedom would be threatened on account of race, religion, nationality, membership of a particular social group or political opinion; or where there are substantial grounds for believing that s/he would be in danger of being subjected to torture.3

2 Roles and Responsibilities

2.1 We recognise that it is firstly through their own efforts that the basic needs of people affected by calamity or armed conflict are met, and we acknowledge the primary role and responsibility of the state to provide assistance when people’s capacity to cope has been exceeded.

2.2 International law recognises that those affected are entitled to protection and assistance. It defines legal obligations on states or warring parties to provide such

assistance or to allow it to be provided, as well as to prevent and refrain from behaviour that violates fundamental human rights. These rights and obligations are contained in the body of international human rights law, international humanitarian law and refugee law. (See sources listed below.)

2.3 As humanitarian agencies, we define our role in relation to these primary roles and responsibilities. Our role in providing humanitarian assistance reflects the reality that those with primary responsibility are not always able or willing to perform this role themselves. This is sometimes a matter of capacity. Sometimes it constitutes a wilful disregard of fundamental legal and ethical obligations, the result of which is much avoidable human suffering.

2.4 The frequent failure of warring parties to respect the humanitarian purpose of interventions has shown that the attempt to provide assistance in situations of conflict may potentially render civilians more vulnerable to attack, or may on occasion bring unintended advantage to one or more of the warring parties. We are committed to minimising any such adverse effects of our interventions in so far as this is consistent with the obligations outlined above. It is the obligation of warring parties to respect the humanitarian nature of such interventions.

2.5 In relation to the principles set out above and more generally, we recognise and support the protection and assistance mandates of the International Committee of the Red Cross and of the United Nations High Commissioner for Refugees under international law.

3 Minimum Standards

The Minimum Standards which follow are based on agencies' experience of providing humanitarian assistance. Though the achievement of the standards depends on a range of factors, many of which may be beyond our control, we commit ourselves to attempt consistently to achieve them and we expect to be held to account accordingly. We invite other humanitarian actors, including states themselves, to adopt these standards as accepted norms. By adhering to the standards set out in chapters 1 - 5 we commit ourselves to make every effort to ensure that people affected by disasters have access to at least the minimum requirements (water, sanitation, food, nutrition, shelter and health care) to satisfy their basic right to life with dignity. To this end we will continue to advocate that governments and other parties meet their obligations under international human rights law, international humanitarian law and refugee law.

We expect to be held accountable to this commitment and undertake to develop systems for accountability within our respective agencies, consortia and federations. We acknowledge that our fundamental accountability must be to those we seek to assist.

Notes

1. Articles 3 and 5 of the Universal Declaration of Human Rights 1948; Articles 6 and 7 of the International Covenant on Civil and Political Rights 1966; common Article 3 of the four Geneva Conventions of 1949; Articles 23, 55 and 59 of the Fourth Geneva Convention; Articles 69 to 71 of Additional Protocol I of 1977; Article 18 of Additional Protocol II of 1977 as well as other relevant rules of international humanitarian law; Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment 1984; Articles 10, 11 and 12 of the International Covenant on Economic, Social, and Cultural Rights 1966; Articles 6, 37, and 24 of the Convention on the Rights of the Child 1989; and elsewhere in international law.
2. The distinction between combatants and non-combatants is the basic principle underlying international humanitarian law. See in particular common Article 3 of the four Geneva Conventions of 1949 and Article 48 of Additional Protocol I of 1977. See also Article 38 of the Convention on the Rights of the Child.
3. Article 33 of the Convention on the Status of Refugees 1951; Article 3 of the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment 1984; Article 22 of the Convention on the Rights of the Child 1989.

Sources

The following instruments inform this Charter:
Universal Declaration of Human Rights 1948.
International Covenant on Civil and Political Rights 1966.
International Covenant on Economic, Social and Cultural Rights 1966.
The four Geneva Conventions of 1949 and their two Additional Protocols of 1977.
Convention on the Status of Refugees 1951 and the Protocol relating to the Status of Refugees 1967.
Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment 1984.
Convention on the Prevention and Punishment of the Crime of Genocide 1948.
Convention on the Rights of the Child 1989.
Convention on the Elimination of All Forms of Discrimination Against Women 1979.
Guiding Principles on Internal Displacement 1998.

D. International Law Instruments and Ground Rules for Humanitarian Aid in Conflict Situations

A broad spectrum of international law instruments, such as the Universal Declaration of Human Rights, exist that are designed to protect the rights and dignity of human beings. Some of these instruments, such as International Humanitarian Law, are designed to protect rights specifically in conflict situations. These law instruments are sometimes used in conflict situations as a basis for "ground rules" for the conduct of hostilities and the conduct of humanitarian action. Ground rules have been developed in places such as Sudan and Liberia as an attempt to establish a common understanding between warring parties and humanitarian actors on the rights of civilian populations to assistance and protection and the responsibilities of warring parties and humanitarian actors to provide assistance and protection.

The international law instruments referenced in Annex C are those most relevant to humanitarian work. Full texts of these instruments can be found on the internet. Examples of ground rules can be found on the CRS intranet site (*Overseas Operations>PQSD>Emergency Response*).

E. CRS Emergency Preparedness & Response Program Quality Statements

General Quality Statements for Overseas Operations

Excellent CRS emergency programs:

1. Base programming decisions and policies primarily on the best interests of the affected population.
2. Are based on an assessment of the justice issues.
3. Are based on analysis of and action to address root causes.
4. Provide timely response to the urgent needs of the affected population.
5. Target the most vulnerable.
6. Ensure that there is legitimate representation of the target population and that they have a voice in and are represented throughout the planning, implementation and evaluation of activities.
7. Are carried out at all stages with local partners, based on analysis of their capacity, principles and policies.
8. Develop local partners' capacity to mitigate and respond to emergencies prior to emergency events (e.g., preparedness).
9. Build on the existing strengths of local communities and partners.
10. Seek to reduce inter-group tensions and strengthen connectors between divided groups.
11. Integrate peace-building approaches where appropriate.
12. Are planned and implemented in coordination with other agencies
13. Are gender responsive.
14. Are managed in accordance with the emergency planning cycle.
15. Are specifically adapted to each phase of the emergency.
16. Are designed with an explicit transition/exit strategy, based on an assessment of current needs, and bear in mind community coping mechanisms.
17. Demonstrate technical expertise.
18. Use measurable indicators to demonstrate positive results.

Quality Statement for Security

Vision

CRS minimizes the risk of harm to all staff by implementing comprehensive security procedures. CRS also seeks to protect material resources (commodities, equipment and buildings). CRS provides funding necessary to meet staff security needs.

Principle

CRS takes all reasonable steps to ensure staff security and well-being. CRS recognizes that our work often places great demands on staff in conditions of complexity and risk. We take all reasonable steps to ensure the security and well-being of staff and their families.

Quality Statement for Emergency Staffing

Vision

The human resources necessary to respond to an emergency are identified and available. HR systems are in place to expedite action. Emergency staff depth and breadth is strengthened and maintained in order to be prepared. This readiness enables CRS to serve the greatest needs of the poor and the vulnerable during the emergency and the transition period and provides the highest program quality possible.

Principles

In order to realize this vision, the approach used is in partnership between the field and HQ. This alliance keeps prominent the needs of the populations affected by the emergency. Decisions and communications take place with sensitivity to the existing role of field and HQ staff, but also with a unified vision, understanding and commitment to the needs of the emergency. Existing Agency and HR policies and procedures are factored into the process.

Quality Statement for Staff Care

Vision

CRS ensures that it has systems to protect the life and dignity of international, national, local hire, and seconded staff working in emergencies and will meet basic environmental needs which encompass both physical needs (potable water, secure housing, personal security) and emotional and mental needs (good management practices, supportive teaming, comfortable living and working conditions, occasional recreation activities). With these

systems in place, emergency staff will be enabled to focus on providing quality services to the populations affected by these disasters.

Principle

CRS holds the principles of equity and parity in treatment of all staff across regions, within regions and within countries as to be of great importance. In addition, CRS is mindful of the impact that decisions on benefits have on all staff and make those decisions after great reflection.

