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Bureau For Humanitarian Response

The Office of Foreign Disaster Assistance

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Results Review and Resources Request

R4 Report

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PART I. OVERVIEW AND FACTORS AFFECTING PROGRAM PERFORMANCE

1. OFDA in the Humanitarian Assistance Context

The Office of United States Foreign Disaster Assistance (OFDA) within USAID has the lead responsibility for coordinating the United States Government's (USG) response to international emergencies. OFDA's organizational mandate is to save lives and relieve suffering, which it has carried out since its creation more than 30 years ago. During that period OFDA has grown dramatically, reflecting increasing demands for emergency assistance due to a recent global upsurge of protracted civil conflicts.

To accomplish its duties, OFDA is organized into four divisions under the management of the Office of the Director. The Disaster Response Division (DRD) has the primary responsibility for responding to declared natural and complex disasters. The Prevention, Mitigation, Preparedness, and Planning (PMPP) Division oversees the portfolio of activities designed to prevent or reduce the impact of disasters on people and economic infrastructure in targeted at-risk countries. The Operation Support Division (OS) provides the necessary technical and logistical support to the office and its programs and personnel overseas. The Program Support Division (PS) administers OFDA's budget and accounting systems allowing for rapid movement of funds to respond quickly to disasters.

The largest percentage of OFDA assistance goes to relief and rehabilitation activities managed through grants to non-governmental organizations (NGOs), international organizations (IOs) and United Nations (UN) organizations. While the primary responsibility for disaster relief rests with the affected government, OFDA provides assistance in cases where the situation exceeds that government's capacity to respond. In these cases, OFDA assistance supplements, supports, and is coordinated with other international donors. OFDA provides humanitarian assistance in response to a declaration of a foreign disaster made by a U.S. Ambassador, or by an Assistant Secretary of State in cases where no U.S. Ambassador is present. The relief which OFDA furnishes may take the form of commodities, transportation, monetary donations, relief and rehabilitation services provided through NGO and IO grants (the major means by which OFDA provides relief assistance), and, if necessary, on-the-ground relief through the deployment of an assessment team or a Disaster Assistance Response Team (DART). In many cases, the assessment information developed by a DART or an assessment team lays the foundation for disaster response activities of implementing partners.

Relief activities can take an almost infinite variety of forms depending on the particular circumstances. For a natural disaster, such as an earthquake, the activities might involve a search and rescue component, provision of emergency items such as plastic sheeting and water bladders, logistics support, and emergency health and sanitation programs. For complex disasters, a wide range of assistance is often required, from immediate food, water, and health (particularly immunization) requirements, to longer-term rehabilitation assistance. This must all be provided in the context of often dangerous civil strife situations where access to those in

need may be limited. Populations may be moving in different directions with different needs, while numerous donors, IOs, NGOs, and military logistical support teams from various countries may all be involved, each implementing its own program. Given the enormous complexity of any

multifaceted humanitarian assistance effort, coordination between the large numbers of players is a critical component of these operations.

Rehabilitation activities, which are often initiated in conjunction with relief activities, can include providing seeds and tools to farmers, increasing the capacity of local organizations to respond to disasters, or promoting the adoption of famine prevention measures where relevant.

The goal of each activity is to meet the humanitarian needs of the affected population, with the aim of helping to restore the population's livelihoods.

OFDA also oversees a small portfolio of activities designed to reduce the impact of disasters on victims and on economic assets in countries prone to natural disasters. In recent years, OFDA has invested in a number of activities in partnership with the United States Geological Survey (USGS), the United States Department of Agriculture (USDA), the Pan American Health Organization (PAHO), and the Asian Disaster Preparedness Center (ADPC), among others. These activities both enhance a country's capacity to manage its own disasters and hazards, and promote the transfer of technology, goods, and services between the US and the host country. Mitigation and prevention activities range from investing in drought early warning systems that can potentially head off a famine, to training local relief workers to manage the response to a disaster.

In its role as the organization responsible for coordinating US relief assistance in natural and complex disasters, OFDA has recently developed an in-house capacity for monitoring early warning data for preparedness planning. In this context, OFDA maintains a biweekly list of countries that are considered at-risk of complex emergencies. For all countries on the risk list, OFDA compiles information on humanitarian issues, analyzing current and probable relief

Types of Disasters	
Complex Emergencies	Humanitarian emergencies which are frequently caused or complicated by civil strife. Although complex emergencies can only be resolved by a political solution to the root causes of the crisis, humanitarian assistance is necessary in the interim to save lives and alleviate human suffering.
Natural Disasters	Humanitarian emergencies which are caused by hydro-meteorological and geophysical hazards such as floods, severe storms, storm surges and tsunamis, land slides, earthquakes, volcanoes, fires, drought and pest and disease outbreaks.
Man-made Disasters	Humanitarian emergencies caused by human error in design, implementation, operation and management. These emergencies include the collapse of bridges and other infrastructure and industrial and technological accidents.

needs and constraints, as well as identifying capacities of relief agencies on the ground. For the countries in the very high-risk category, OFDA develops preparedness plans using a collection of baseline information crucial to relief, such as demographics, logistic capacity, nutrition and health, food security and livelihood. OFDA routinely makes maps of its humanitarian assistance operations for emergency management and planning purposes.

2. Factors Influencing OFDA's Performance

Several trends have a direct bearing on the changing nature of emergency response. Since the 1980s, as resources have been increasingly applied to complex emergencies, the nature of emergency relief has undergone a significant transformation. As shown in Figure 1, prior to 1989, approximately 80% of OFDA's budget was allocated for natural disasters. More recently, with the increase

of highly visible, large-scale, protracted complex emergencies, such as those in the Horn of Africa and the former Yugoslavia, there has been a dramatic shift in OFDA's funding. Now more than 80% goes towards responding to these multifaceted crises which are mostly political in origin, and which tend to last longer and have more enduring impacts than natural disasters. Over the past few years, a significant share of relief resources

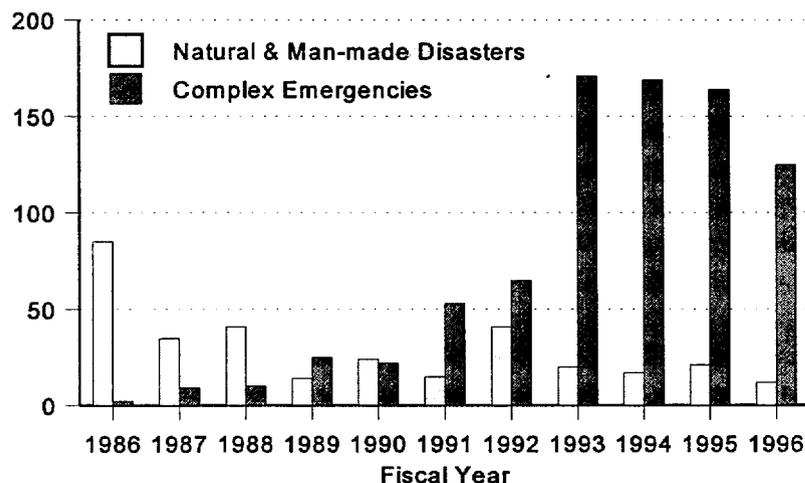
have gone to Africa because of the breakdown of social services, dysfunctional governance or the absence of effective government structures to manage disasters and economic declines, and the deepening of poverty in most of the conflict-prone countries in Africa.

As a result, OFDA's activities are carried out under extremely diverse situations worldwide. While there are elements of similarity between many complex emergencies today, the differences between programs in Sudan and the former Yugoslavia, for instance, illustrate the variation among complex emergency response programs.