Quality Statement for Orientation, Training and Debriefing

Vision

All people hired by CRS to respond to emergencies have the professional knowledge, skills and attitudes to carry out its' mission. This applies to international staff, national staff, headquarters staff, local hires, and persons seconded to CRS.

Principles

CRS recognizes orientation, training and debriefing as key components of high-quality emergency preparedness and response. Those activities are consistent with CRS' commitment to respect the dignity and equality of the human person as well as the dignity of work. CRS provides appropriate orientation, training and debriefing opportunities to staff. This effort requires partnership between field offices, PQSD/ERT, MQSD and HR.

Quality Statement on Procurement

Vision

Procurement is essential to staff security, efficient and effective administration and management, and the integrity and quality of excellent emergency programs.

Quality Statement for Media

Recognizing the important role of media in advocating on behalf of those in need, educating the US populace, strengthening the agency's image in host countries and raising funds, CRS actively pursues media outlets of all forms to benefit the agency, the US populace and those we serve. CRS media efforts will, above all, strive to convey the full complexity of emergency situations and to protect the human dignity of the disaster affected population.

CRS will accomplish this goal by defining and advancing a coherent and integrated media strategy. This strategy will outline the roles and responsibilities of individuals at field and HQ levels, and provide training to ensure a consistent agency-wide understanding of the goals and objectives of CRS media relations.

F. CRS Emergency Proposal Format

CRS emergency proposals should follow the outline below. CRS proposals for submittal to a public donor should follow the format required by the donor.

A. Project Profile

1. Project Title:
2. Project Number:
3. SPP Program Area:
4. Direct Participants (people who directly benefit from the project) by Number and Profile (sex, ethnic group, occupational group, age, etc.):
5. Project Timeframe (period of CRS involvement only):
    a. Years/Months Duration:
    b. Anticipated Starting Date:
    c. Anticipated Completion Date:
6. Funding (U.S. Dollars):
    a. Total Project Cost:
    b. Amount Requested from CRS:
    c. Annual Budget Request from CRS:
    d. Amount Contributed by Other Donor(s) In-kind or Cash (specifying amount per donor):
7. Partner(s):
8. Evaluation Schedule (dates and types of evaluations if planned):

B. Project Summary (maximum of one page)

C. Nature of Emergency/Problem Identification

1. Nature of the Emergency
2. Location
3. Affected Population (total numbers and description of current status, i.e., number displaced, killed, injured, etc.; disaggregated by gender and age whenever possible)
4. Significant characteristics of the affected population (socio-economic or other characteristics that should be considered in program response including pre-crisis demographic information, current coping mechanisms)
5. Targeting mechanism applied in the response (has a gender assessment been completed and the results incorporated into the analysis and design of the response?)
6. Physical and infrastructure damage (land, crops, livestock, buildings, water, etc.). Has an environmental impact assessment been completed and the results incorporated into the analysis and design of the response?)
7. How have needs been identified (information sources, data collected, etc.)

8. How are other actors responding? (see Gap Identification Chart in Annex H for reference)

D. Project Design (refer to the CRS Project Proposal Guidance for details on developing the full project design)

1. Goal
2. Objectives
3. Targeting and Selection Criteria
4. Indicators and Monitoring System
5. Implementation plan, including a detailed calendar of implementation and the proposed transition/exit strategy

NOTE: International standards should be noted throughout the document and justification should be provided if international standards are not upheld (Sphere Handbook, UN standards, etc.)

E. Project Organizational Structure and Staffing

1. Key staff positions and responsibilities
2. Assistance required in early start up, on-the-job training needs (TDYs, ERT technical assistance, etc.)

F. Capacity Building and Community Participation

1. Partners in implementing the project
   a. Responsibilities in the project
   b. Capacities and training needs
2. Community Participation
   a. Capacities and vulnerabilities assessment
   b. Roles and responsibilities for project implementation

G. Project Feasibility

1. Availability of inputs to meet immediate needs
2. Access to affected populations
3. Security assessment
4. Sufficient communications (within country, to regional office, to HQ, etc.)
5. Access to ports, warehouses, roads, transport, etc.
6. Logistics capacity of CRS and partner(s)
7. Material resources (Available locally? Can they be accessed when needed, in the needed quantity and of the required quality?)

H. Potential Negative Impact

1. Analysis of possible benefits and harm related to the project implementation (Do No Harm analysis)

I. CRS Action to Date

1. Commitments (dollar, tonnage, non-food items, etc.)
2. Number of project participants

3. Current staffing levels, CRS and partners
4. Coordination with other actors
5. Contact with news media

J. Policy/Advocacy and Global Solidarity

1. Current policy, advocacy or global solidarity issues currently associated with this project
2. Potential future policy, advocacy or global solidarity issues to be raised with the appropriate HQ departments regarding this project.

K. Budget

1. Detailed line items with account codes

G. Technical Review Format

This technical review format is utilized by the Emergency Response Team to review emergency proposals. It is recommended that regions utilize this or a modified format for regional technical reviews of emergency proposals. The format is based on the CRS Project Proposal Guidance and the Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response.

Emergency Proposal Technical Review

Country Program:
Project Title:
Reviewer:
Date Received by Reviewer:
Date Review Sent Back to Country Program:

1. Comment on the problem identification and analysis.

A) Was a proper assessment conducted (see the CRS Emergency Preparedness and Response Handbook and the Sphere Handbook for guidance)?
B) Is the problem stated clearly and supported by adequate and up-to-date data or evidence?
C) Are root causes, scope and consequences of the problem stated?
D) Is it clear who the project participants are and their appropriateness given the problem statement?
E) Is it clear how project participants were identified and selected?
F) Is the number of project participants adequate given the project investment?
G) Have participants been involved in identifying the problem and working out solutions?
H) Have results of the needs assessment and project plans been discussed with other relevant actors? Have project activities been adequately coordinated with the government and/or other humanitarian actors?

2. Comment on the project design.

A) Are there linkages and a logical flow between the problem statement, goals, objectives, strategies and activities?
B) Does the project design reflect the CRS Program Quality Statements for Emergency Preparedness and Response?
C) Are the objectives SMART (specific, measurable, attainable, relevant and time-bound) and are they output-oriented?
D) Have the objectives been developed with a realistic plan for measurement and reporting over the life of the project? Do the objectives meet the Minimum Standards of the Sphere Handbook for the sectors addressed?
E) Is the implementation schedule realistic and achievable?

F) Has a harm-benefit analysis been conducted and project activities designed to ensure that the project does not contribute to exacerbating or creating tensions among/between communities? Have considerations been given to how project activities can contribute to building peace/strengthening communities?
G) Have gender issues been taken into consideration and incorporated into project design?
H) If applicable, have protection issues been taken into consideration? Have advocacy/policy and/or global solidarity issues been explored and addressed?
I) Does the project incorporate recommendations of past evaluations of similar projects?
J) Have impact indicators been identified which are directly related to and measure all the project objectives?
K) Have indicators been created that are direct, disaggregated (by gender and by age where feasible), practical, reliable, unidimensional, timely and cost-efficient?
L) For each indicator, has the data source, collection method and collection frequency been identified which is feasible and within the organization's capacity? Has a responsible party been named for each process?
M) Are all information needs of all stakeholders met?

3. Comment on the monitoring and evaluation system.
A) Do listed procedures include a plan for data analysis and information dissemination that will lead to improved decision-making and program management?
B) Does the project refer to Sphere Handbook key indicators appropriate to specific sectoral areas addressed?
C) Has a system been established that includes plans for collection of baseline information, monitoring information , mid-stream evaluation for lengthy projects and an evaluative follow-up?
D) From the proposal, does it appear that participants have been or will be involved in the feasibility study, baseline study, or data collection and analysis? Are PRA or other participatory assessment methodologies envisioned if appropriate for the project size, scope and duration?

4. Comment on the project organizational structure and staffing.
A) Does the project include enough human resources of adequate quality to ensure successful project implementation?
B) Does the organizational chart adequately support the project activities envisioned?