Recent trends, which reflect the change in the nature of conflicts themselves, and consequently the nature of OFDA's strategic direction, include the following:

Figure 1. OFDA Obligations

(\$ in millions)



- Recent complex emergencies are characterized by a combination of factors: political and civil strife, the breakdown of governance structures, sudden and large migrations of displaced persons or refugees, massive breakdown of basic economic and social infrastructure, the degeneration of health conditions, and the emergence of famine.
- Too often, the security situation in complex emergencies threatens the lives of relief workers, isolates the affected population, and makes the relief response difficult and costly.
- Many complex emergencies are protracted in nature and often require elusive political solutions.
- Implementation of relief programs relies heavily on NGOs, IOs and UN agencies, as well as on the International Committee of the Red Cross (ICRC). Currently OFDA provides more than 65% of its funding to more than 50 NGOs and IOs. The effectiveness of these partners is critical to OFDA's overall performance, yet they, too, are grappling with the changing demands of complex emergencies.
- The growing number of humanitarian assistance providers -- from NGOs to IOs and the military -- has led to a much greater need for coordination in all emergency assistance phases.
- Economic realities within the donor community, and in the US in particular, pose significant challenges to maintaining high resource levels for long-term, large-scale emergency relief efforts.

OFDA has developed new procedures to deal with these challenges. It has reconfigured its staff to respond to these changing needs both in Washington and in the field deploying DARTs and emergency disaster relief coordinators (EDRCs). OFDA also has regional advisors posted in the field who work with the NGOs, IOs, UN, host governments and local and regional entities to prepare for and respond to disaster situations. Just as OFDA has continually refined its techniques and methodologies to respond more effectively and efficiently to complex emergencies, OFDA's NGO partners have adapted their programming techniques to deal with the volatility of disaster situations.

While many programming priorities are the same in complex emergencies as in natural disasters -- water, shelter, health services, and support for food distribution -- the planning, implementation, and approach has been significantly altered to address the constantly changing dynamics outlined above.

PART II. PROGRESS Towards OBJECTIVES

With such rapid change in the humanitarian field, OFDA monitors and adjusts its programming on an ongoing basis. However, development of the strategic framework was a significant first step at the beginning of a new process for OFDA. In laying out a results framework for the first time, the office established (1) performance indicators to measure program success, and (2) links between intermediate results and strategic objectives to ensure achievement of measurable results. As a first step in implementing its performance monitoring plan, OFDA has created a basic measurement methodology and developed a process for collecting and analyzing the performance data.

While OFDA is committed to enhancing its ability to assess the success of its relief programs, measurement of results in emergency situations poses significant challenges. In particular, the temporary nature of emergency responses and lack of adequate lead time often preclude readily available baseline data. Therefore, OFDA recently initiated a process to establish baseline data which is now being collected from the field. Once baselines have been established, performance targets will be set accordingly for each indicator. For some of OFDA's activities, such as disaster preparedness training, baselines and targets will be much easier to obtain than are those for the first phase of a new emergency. In addition, because OFDA manages a worldwide portfolio, aggregating performance results at the office level is an issue being addressed by the R4 team. Rather than aggregating results across countries, OFDA will initially measure the success of its program by analyzing how well each implementing partner is performing in each country.

Given the complexity of these tasks, OFDA will initially test this approach on a pilot basis in two or three countries that have experienced long-term emergencies, such as Sudan and Angola. Therefore, the collection of data for indicators will be limited to selected countries for the first year, and will be reported in the next R4 report. In light of the trial nature of this exercise, OFDA expects field tests to show that some indicators are not feasible to measure. Others may prove not to be as useful as anticipated. Therefore, OFDA views the coming year as a test period in which it may substantially refine the current results framework.

In order to initiate this process, OFDA will work closely with its implementing NGO partners this year, both in Washington and in the field, to verify the measurability and availability of indicator data and to develop appropriate rapid assessment tools. This will include workshops in the field with NGO partners. Based on the results of these field verifications, OFDA will further refine and update its Guidelines for New Grant Proposals and Grant Revisions for the NGOs. Through this guidance, OFDA will encourage and assist NGOs to report on OFDA's performance indicators. As the process is further refined in coming years, OFDA expects that the rest of its programs will gradually be included in the performance monitoring plan. The steps for implementing OFDA's performance monitoring plan are shown in Annex I.

NGO's in designing their activities. ~~The assessments identify the number of people most in need among the affected population.~~ With the objective of providing assistance to all needy people, OFDA attempts to reach as much of the impacted population as possible within the limits of its resources.