5. Comment on capacity building and community participation.
A) Do the partners involved support participatory decision-making, have strong grassroots links, share CRS values and goals, demonstrate leadership, demonstrate willingness to dialogue?
B) Do the partners have adequate skills to foster participant participation?
C) Is the project size commensurate with the partner's management and technical capacity?
D) Will the project support or enhance existing or planned institution-building activities with the partner?
E) If applicable, are there plans for strengthening the fundraising capacity of the partner or assisting them to diversify funding?

F) Will participants contribute labor, other in-kind contributions or cash for implementation?
G) Are women implicated in decision-making, planning, implementation and evaluation of the project? If not, does the project explain why?

6. Comment on project feasibility and sustainability.
A) If appropriate, are financial and economic analyses included and are they correctly calculated?
B) If applicable, is the sustainability strategy discussed in the proposal of good quality and appropriate to the sectoral nature of the project?

7. Comment on the project's potential negative impact.
A) If applicable, has an environmental review been done?
B) If possible negative impact on the environment is anticipated, are there adequate actions planned to mitigate this?
C) Does the proposal adequately discuss any other potential negative impact such as worsening conflict, increasing tensions in groups, worsening gender inequality, or increasing dependency?

8. Comment on the project's budget section.
A) Does the budget cover all project activities?
B) Are the percentages of costs directed to administration and direct service delivery reasonable?
C) Do budget notes support figures?
D) Is there an adequate budget line and resource allocation for monitoring and evaluation?
E) Is there an adequate budget line and resource allocation for technical support?

9. List the main project strengths.

10. List the main project weaknesses.

11. Give an overall project rating.

A = Approved (Project meets all conceptual, design, technical and methodological criteria)

B = Conditionally Approved (Changes required are minor and do not involve critical issues such as concept, technology, design or methodology)

C = Amend/Rewrite (Project is potentially feasible, but requires substantial modification of design, technology, and/or methodology)

D = Rejected (Project contains major, irremediable flaws or does not qualify as an emergency project)

12. Based on the above review, list the three most important, specific recommendations to be considered in the project's design or revision.

H. Gap Identification Chart

NEEDS WHO	FOOD	NON-FOOD ITEMS	WATER/ SANITATION	SECURITY/ PROTECTION	SHELTER	COMMUNITY IN-FRASTRUCTURE	HEALTH	MEDICINES
CRS								
GOVERNMENT MINISTRIES								
UN AGENCIES (Ex. WFP, UNHCR, ETC.)								
NGO 1								
NGO 2								

I. CI Guidelines for Major Emergencies

CARITAS INTERNATIONALIS (CI)
GUIDING VALUES, PRINCIPLES WORKING STRUCTURES and
MECHANISMS for RESPONSE to MAJOR EMERGENCIES
Approved by ExCo, June 14, 2001

BACKGROUND

In an effort to improve the Confederation's response to major emergencies and to make it more inclusive and collaborative, the 1999 Executive Committee (ExCo) reviewed and endorsed guidelines for new mechanisms prepared by the CI General Secretariat and described in part 2 of this document. The ExCo also formed a task force (consisting of each CI region's representative, the relevant CI Secretariat staff, and chaired by the CI Secretary General) to develop details of the mechanisms for submission to its June 2001 meeting. This document – as amended and approved by the ExCo – will be distributed to all CI member organizations (CI MOs) so that they can follow its provisions.

It should be noted that even after the ExCo's approval, this document will remain a working document allowing the needed changes over time (provided such changes are approved by the International Cooperation Committee for Emergencies – ICC).

i) Major Disaster Definition

In the context of this document, a major disaster is defined as a situation where there is a substantial loss of life, great human suffering and distress, and large-scale material damage including damage to the environment. It is a situation with which the affected member cannot cope and needs assistance of others.

ii) Organization of the Document

The document is divided into two parts – guiding values and principles, and CI working structures for responding to major emergencies. The original document is in English with translations into French and Spanish.

1. GUIDING VALUES and PRINCIPLES

1. 1 Moral Mandate

a) CI as a global network of Catholic humanitarian organizations has a moral mandate to respond to the needs of victims of disasters.

b) All aid by a member organization must have the upholding of human dignity and promotion of the poorest as its first priority. It must also promote the response of the local Church towards the civil society as a whole, whether Christian or not.
c) All CI MO are bound to uphold the Code of Conduct, SPHERE Project's Humanitarian Charter and Minimum Standards, gender equity and other concerns.

1. 2 Solidarity and Mutuality

a) The CI Confederation's adherence to Christian charity and the Catholic Social Teaching principles of solidarity involves not only finance, but the accompaniment of the Church and Caritas, dialogue, advocacy, peace-building and reconciliation, as well as capacity building.
b) A principle of mutuality will be honored and practiced by all CI MOs. Mutuality is linked to solidarity because it calls on us to recognize and respect resources and talents that all CI MOs have to offer. When these are brought together in a concerted effort, the result is a better, more effective and efficient response to those in need.
c) In situations where the Caritas and Church in the affected country are able to respond, there may be a need for other CI MOs to demonstrate solidarity of their supporters and constituents by being physically present at the crisis site, and they should be granted this possibility.

1. 3 Subsidiarity

a) All aid by a Member Organization to a given country must be based on a preliminary dialogue with the Member Organization of that country, and followed by a continuous exchange of information.
b) CI will respect the principle of local autonomy for all activities at the local level while, at the same time, finding opportunities for and helping the whole Confederation to work together effectively and harmoniously in pursuit of our common mission.
c) CI MOs are committed to listening, accompanying and working with the local Church and Caritas in a spirit of partnership. CI MOs must always take into account the local culture and other relevant elements.

1. 4 Partnership and Stewardship

a) CI relationships at a global level, especially those involving the transfer of resources, must be based on mutual respect, trust and goodwill. Partnership implies a long-term commitment to agreed objectives, based on shared values, strategies and information. It should be further characterized by feedback and joint planning, a display of transparency and accountability on both sides and a genuine openness and sensitivity to the others' needs, feelings, expertise, experience and wisdom.
b) CI will steward those resources entrusted to us in an efficient and effective manner, being aware that we have an obligation to behave at all times in a transparent and accountable way – to the poor, the Church and to one another.

2. CI WORKING STRUCTURES for RESPONDING to MAJOR EMERGENCIES

2. 1 Confederation Level

The CI General Secretariat is responsible for the mobilization and coordination of CI MOs response to major emergencies, as well as for the facilitation of the financial coverage of the response. The International Cooperation Department (ICD) of the CI General Secretariat works closely with both national and regional structures in undertaking these tasks, and involves all the relevant departments of the CI General Secretariat (Regional Desks, Global Issues [Advocacy] and Communications) in responding to major emergencies.

2. 2 Regional Level

CI regions work closely with their individual members in responding to major emergencies so that each region interacts with the General Secretariat of CI in a coordinated fashion. Although all CI regions are developing their own working structures for responding to disasters in the spirit of regionalization outlined by the 16th CI General Assembly, they are hereby urged to accelerate this process in order to maximize the use of regional resources, both human and material.

2. 3 INTERNATIONAL COOPERATION COMMITTEE FOR EMERGENCIES (ICC)

ICC is an instrument of the Confederation dealing with the Confederation's approach to major emergencies. It critically reviews mechanisms put in place by the CI General Secretariat in responding to major emergencies and is an arbitrator in case of disputes.

2. 3. 1 PURPOSE of ICC

a) To make the Confederation's response more inclusive and representative,
b) To focus on issues critical to an effective response to major emergencies, i.e., to review and advise on major emergency response approaches and,
c) To act as an arbitrator in case of discord,
d) To improve the quality of CI emergency programs by promoting a wider sense of ownership and understanding of standards involved in the CI response to major emergencies, e.g. CI Common Financial Standards and "Sphere",
e) Preparation for and follow-up of deteriorating situations which could become serious crises.

2. 3. 2 MANDATE of ICC

The mandate is issued by the ExCo for a three-year period which can be renewed.