In FY 1996, OFDA responded to complex emergencies in 16 countries at the cost of \$127.3 million (see Annex II). Working through NGOs and international agencies, OFDA met the needs of hundreds of thousands of internally displaced people and refugees. It provided emergency health care, immunized children, supplied shelter material, distributed food, and dispensed seeds and farm tools to revitalize the agricultural productivity of returnees.

In FY 1996, OFDA responded to 45 officially declared natural disasters in 35 countries. There was flooding in 15 countries; cyclones, hurricanes, tornados and typhoons in 9 countries; earthquakes in 6 countries; and epidemics (polio, measles, and meningitis) in 3 countries (see Annex II). In 28 countries where data is available, OFDA's emergency assistance reached more than 60% of the affected population of 15.6 million. These 28 countries accounted for 76% of all natural disasters declared in FY 1996. In addition, OFDA responded to four declared man-made disasters (a collapsed bridge, an exploded gas line, a subway electric fire, and a capsized ferry boat) in four countries at a cost of \$300,000.

Four intermediate results support achievement of Strategic Objective No. 1. The first intermediate result supports the SO by improving targeting of emergency assistance to the most vulnerable groups. The second contributes by delivering emergency assistance in a timely manner that meets recognized standards. The third promotes achievement of the SO by helping to restore the livelihoods of disaster victims. The fourth buttresses achievement of the SO by strengthening the disaster response capabilities of NGOs and host government entities. Each of these intermediate results is addressed below.

Intermediate Result 1.1: *Improved targeting of emergency assistance to the most vulnerable groups*

This intermediate result indicates how effectively OFDA targets assistance towards those most in need among the affected population. OFDA is working to improve its targeting of emergency assistance to support the existing capacities and coping mechanisms of targeted vulnerable populations. Progress towards the achievement of this intermediate result will be assessed in terms of the following performance indicators:

- Indicator 1.1.1 Percent of disaster responses based on a periodic process of needs assessment and recalibration of targeting:
- a. complex emergencies
 - b. natural and man-made disasters

During the first stage of disaster response, emergency assistance is provided to the affected population quickly to minimize the loss of life and of economic assets on the basis of an initial field assessment. Depending on the duration of the crisis, however, emergency responders are expected to reassess the situation and target emergency assistance to the most vulnerable people on an ongoing basis. For example, continual monitoring and assessment of the needs of victims of Hurricane Caesar, which struck Costa Rica on July 26, 1996 and caused major havoc, ensured that critical needs of the victims were adequately met (see Box 1).

Box 1: Continuous Monitoring Ensured That Critical Needs of Storm Victims Were Met

On July 26, 1996, Hurricane Caesar hit land in Central America, causing torrential rains, destructive winds and severe flooding in Costa Rica. The OFDA Latin America Regional Team confirmed that damage was particularly extensive in the central and southern Pacific regions. Over 571,000 people were affected, including 31 dead. The number of people evacuated to safer areas was 7,700. It was estimated that at least 40,000 people were isolated due to high flood waters and landslides. According to the UNDHA, more than 3,800 houses, 150 bridges, 29 aqueducts, eight hospitals and 95 schools were damaged or destroyed.

The OFDA Regional Team, working in full cooperation with U.S. Embassy staff, the local and national governments of Costa Rica and other international donors, continued to assess the situation closely and recommended additional response activities as needs were identified. On July 30, they met with the National Emergency Commission of Costa Rica (NEC) to discuss appropriate options to meet the continuing needs of storm victims. Based on recommendations from these consultations, OFDA provided \$100,000 to support the local hire of airlift transport to carry locally-provided food and other relief commodities to the most severely affected areas.

On August 7th, after further observation and consultations with the NEC and other donors, the Regional Team determined that some of the most critical needs of the victims were not being met. Within three days, an OFDA-funded commercial airlift arrived at San Jose carrying needed relief commodities from OFDA's stockpile in Maryland. These included 24 three-thousand-gallon water containers, 3,000 five-gallon water containers, 22 chain saw kits and 120 rolls of plastic sheeting (capable of providing temporary shelter for approximately 1,200 families). Additionally, the U. S. Department of Defense (DOD) distributed 50,000 Humanitarian Daily Rations to the affected population.

OFDA's regional advisors continued to monitor the situation and reported that all immediate humanitarian relief needs resulting from Hurricane Caesar had been met by the efforts of the Costa Rican Government, the U. S. Government (including OFDA and DOD), and the international donor community.

In another example in Croatia and Bosnia, because of an overwhelming need for supplementary feeding assistance, areas were initially ranked as "high" or "low" need areas. This system prioritized assistance based on an OFDA-supported Feed the Children/Children's Aid Direct needs assessment. The ranking criteria took into consideration the coping mechanisms of the affected populations as well as other sources of assistance from donors or family members and friends abroad. During the grant period, the teams continually worked to find the internally displaced persons who were not being assisted by any other local or international agency. After the 1995 winter, a decision was made to stop blanket feeding and to direct assistance to the internally displaced. As a result, the number of targeted beneficiaries decreased from 153,000 in January 1996 to 52,600 in July 1996.

Intermediate Result 1.2: *Emergency assistance, meeting recognized standards, delivered within acceptable time frame*

Intermediate Result 1.2 relates to OFDA's efforts to determine an appropriate type and level of assistance and deliver it to the targeted vulnerable population in a timely manner. Progress towards achievement of this intermediate result is evaluated in terms of the following performance indicators:

- Indicator 1.2.1 Percent of disaster response programs accomplished within acceptable timeframes:
 - a. complex emergencies
 - b. natural and man-made disasters

- Indicator 1.2.2 Percent of disaster response programs that have delivered emergency assistance packages which meet international standards:
 - a. complex emergencies
 - b. natural and man-made disasters

Due to the urgent need for humanitarian assistance following most disasters, OFDA has developed the capability to begin delivering relief supplies and services within hours after a disaster occurs. Immediate response is usually required to avert deaths and loss of economic assets. Response to a major disaster normally requires close coordination with other donors, especially UN agencies, and other agencies of the US Government. Indigenous and international NGOs frequently participate in the delivery of assistance as well. Occasionally, this has resulted in slower response because of coordination or logistical problems. Timeliness of assistance can also vary, particularly in complex emergency situations, due to uncertain security conditions and poor access to those in remote and hard-to-reach areas.

OFDA has taken several steps to ensure the timely delivery of emergency assistance to disaster victims. For example, OFDA purchased 4-wheel drive vehicles and installed them with appropriate VHF, HF and Satellite communications equipment to improve the performance and security of DARTs in the field. OFDA has also hired additional staff to improve field coordination, identified more people for deployment on DARTs, and refined and updated its Field Operation Guide for personnel on DARTs. In addition, OFDA has established a military liaison unit to coordinate more effectively with the Department of Defense (DOD) components in the field in complex emergencies.

OFDA has also directly supported improvements in field operations in the NGO community through the work of two consortium committees, one on improving security for NGO field personnel, the other on improving health surveillance and health related relief assistance. OFDA continues to support and participate in the International Search and Rescue Advisory Group (INSARAG) process which has established international protocols for the delivery and receipt of search and rescue teams after major earthquakes. OFDA now maintains the capability to deploy up to two 56-person search and rescue teams in the event of a catastrophic earthquake in the American hemisphere. This capability is managed through cooperative agreements with Fairfax and Metro-Dade Counties' Fire and Rescue Services.

While there are internationally recognized standards for all areas of emergency response, i.e., liters of water required per person per day, the ability to meet those standards varies widely because of factors such as the availability of resources or lack of access to the target populations. OFDA, however, has always strived to deliver emergency assistance that meets recognized standards as quickly as possible.