2. 3. 3 COMPOSITION of ICC

a) A suitably qualified representative from each region of the Confederation chosen by regional commissions, where a gender balance should be respected,
b) The CI Secretary General, and
c) Relevant staff from the CI General Secretariat.

Note: The profile and functioning of the ICC should be based on the ExCo document "Reviewing the Working Mechanisms - Introduction on the Working Groups and Tasks Forces".

2. 3. 4 ORGANIZATION

a) Convocation of ICC and Working Method

The first meeting of ICC is convened by the CI Secretary General, while the subsequent ones are convened by the CI Secretary General in collaboration with the ICC president.

ICC will be managed and work in a participatory manner keeping Caritas partnership principles in mind.

b) ICC President

The president will be elected at the ICC's first meeting and ratified by the CI Bureau. He/she will be responsible for calling of the meetings (in conjunction with the CI Secretary General), preparation of their agenda and follow up, organization of teleconferences etc.

c) Frequency of ICC Meetings and Reviews

The ICC should meet no less than twice a year during its first three years. However, a review should be done after each placement of CI mechanisms for responding to major emergencies during the initial mandate. Such reviews can be affected through telecons, e-mail or meetings.

d) Administrative Support

The International Cooperation Department of the CI General Secretariat provides administrative support to the Committee.

2. 3. 5 FINANCING of ICC

ICC costs (expenses related to meetings or to hiring of consultants) will be covered out of the CI budget where the appropriate provisions will have to be made.

2. 4 EMERGENCY RESPONSE SUPPORT TEAM (ERST)

2. 4. 1 DEFINITION of ERST

ERST is a crisis management mechanism and its raison d'être is to express the Confederation's solidarity with the affected people and its local member, to ensure timely and effective initiation of CI Confederation's response in any major emergency, and to report on it to the network via the CI General Secretariat.

ERST is a short-term operational team, which responds to a variety of needs during the first 6 weeks of a major emergency. It is an instrument of the Confederation which is accountable to the CI Secretary General. The competency of ERST members to do a professional job quickly is a primary consideration in their appointment.

In consultation and agreement with the local Church in the affected country, there should be an ERST in the initial phase of any major emergency to provide accurate and timely information and facilitate coordinated decisions about future direction.

2. 4. 2 MANDATE of ERST

The mandate is formally issued by the CI Secretary General for a period of up to 6 weeks which can be renewed.

2. 4. 3 ERST TASKS

ERST's tasks vary depending on the type of crisis, the local Caritas and Church structure and capacity, as well as the political and religious context. The "ERST Phase" (or "Delivery Phase") is characterized by immediate response to acute needs, and it aims, inter alia, to:

a) Conduct an initial assessment of the disaster with a view to establishing the response of the Confederation,
b) Establish an overview of the national Caritas and Church response to date,
c) Develop a quick impact special operations appeal (SOA) covering the immediate needs,
d) Understand the local Church and Caritas context and conduct such analysis in situ,
e) Prepare regular and comprehensive situation reports for the CI network, including a political and social analysis, and inform CI MOs through the CI General Secretariat,
f) Provide articles and photos for media distribution and any relevant material for advocacy statements, and support Caritas in receiving journalists and media representatives.
g) Assess the capacity of the affected Caritas to respond,
h) Establish contacts with other agencies (especially UN) and NGOs in the field,
i) Establish contacts with relevant embassies (including the Nunciature) and potential institutional donor representatives in the country,
j) Develop an emergency database on CI MOs and other Catholic agencies working in the country in order to allow ERST the development of an inclusive action plan. The information in the database on each CI MO / Catholic agency in the affected country should include the following items:

- preparedness level or prior experience with emergencies
- public response to their presence and activities
- equipment and logistics availability
- customs and tax issues
- satellite phone and fax usage
- internet availability.

k) Initiate discussion with the local Church and Caritas about the next actions to be taken, and agree on recommendations for the future course of CI Confederation's support, including the possible formation of a support and coordinating mechanism such as Solidarity Team for Emergency Partnership (STEP), Liaison Agency, technical assistance, consultancy etc.
l) Participate in CI-organized teleconferences concerning the disaster,

m) Perform a self-evaluation at the end of the mission if appropriate,
n) Assess logistical needs.

All the above tasks will be carried out **in conjunction with the local Caritas in the spirit of partnership and mutuality.**

2. 4. 4 ACTIVATION of ERST

After receiving information about an occurring major disaster from the Caritas in the affected country, other CI MOs, or the media, the CI Secretary General – after having contacted the Caritas in the affected country – will have the right to send a Confederation representative as a sign of solidarity. After a further consultation with the Caritas and local Church in the affected country, the CI Secretary General will decide whether to activate an ERST mission.

The request for ERST can also be communicated to the CI Secretary General by any Caritas member or regional structure within the Confederation, or any emergency structure within the CI network. **Criteria** for the activation of ERST include:

a) Magnitude of disaster
b) Political and religious context
c) Church or Caritas context
d) Church or Caritas capacity
e) Constituencies' demands in countries of CI MOs
f) Complementarity with other organizations involved.

The decision to activate ERST is taken by the CI Secretary General or the officer in charge at the CI General Secretariat – in consultation with the Caritas in the affected country – **within eight (8) hours** of the original request or being suitably informed.

The composition of ERST is based on a telephone conversation among the CI Secretary General, the officer in charge or the relevant CI official and the organizations that are to participate in most ERST missions, viz. Caritas in the affected country and/or selected CI MOs present in the affected country, the relevant regional representative, the Emergency Task Force (ETF) of Caritas Europa and CRS. Members of the team should do their utmost to **reach the affected area as soon as possible** (within 48 hours of the declared emergency, if feasible).

2. 4.5 SELECTION CRITERIA for ERST Members

As the ERST is a short-term operational team, it should be made up of professionals possessing the required technical expertise, knowledge of the country or region, and religious sensibility combined with the knowledge of the CI Confederation and the Church. Ideally, the team should be gender-balanced and have members with the following **skills**:

a) Program management skills with extensive emergency experience
b) Relevant technical emergency skills

c) Good PR and inter-personal skills
d) Communications and computer skills
e) Awareness of Caritas partnership principles.
f) Familiarity with the local context and culture
g) Religious sensibility and knowledge of the Catholic Church and its role in emergencies and development
h) Appropriate language skills
i) Freedom of movement (Visas, passport, vaccinations etc.).

2. 4. 6 COMPOSITION of ERST

The composition and deployment of an ERST is **confirmed** by the CI General Secretary during a telecon initiated by the CI General Secretariat with the CI member organization in the affected country, ETF of Caritas Europa, CRS, and the relevant regional coordinators or members. At the same time, the CI Secretary General may nominate a CI Confederation representative on the ERST. The representative may not be necessarily an employee of the General Secretariat of CI.

In this context, CI regions should develop their own **databases** of expertise and keep them current. The experts for ERST should be chosen by the region, be employees of a CI MO, and be available for immediate departure.

It is imperative that the Caritas and/or Church in the affected country be represented on ERST. If not, the local member organization or the Bishops' Conference should nominate a contact person to deal with ERST.

2. 4. 7 ORGANIZATION of ERST

a) ERST Leader

The ERST Leader must be identified and appointed by the CI Secretary General before the team reaches the disaster area or the Caritas in the affected country. The appointment should be done on the basis of experience and knowledge available to the CI General Secretariat. The ERST Leader is responsible for the division of labor within the team, adherence to deadlines etc. and will act in a participatory manner.

b) Reporting Relationship

The leader is ultimately accountable to the CI Secretary General who will ensure proper reporting to all CI MO. The ERST members report to the Leader, though a participatory approach to management should be used.

2 . 4. 8 FINANCING of ERST

A fund will be established at the CI General Secretariat to support ERSTs. The fund will be replenished from relevant subsequent SOAs. Contributions from funding institutions will be solicited through the appropriate CI member organizations.

2. 4. 9 EVALUATION of ERST

The ICC will review ERST's performance and assess the ERST's self-evaluation where applicable.