There are several examples which illustrate OFDA's timely delivery of assistance in emergency conditions. One such example is the use of mobile health clinics and vaccination teams. Following the outbreak of violence in Liberia in April 1996, most of the population, particularly in rural areas, was unable to access food, medical assistance, and basic supplies. International NGOs, whose capital goods had been looted by warring factions, set up flexible yet efficient systems for emergency assistance. One NGO provided mobile clinics to isolated populations in rural areas that had been unassisted due to poor security. Several mobile medical teams provided medical consultations and health data collection on a weekly basis to dozens of different sites. This program substantially improved the health situation of people in those areas, and will stay in place as long as security conditions remain uncertain. As security and access improve, the NGO will begin a clinic rehabilitation program and phase-out of the mobile clinic operation to ensure the sustainability of health care for the rural population. Another good example of timely provision of assistance is shelter repair in Bosnia-Herzegovina before the onset of winter (see Box 2).

Box 2: A Timely Emergency Shelter Repair Program Returns Displaced Families To Their Homes

In November 1995, shortly after the Dayton agreement of peace and reconciliation, USAID sent a team to conduct an assessment of prospects for USAID assistance to the Bosnia rehabilitation effort. After three months of careful scrutiny, the team determined that an emergency shelter program would be the most efficient use of USAID's resources and would meet a priority, critical humanitarian need. As soon as it was determined that the proposed rapid, high-impact shelter program was to be managed directly by OFDA, the Office moved rapidly to make it operational.

The Bureau for Humanitarian Response and the Bureau for Eastern Europe and Newly Independent States jointly funded the Emergency Shelter Repair Program (ESRP). Funds were made available and the program was announced on March 8, 1996. Operational responsibility, including delegations of authority, was transferred to OFDA's DART in the field. The DART entered into cooperative agreements with eight NGOs to carry out this activity in 44 villages in Bosnia-Herzegovina. The time period between the initial program announcement and the award of the cooperative agreements was only seven weeks. All work was to be completed by December 1996, as everyone concerned recognized the 1996 building season as a unique opportunity to jump start repatriation under the peace and stability created and maintained by the international military peace keeping force. The ESRP, along with an adjunct mini-infrastructure repair program (MIRP) was designed to meet the following objectives:

- support the Dayton agreements by initiating and accelerating the return of displaced families to their homes in badly destroyed villages;
- demonstrate the start of the post-Dayton return to normalcy with a high-impact, visible US effort, highlighting priority need for shelter in war-affected areas; and
- focus attention of returnees on short-term employment and reestablishment of normal life.

The ESRP targeted the emergency repair of 2,500 privately-owned single family homes at an estimated cost of \$25 million. The MIRP targeted the restoration of essential services and utilities in the ESRP villages at an estimated cost of \$4 million.

According to the findings of an IG audit in November 1996, the activity achieved its objectives. In addition, the audit reported that proactive monitoring by the DART ensured that problems caused by changing circumstances were promptly and effectively addressed. In the end, 2,548 houses in 48 heavily-damaged villages were repaired, at an estimated cost of \$23.9 million, well below the original budget. The DART reported that by December 31, 1996, 1,860 families had re-occupied their homes.

A good example of an OFDA response to one of the most complex emergencies in recent years was the response to the Rwanda disaster of 1994. While there has been much analysis and criticism of the international community's activities during this period, OFDA's multi-pronged response to the urgent and unprecedented mass movement of people illustrates the requirements of an emergency of such magnitude. A critical element of the response was OFDA's continual presence on the ground even before the outbreak of violence. (see Box 3)

Box 3: Response To the 1994 Crisis In Rwanda

Immediately following the April 1994 plane crash that killed the presidents of Rwanda and Burundi, Rwandan government forces and armed militia launched a campaign to kill Rwanda's minority Tutsi and moderate Hutu populations. At the same time, government forces and the Rwandan Patriotic Front (RPF) fought a civil war for control of the country. As the RPF moved west across Rwanda, an estimated one million Rwandans fled toward Zaire. At the zenith of this exodus, 10,000 - 12,000 Rwandans streamed across the Rwanda/Zaire border per hour. At roughly the same time, other Rwandans fled en masse to Burundi and Tanzania. As these mass movements of internally displaced persons (IDPs) and refugees created a severe humanitarian crisis throughout the Great Lakes region, signs of an acute lack of shelter, food, and water were soon manifested. Particularly grave was the cholera outbreak in the Zairian refugee camps, which peaked at one death per minute during the worst days of the epidemic.

By the time the RPF claimed victory and a new government was installed in July 1994, more than 500,000 people had been killed, two million people had become displaced inside Rwanda, and another two million had fled to neighboring countries. On April 28, 1994, the U.S. Ambassador to Rwanda declared a disaster and OFDA began working in concert with other USG entities to adopt a two-pronged humanitarian relief strategy to provide direct assistance to refugees, and at the same time, intensify relief efforts within Rwanda to curb the flow of refugees and enhance prospects for the return of refugees to Rwanda.

After continual monitoring by the OFDA regional advisor, and an early May OFDA field assessment of the needs of refugees in Tanzania, Uganda, and Burundi, OFDA dispatched a DART to the region on May 25, 1994. The DART coordinated and facilitated the USG's response to the crisis, performed individual and joint UN/NGOs assessments, monitored relief needs and security conditions in the region, acted as a liaison with the U.S. military humanitarian operation, reported information from the field to Washington, and provided immediate funding to UN agencies, IOs and NGOs. The DART operated in several locations including satellite offices in Burundi, Uganda, Kenya, and Zaire. Throughout fiscal year 1994, OFDA and the DART funded \$40 million in myriad relief activities, including water and sanitation projects, emergency shelter projects, emergency medical and other relief supplies, distribution of food and provisions of non-food items, and OFDA-funded Department of Defense airlifts of relief commodities.

At the height of the crisis, OFDA worked in coordination with the State Department operations center to maintain round-the-clock contact with the DART to obtain up-to-date information and respond to issues as they emerged. OFDA also formed the Rwanda Information Center (RIC) in August 1994 in collaboration with other USAID and State Department offices. The RIC served as an information clearinghouse and provided regular updates to senior officials in USAID, the State Department, and the National Security Council to support the policy making process. Maps developed using information compiled by OFDA were distributed throughout the humanitarian assistance community during the crisis and were used to brief the President.

OFDA also worked with other relief agencies to promote and facilitate the return of refugees and IDPs to their homes. These efforts included funding UN agencies to investigate allegations of human rights abuses, funding the WFP to coordinate transportation of desperately needed relief commodities, funding a seed multiplication project to assist the then-approaching planting season, and playing an active role in coordinating the joint Government of Rwanda/NGO/IO/UN Operation Retour to facilitate the return and resettlement of IDPs in Rwanda.

Internally, OFDA has improved its grant proposal review and approval processes to respond to emergencies in a timely manner. Preliminary analysis suggests that OFDA has improved its

internal procedures for reviewing and approving such proposals. Its in-house contracting mechanism has accelerated the proposal review, approval and contracting process. To speed the process further, OFDA will provide updated proposal preparation and results reporting guidelines as well as checklists of required information to the NGOs. This should eliminate the time spent on requesting and waiting for additional information and clarification from implementing partners and reduce the time required for approving grant proposals.

Intermediate Result 1.3: *Capacities for livelihoods restored*

Intermediate Result 1.3 is focussed on identifying the skills, capacities and traditional coping mechanisms of disaster victims, and deploying emergency assistance in a manner which supports and uses those skills and capacities rather than one which treats the victims as helpless. This effort also has the purpose of speeding recovery from disaster, optimizing relief resources, and linking relief activities to development. Progress towards achievement of this intermediate result is gauged in terms of the following performance indicator:

Indicator 1.3.1 Percent of disaster response programs which includes the implementation of appropriate relief to development components

OFDA has made significant strides in this direction. While it is too early to estimate the percent of disaster response programs with rehabilitation components that link relief to development, such links are increasingly being included in NGO disaster response programs. For example, in Sudan, one of the most protracted and expensive complex emergencies with which OFDA has had to grapple, a USG strategy was developed in early 1990 to reduce relief expenditures by implementing rehabilitation projects which build on local capacity while continuing to provide emergency relief to groups at immediate risk.