2. 4. 10 PREPARATORY PHASE of ERST

a) Briefing

The ERST will be briefed on the context of the Church and Caritas in the affected country. Such briefing could be provided by the affected CI MO, the CI General Secretariat, former CI "liaison agencies" (if any), through a telecon with knowledgeable sources or through a combination of these.

b) Standards

In order to ensure a common methodology, to respect international standards of quality and volume of assistance, and do no harm to exacerbate conflict, ERST members should be familiar with humanitarian standards in general, and the Sphere Handbook in particular. Each ERST member should have the Sphere Handbook on the mission and ideally be trained in its use. Above all, in using standards, concerns about human dignity, justice and solidarity should be addressed.

c) Visibility Items

The ERST should carry and use "Caritas Network" identification items such as T-shirts, arm bands, stickers, hats etc., as long as this does not offend local sensibilities as per judgement of the local Caritas. The recommendation as to the potential sensibilities and risks for ERST involved should be the result of a political assessment and understanding of the country in question, to be performed by the respective CI region and included in the briefing of ERST.

2. 5 FOLLOW-UP ON EMERGENCIES

Towards the end of the ERST's assignment during the acute phase of a major emergency, the local Church and Caritas – in consultation with ERST and the CI General Secretariat – should decide on the need for a follow up support from the Confederation. In the event that an agreement cannot be reached during this dialogue, the CI Secretary General takes a decision in the best interest of the affected population after extensive consultations, especially with the local Caritas/Church. The follow-up support and coordinating mechanism can take one or a combination of the following forms:

a) Short Term Consultancy (technical assistance and/or capacity building)
b) Solidarity Team for Emergency Partnership (STEP)
c) Liaison Agency (the concept is to be reviewed this year and adjusted accordingly)
d) Periodically visiting CI MOs
e) Other (or a combination of the above).

The selected mechanism must be flexible and simple, and be tailored to fit the circumstances of the individual emergency and the local Caritas situation. This is a critical period for demonstrating the powerful benefits of the principle of mutuality, and the selected mechanism should provide a unique opportunity for all CI interested members and

other Catholic organizations to actively participate in the response in a coordinated and collaborative fashion. The outcome of the above mentioned dialogue must ensure that the interested CI MOs are indeed granted this opportunity. All CI MOs are then expected to respect the mechanism.

2. 5. 1 SOLIDARITY TEAM for EMERGENCY PARTNERSHIP (STEP)

In general, STEP should be an exception rather than a rule in terms of the Confederation's response to major emergencies. It is established to fulfill certain tasks such as completion of a longer-term rehabilitation / development plan and funding requests, compliance with the funding conditions, institutional capacity building, and opportunities for expressions of solidarity and mutuality. Although STEP will in most situations be one operational team, there may be cases where different CI MOs take pieces of the overall plan to implement as CI members rather than as individuals assigned to working within the structure of Caritas in the affected country. Such partners will be expected to coordinate their activities closely with the STEP or the local Caritas.

The STEP (or at least some of its members) should ideally arrive in the affected country prior to the ERST's departure in order to ensure continuity through overlapping. It is also possible that some of the ERST members may join the STEP.

2. 5. 2 STEP MANDATE

The mandate is formally issued by the CI Secretary General upon the outcome of the dialogue concerning the type of the follow up support mentioned in item 2.5 above for a period of up to 6 months which can be renewed.

2. 5. 3 STEP TASKS

Depending on the circumstances and especially the expressed needs of the Caritas in the affected country and CI MOs concerned, STEP's tasks may include the following:

a) To work with the affected Caritas and Church in implementing emergency and rehabilitation programs,
b) To assist Caritas and Church in the affected country in the Caritas partnership spirit in developing plans ("framework of activities") for the future including strategic, planning, advocacy, reconciliation and justice issues. Such plans (or their components) could be launched either in the form of an SOA, or they could be submitted to individual CI MOs for direct responsibility and funding,
c) To coordinate and help implement the projects resulting from the item "b" above,
d) To provide regular information to the various stakeholders in country and to the CI MOs via the CI General Secretariat including information on all interventions of CI MOs and Catholic institutions,
e) To assist the local Caritas and Church in staff capacity building and in strengthening administrative structures,
f) To participate in inter-agency coordination activities,
g) To ensure the meeting of professional standards e.g. CI Common Financial Standards, Code of Conduct, and Sphere Project throughout the program,

h) To ensure donor coordination including suggestions on approaches to institutional donors (based on the local contacts with ECHO, OFDA, WFP, etc.) and others.

2. 5. 4 COMPOSITION of STEP

a) Required Skills
In close collaboration with the Caritas and Church in the affected country, the ERST will identify competencies needed for the STEP members depending on the STEP's tasks, and prepare their competency profiles.

b) Selecting the Team
The competency profiles should be submitted to the CI General Secretariat for dissemination to all CI MOs so that a multi-national team could be formed. Nominations from CI MOs will be approved by CI Secretary General in consultation with the Caritas in the affected country.

2. 5. 5 ORGANIZATION of STEP

a) STEP Leader
The Caritas in the affected country nominates someone from among the selected STEP members who manages the team's work and to whom the other STEP members report.

b) Reporting Relationship
The Leader reports to the head of the Caritas in the affected country.

2. 5. 6 FINANCING of STEP

A fund will be established at the General Secretariat of CI to support STEP, which would be replenished from relevant subsequent SOAs.

SOA ACTIVITY REPORTING
REQUIRED INFORMATION

1. Brief overview of the emergency situation.
2. Program update: Status of each intervention, difficulties in implementing. Describe the management and coordination systems used. Lessons learnt. Plans and priorities for future actions.
3. Beneficiaries – numbers reached, gender/age and type of supply/services?
4. What are the logistics of the program including equipment, storage, transportation and customs clearance?
5. What are the relevant operations of other government/NGOs/UN agencies?
6. Involvement of Caritas in co-ordination structures including government/NGOs/UN agencies?
7. Monitoring systems used (reports, field trips, audit, etc.).
8. A revised budget (if any).
9. a. Funding status of the SOA (pledges vs. receipts, spending rate - if interim report).
   b. Bilateral contributions related to the disaster, but not channelled via the SOA
10. Evaluation. Status of plans, timeframe, cost estimates.
11. Other important considerations. Describe whether some of the following issues have been incorporated into your programme: Gender, The Sphere Minimum Standards in Disaster Response, Other issues of significance to the affected country.

<u>The report should have a cover page with the following information:</u>

- Name of the organisation and contact person
- SOA in question
- Reporting period

J. CRS Situation Reporting Formats

I. Situation Update

A. Purpose

The purpose of a "Situation Update" is to provide succinct, timely information about "hot", usually large-scale emergency or imminent crisis situations, including those environments considered "high risk". The situation update is intended to inform internal management decisions on strategic issues regarding CRS' presence, staff security, program investment and support, and external advocacy and fund raising.

B. Who Submits

Situation Updates should be provided by Country Programs in which situations are rapidly changing and unstable, and/or when the occurrence of critical events which significantly impact vulnerable populations, the operating environment, and CRS' work is more frequent than normal for that country or area.

C. Distribution

1. CRS/HQ (EMT, Regional Team Leader. Team Leaders are responsible for informing other departments as requested or required.)
2. Regional Director
3. Emergency Response Team (HQ and Nairobi)
4. Others as deemed appropriate: program partners, strategic allies.

D. Timing

The emphasis is on timeliness. Updates should be issued on an as-needed basis but weekly at a minimum. Over time, it may become appropriate to forego Updates and only submit Situation Reports (Sitreps), or the Country Representative may decide to prepare them only incidentally when, in their opinion, information should be disseminated immediately or more frequently than Sitreps.

E. Content

The emphasis is on succinctness: critical new information and key issues-- usually related to political/security conditions, critical events, affected populations and their movements and conditions, staff safety and morale-- that may require immediate action or immediate preparation for future action. Confidential information should be specified as such.

F. Format

Updates may be sent by the Country Program through e-mail, fax, or telephone (when the conversation is documented by a Regional team member). The author/source/date of the information should be indicated.

II. Situation Report (SITREP)

A. Purpose

The purpose of a "Sitrep" is to provide comprehensive information about and analysis of events, conditions, and the operating environment in emergency (or potential emergency) situations on a regular basis to a wide audience inside and outside of CRS. The Sitrep provides more detail and insight into the actual and potential CRS response and activities, and the responses and activities of other agencies. to CRS/HQ departments, program partners, and actual and potential donors. The sitrep informs internal management decisions, including those relevant to programming, external advocacy, and fund raising.

B. Who Submits

Sitreps should be provided by Country Programs which: 1) have experienced or are experiencing natural or man-made disasters to which CRS and/or its partners are responding, 2) have been labelled as "high" or "moderate" risk environments by the EMT, 3) have been labelled an "emergency" by the US Government and/or the United Nations.

C. Distribution

1. CRS/HQ (EMT, Regional Team Leader, ERT HQ and Nairobi)
2. Regional Director
3. Caritas Internationalis and CIDSE partners as applicable
4. Relevant strategic allies, local and international partners, and donors
5. Other external interested parties as appropriate (eg. Interaction, ICVA, etc.)

D. Timing

Monthly at a minimum during the acute phase of the crisis, and more frequently as deemed appropriate by the Country Representative or as necessitated by information demands from other parts of the Agency, donors, or strategic allies. As the acute phase transitions to greater stability or recovery, Sitreps may be required less frequently.

E. Content

It is emphasized that confidential or sensitive information should be sent under separate cover. The following is a suggested outline.

*** Introductory Information**

1. Country Program
2. Sitrep Number
3. Dates Covered by Report (Sitreps should normally be issued at regular intervals)
4. Author

*** Highlights**
*** Overview**

A. Political/Security Situation (when applicable)

Describe changes in the politico-military situation. Emphasis should be on:

1. General analysis or report of changes in conflict and political situation nationally.
2. Changes which indicate or may indicate more violence. Describe violent incidents at CRS, distribution locations, and intervening points. Note significant changes in troop deployment and/or faction resources which may suggest future violent incidents at those locations. Describe actions being taken to reduce risks to staff and CRS assets.
3. Changes which affect or may affect peace. These include meetings between factions, peace talks, collaboration, decreases in a particular group's ability or will to fight.

and/or Natural Disaster Situation (when applicable)

Describe changes in the environment relative to the disaster. Emphasis should be on:

1. General analysis on changes in drought/flood/earthquake conditions.
2. Changes which indicate or may indicate worsening of conditions or their effects.
3. Changes which indicate or may indicate improvement in the conditions or their effects.

B. Affected Populations

Include information on locations and numbers of affected populations, including the percentage change since the last sitrep. If possible, include population percentages by gender, age (child/adult/elderly), and family status (unaccompanied/in families).

In the text, describe:

1. Population movements since the last sitrep, where appropriate: who moved, from where to where, in what numbers.
2. The affected population's character: origin, relevant features (eg., ethnicity, religion, skills).
3. The affected population's living conditions: given by sectors if possible (eg., 1. food access/availability: numbers moderately and severely malnourished, 2. health: mortality levels, incidence of epidemic diseases).
4. The prognosis for their movement, if any is likely.

Sources for quantitative information if any should be identified.

Indicate whether CRS is working with these populations and if so how many are being reached. In the text, describe conditions which prevent inclusion of others in the program. This should include a summary of field trips made to new population locations.

C. Local and International Partners

Describe any significant developments in relations with local and international partners and/or their ability to carry out the program as jointly developed. State whether partner additions or deletions are being considered and why. Describe potential partners in terms of their relevance to the emergency and their ability to carry out collaborative programming.

Also, describe relations with Church officials, including the Vatican's representative and head of the Bishop's conference.

D. Programming

Summarize programming developments by sector (eg. food security, health, water/sanitation, peace building) and theme (e.g., gender responsiveness, capacity building, environmental soundness). Relate the sectoral activity to the summary of living conditions listed above. Developments could include the completion of assessments, implementation/monitoring visits, and/or evaluations conducted during the reporting period. Summarize the conclusions reached during these activities. Describe problems encountered if any and actions being taken to address them. These should include resource scarcity including planned appeals to donors if appropriate. Outline new programming options.

Include information if available on project status, with the name and number of projects, levels of funding, and time period. This list can be carried over and updated between reports.

E. Logistics

Include information on program activities by location and commodity, with percentage changes from the last sitrep. In the text, describe problems encountered or anticipated and actions being taken to address them.

F. Coordination

1. Summarize results of regular coordination meetings.
2. List multilaterals and/or NGOs entering or leaving the country, and give reasons for leaving where applicable. Describe significant developments by other agencies whose work might affect CRS programs and plans for coordinating with them.
3. Describe any changes in government policy not listed above which might significantly affect CRS programs.
4. Describe and attach any press coverage which names CRS or its staff members.
5. Include information on the principal local actors with a relationship to CRS: partners, church officials, etc.

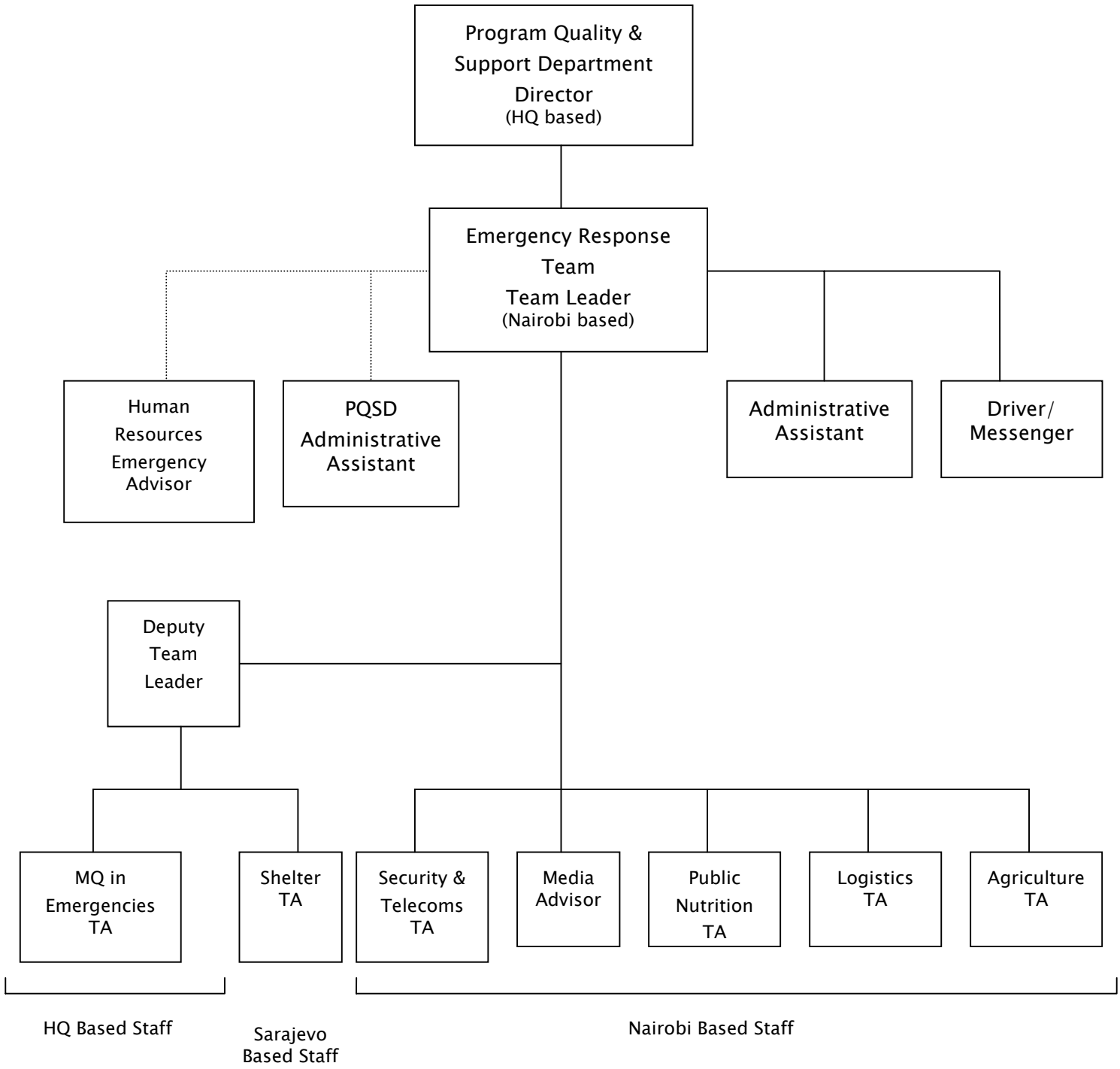
G. CRS Staff

Note any changes in professional staff since the last sitrep, including reasons for departures and planned responsibilities of new arrivals.

H. Public Information

Include any information and/or quotes that can be utilized by the Web Unit and Communications for public consumption.

K. Emergency Response Team Organizational Chart



L. Emergency Response Checklist for Managers

- ☐ Country Representative (CR) and Regional Director (RD) provide early warning information to Regional Teams/Baltimore and ERT/Baltimore and include an indication of the magnitude of the emergency and potential CRS response (see the Situation Report format in Annex J)

- ☐ Regional Teams, as principal HQ points of contact for the field, keep the EMT and ERT appraised of the situation

- ☐ If evacuation is a possibility, Regional Teams are in direct contact with the EMT (see the Emergency Evacuation Checklist in the CRS Security and Staff Safety Guidelines)

- ☐ CR and RD request start-up funds directly from EMT if required immediately to launch a large scale and/or high profile response.

- ☐ Requests for private undesignated funds based on a proposal are sent to the ERT HQ for review and recommendation (see the review process diagram in Figure 3.1)

- ☐ The ERT/HQ calls an Emergency Response Working Group (ERWG) meeting to provide an update to the situation and clarify HQ roles and responsibilities (see the ERWG Protocol in Section 3.3)

- ☐ Requests for ERT staff to travel to the emergency are made directly to the ERT Team Leader by the RD and CR. Availability of ERT staff to assist with the emergency based on the needs identified by the CR and RD are determined by the ERT Team Leader

- ☐ Additional TDY staff needs are handled by the Regional Team and/or in coordination with other RDs to network on the availability of available TDY staff. The HR Emergency Recruiter is deployed if there is a need for HQ level HR participation

M. Websites for Humanitarian Relief News, Organizations, Donors

Note: This is not an exhaustive list.

A

ACTIONAID	www.actionaid.org
Action Against Hunger - UK	www.aah-uk.org
Action Against Hunger - USA	www.aah-usa.org
Action Contre la Faim (ACF)	www.acf-fr.org
Action by Churches Together (ACT)	www.act-intl.org
Adventist Development and Relief Agency (ADRA)	www.adra.org
Africare	www.africare.org
AlertNet	www.alertnet.org/
ALNAP	www.alnap.org/
American Friends Service Committee (AFSC)	www.afsc.org/
American Red Cross (ANRC)	www.crossnet.org
American Refugee Committee (ARC)	www.archq.org
Amnesty International	www.amnesty.org/
Asia Pacific Disaster Management Centre	www.apdmc.com
Australian Council for Overseas Aid (ACFOA)	www.acfoa.asn.au

B

Bureau of Population, Refugees and Migration

(U.S. Department of State)
www.state.gov/www/global/prm/

C

CAFOD	www.cafod.org.uk
CARE	www.care.org

Caritas Internationalis	www.caritas.net
Caritas Ambrosiana	www.caritas.it
Caritas Germany	www.caritas-international.de
Caritas Switzerland	www.caritas.ch
Catholic Medical Mission Board (CMMB)	www.cmmb.org
Centre for Research on the Epidemiology of Disasters	www.cred.be
Conflict(CCPDC)	www.ccpdc.org
Children's Aid Direct (CAD)	www.cad.org.uk
Christian Aid	www.christian-aid.org
Christian Children's Fund	www.christianchildrensfund.org
Church World Service	www.ncccusa.org/CWS/emre/
CIDSE: Coopération pour le Développement et la Solidarité	www.cidse.be/
Community of San Egidio	www.santegidio.org/
Concern Worldwide	www.concern.ie
Cooperazione e Sviluppo (CESVI)	www.cesvi.org

D

Danish Refugee Council	www.drc.dk
Derechos Human Rights	www.derechos.org
Disasters Emergency Committee (DEC)	www.candric.com/appeal/
The Disaster News Network	www.disasternews.net
Doctors Without Borders	www.doctorswithoutborders.org/
Doctors of the World (DOW)	www.doctorsoftheworld.org

E

European Community Humanitarian Office (ECHO)	www.europa.eu.int/comm/echo/en/index_en.html
European Council on Refugees and Exiles (ECRE)	www.ecre.org
European Network on Integration of Refugees	www.refugeenet.org
European Roma Rights Center (ERRC)	www.errc.org/
European Volcanological Society (S.V.E.)	www.sveurop.org

F

Famine Early Warning System-USAID	www.fews.net
Food and Agriculture Organisation	www.fao.org
Food for the Hungry	www.fh.org
Food for Peace-USAID	www.usaid.gov/hum_response/ffp/
Forced Migration Projects	www.soros.org/migrate.html
Forum Europe (Humanitarian Affairs Review)	www.humanitarian-review.org

G

GTZ: German Technical Cooperation	www.gtz.de
Global IDP Project	www.idpproject.org
GOAL	www.goal.ie
Groupe d'Urgence et Developpement	www.urd.org

H

HelpAge International(HAI)	www.oneworld.org/helpage
Human Rights Watch	www.hrw.org

I

InterAction	www.interaction.org
International Committee of the Red Cross (ICRC)	www.icrc.org
International Council of Voluntary Agencies (ICVA)	www.icva.ch
International Federation of Red Cross and Red Crescent Societies (IFRC)	www.ifrc.org
International Institute of Humanitarian Law (IIHL)	www.iihl.org
International Medical Corps (IMC)	www.imc-la.com
International Orthodox Christian Charities	www.iocc.org
International Peace Bureau (IPB)	www.ipb.org
International Rescue Committee	www.intrescom.org/index.html
Islamic African Relief Agency, USA (IARA-USA)	www.iara-usa.org
Islamic Relief (IR)	www.islamic-relief.org.uk

J

Jesuit Refugee Services	www.jws.org

K

L

Lutheran World Federation (LWF)	www.lutheranworld.org
Lutheran World Relief (LWR)	www.lwr.org/

M

MEDAIR	www.medair.org
Médecins du Monde - International	www.multimania.com/medecinsdumonde/international
Médecins Sans Frontieres	www.msf.org/
Medical Emergency Relief International (MERLIN)	www.merlin.org.uk
Mennonite Central Committee (MCC)	www.mcc.org
Mercy Corps International	www.mercycorps.org
Mercy Airlift (Mercy Air)	www.mercyairlift.org
Mercy International-U.S.A., Inc.	www.mercyusa.org
Mines Advisory Group (MAG)	www.oneworld.org/mag/

N

Norwegian Church Aid (NCA)	www.nca.no
Norwegian People's Aid	www.npaid.no
Norwegian Refugee Council	www.nrc.no

O

Office of Foreign Disaster Assistance (OFDA)	www.usaid.gov/hum_response/ofda
Office of the Coordination of Humanitarian Affairs (UNOCHA)	http://reliefweb.int/ocha
Office of Transition Initiatives (OTI)	www.usaid.gov/hum_response/oti
OneWorld Online	www.oneworld.org
Oxfam	www.oxfam.org

P

Pharmaciens Sans Frontieres International	www.psf-pharm.org
Physicians for Human Rights	www.phrusa.org

Q

R

Rädda Barnen	www.rb.se
RedR (U.K.)	www.redr.org
Refugees International	www.refintl.org
Relief International (RI)	www.ri.org
Rotary International	www.rotary.org
Relief Web	www.reliefweb.int/w/rwb.nsf

S

The Salvation Army	www.salvationarmy.org
Save the Children Fund	www.savethechildren.org.uk
Save the Children U.S.	www.savethechildren.org

T

Tearfund	www.tearfund.org

U

UNHCR	www.unhcr.ch
UNICEF	www.unicef.org
US Agency for International Development	www.usaid.gov
The U.S. Committee for Refugees (USCR)	www.refugees.org

V

Voluntary Organisations in Cooperation in Emergencies (VOICE)	www.oneworld.org.voice

W

World Bank	www.worldbank.org
World Concern	www.worldconcern.org
World Council of Churches (WCC)	www.wcc-coe.org
World Food Programme	www.wfp.org
World Health Organisation	www.who.int/home-page
World Vision	www.worldvision.org

Glossary

Accountability: The responsibility to demonstrate to stakeholders, foremost of whom are disaster-affected people, that humanitarian assistance complies with agreed standards. (Sphere Handbook)

Anthropometry: The study of human body measurement.

Capacity building: Any intervention designed either to reinforce or create strengths upon which communities can draw to offset disaster-related vulnerability (Lautze, Hammond, Coping with Crisis, Coping with Aid, December 1996).

Complementary Food Ration: provides one or two food commodities to complement existing foods available and accessible to the affected population (Sphere Handbook).

Complex Emergency: Internal political crises and/or armed conflict, complicated by an array of political, social and economic factors. (Source: United Nations CETI Contingency Planning Training, Oct. 1996).

Contingency Planning: A forward planning process in a state of uncertainty in which scenarios and objectives are agreed, managerial and technical actions defined, and potential response systems put in place to prevent or improve response to an emergency.

Coping Strategy/Mechanism: Various activities that individuals, households and communities develop to overcome poverty, adversity and crisis. Coping strategies vary by region, community, social class, ethnic group, gender, and according to the nature and duration of the risk or emergency occurring at the time. Patterns of coping behavior as well as household assets utilized to cope with a crisis will depend on who—women or men—make the decisions (Maxwell, S. and Frankenberger, T., Household Food Security: Concepts, Indicators, Measurements. A Technical Review; UNICEF, IFAD, USA, 1995)

Disaster: Situation or event, which overwhelms local capacity, necessitating a request to national or international level for external assistance *(definition considered in EM-DAT)*; An unforeseen and often sudden event that causes great damage, destruction and human suffering. Though often caused by nature, disasters can have human origins. Wars and civil disturbances that destroy homelands and displace people are included among the causes of disasters. Other causes can be: building collapse, blizzard, drought, epidemic, earthquake,

explosion, fire, flood, hazardous material or transportation incident (such as a chemical spill), hurricane, nuclear incident, tornado, or volcano (Disaster Relief).

Disaster-Affected People/Population: All people whose life or health are threatened by disaster, whether displaced or in their home area. (Sphere Handbook)

Drought: Period of deficiency of moisture in the soil such that there is inadequate water required for plants, animals and human beings.

Early Warning: A process of information gathering and policy analysis to allow the prediction of developing crises and action either to prevent them or contain their effects. The key elements of early warning are collection of information, analysis of that information, dissemination of findings and action.

Earthquake: Sudden break within the upper layers of the earth, sometimes breaking the surface, resulting in the vibration of the ground, which where strong enough will cause the collapse of buildings and destruction of life and property.

Emergency: An emergency is an extraordinary situation, present or imminent, in which there are serious and immediate threats to human life, dignity and livelihoods.

Emergency Preparedness: Emergency preparedness activities aim to protect lives and property from an immediate threat, to promote rapid reaction in the immediate aftermath of a disaster, and to structure the response to both the emergency and longer-term recovery operations.

Flood: Significant rise of water level in a stream, lake, reservoir or coastal region.

Food Security: USAID defines food security as, "When all people at all times have bot physical and economic access to sufficient food to meet their dietary needs for a productive and healthy life." The three pillars of this food security model are access, availability and utilization.

General Food Distribution: a distribution program that provides a complete basket of food commodities in quantities sufficient to meet requirements. (The Sphere Handbook).

Human Rights Law: the body of customary international law, human rights instruments and national law that recognizes and protects human rights. Refugee law and human rights law complement each other. (Protecting Refugees: A Field Guide for NGOs, United Nations Publications, Geneva, May 1999)

Humanitarian Actor: An organization that supports the provision of humanitarian assistance. (Sphere Handbook)

Humanitarian Assistance: The provision of basic requirements which meet people's needs for adequate water, sanitation, nutrition, food, shelter and health care. (Sphere Handbook)

Hurricane: Large-scale closed circulation system in the atmosphere above the western Atlantic with low barometric pressure and strong winds that rotate clockwise in the southern hemisphere and counter-clockwise in the northern hemisphere. Maximum wind speed of 64 knots or more [See « *cyclone* » for the Indian Ocean and South Pacific and eastern Pacific and « typhoon » for the western Pacific]. (*in EM-DAT, « hurricane » is a disaster subset of disaster type « wind storm »*).

Internally Displaced Person: persons or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized State border. (Cohen, Roberta and Francis Deng. Masses in Flight: The Global Crisis of Internal Displacement, Brookings Institution Press, Washington, D.C., 1998)

International Humanitarian Law (or the law of armed conflict): the body of law, regulations and principles that governs situations of international or non-international armed conflict. The core instruments of international humanitarian law are the four Geneva Conventions of 12 August 1949 and their two Additional Protocols of 8 June 1977. Virtually every State is a party to the Geneva Conventions of 1949. (Protecting Refugees: A Field Guide for NGOs, United Nations Publications, Geneva, May 1999)

Livelihood: Means of support or subsistence; adequate stocks and flows of food and cash to meet basic needs. Livelihood strategy refers to the manner in which a household allocates its members' labor time in the pursuit of various means of earning to meet basic needs. (Food Security, Poverty and Women: Lessons from Rural Asia, IFAD, Rome, 1997)

Mitigation: activities that focus on minimizing the impact of a disaster or, in the case of slow-onset disasters, preventing ultimate catastrophe through activities which decrease peoples' vulnerabilities.

Natural Disaster: emergencies generated by phenomena such as earthquakes, typhoons, volcanic eruptions, and drought.

Needs Assessment: a multi-stage process of understanding the immediate needs of a population to prevent loss of life, stop deterioration of and restore household food and livelihood security status following a disaster.

Non-refoulement: a core principle of refugee law that prohibits States from returning refugees in any manner whatsoever to countries or territories in which their lives or freedom may be threatened. The principle of *non-refoulement* is a part of customary international law and is therefore binding on all States, whether or not they are parties to the 1951 Convention. (Protecting Refugees: A Field Guide for NGOs, United Nations Publications, Geneva, May 1999)

Refugee: a refugee is someone who is outside his/her country of origin; has a well-founded fear of persecution because of his/her race, religion, nationality, membership in a particular social group, or political opinion; and is unable or unwilling ot avail him/herself of the protection of that country, or to return there, for fear of persecution. (Protecting Refugees: A Field Guide for NGOs, United Nations Publications, Geneva, May 1999)

Refugee Law: the body of customary international law and various international, regional and national instruments that establish standards for refugee protection. The cornerstone of refugee law is the 1951 Convention relating to the Status of Refugees. (Protecting Refugees: A Field Guide for NGOs, United Nations Publications, Geneva, May 1999)

Supplementary Feeding Program (SFP): a feeding program that provides 1) a quality or energy supplement in addition to the normal ration which is distributed to all members of identified vulnerable groups to reduce risk (Blanket SFP: preventative), or 2) provides energy or quality supplement and basic health screening to those that are already moderately malnourished to prevent them from becoming severely malnourished and improve their nutritional status (Targeted Supplementary Feeding: curative). (Nutrition Guidelines, Medecins sans frontieres, Paris, 1995).

Therapeutic Feeding Program (TFP): a program that provides a carefully balanced and intensively managed dietary regime with intensive medical attention, to rehabilitate the severely malnourished (curative) and reduce excess mortality. (Nutrition Guidelines, Medecins sans frontieres, Paris, 1995).

Transparency: openness and accessibility of humanitarian agencies, their systems and information. (The Sphere Handbook).

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