Principles of Linking Relief and Development
1. Assess existing indigenous capacities for responding to disasters and base needs assessments on local capacities.
2. Provide assistance in a way that supports existing capacities, including those of local and national institutions and networks, when identified needs surpass indigenous capacities to respond.
3. Set standards of service that are sustainable for local populations.
4. Sustain livelihoods while saving lives.
SOURCE: GHAI Strategy Paper

OFDA supported this strategy in Sudan by providing small grants to NGOs to carry out agricultural and road infrastructure rehabilitation activities, build local capacity, and establish health care delivery where security permitted. Activities were funded to resuscitate the agricultural sector and to restore people's livelihoods. A grant to CARE International, for example, supported an activity that was successful at rehabilitating infrastructure and the agricultural sector for the 140,000 residents of Tambura County in Western Equatoria. It has clearly had a positive impact on people's lives and serves as a very good example of linking local capacities with emergency assistance. The activity, which included the provision of

seeds and tools, reconstruction of key bridges and roads, and collection of food surpluses in exchange for clothing, bicycles and other household goods, led to the reestablishment of basic household food security and the reopening of primary roads linking the county's population centers. Indicators of success include:

- the voluntary return of at least 5,000 Sudanese from the Central African Republic and Zaire to participate in the recovery program;
- doubling in the production of and improvement in the quality of local maize, sorghum and groundnuts over the previous seasons' harvests; and
- a 30 to 40% decrease in travel time to reach outlying schools, clinics, markets and services from Tambura town.

Tambura's surplus production is currently purchased by other NGOs, WFP and UNICEF for distribution in needy areas within other parts of Sudan. OFDA also supported another complimentary health program in the same region implemented by another NGO.

Another example, the Seeds of Hope activity implemented during the emergency response in 1994 in Rwanda, provides a good illustration of linking relief and development resources (see Box 4).

Box 4: Seeds Of Hope Rehabilitates the Agricultural Sector In an Emergency Situation

One of the results of the violence in Rwanda in 1994 was the deaths of farmers and loss of agricultural staff and equipment. Grain and root crop harvests were down by 60% and 30%, respectively; important farming skills such as knowledge of local seed diversity, adaptability and mixing were lost, and the agricultural research system was devastated. The OFDA-funded Seeds of Hope activity was successful in preventing a deepening of the food crisis and restoring technical capacity for crop production. It was conceived in May 1994, and implemented in early July during the response stage of the crisis. Rehabilitation of the agricultural sector was achieved by:

- a. assembling appropriate seed varieties from national and international research programs, multiplying them in neighboring countries, and delivering them to destitute farm communities which had lost their harvests and desperately needed seeds to recover self-sufficiency; and
- b. staffing and retraining to re-establish the national research capacity.

The activity supported the productive capacity of the population in Rwanda using existing resources. Many varieties of important food crops adapted to Rwandan conditions were re-introduced. Rehabilitation of seed multiplication and seed quality systems was emphasized, rather than the development of a parallel system. The activity was a truly collaborative effort involving national agricultural research organizations from seven African countries, six international agricultural research institutions, a dozen non-governmental organizations, several inter-governmental organizations and five bilateral aid organizations. Completed by mid-1996, it led to a follow-on activity which has promoted substantial collaboration within USAID -- including OFDA, AFR/GHAI and G/EG/AFS.

Intermediate Result 1.4: *Disaster response capabilities of NGOs and host government entities strengthened*

Intermediate Result 1.4 relates to OFDA's effort to strengthen the capacities of its implementing partners in emergency health response. Achievement of this intermediate result is measured in terms of the following performance indicators:

- Indicator 1.4.1 Number and percent of health standards informing health protocols adopted by implementing agencies
- Indicator 1.4.2 Percent of emergency health NGOs with health professionals trained in OFDA-approved emergency health protocols

An evaluation sponsored by CDC observed significant variations in expertise among health-workers and discrepancies in the application of rehydration therapy during the height of the cholera epidemic among Rwandan refugees in July 1994, in Goma, Zaire.¹ As a result of this uneven level of expertise, the study determined that health workers may have exacerbated the situation and caused unnecessary deaths. The report also suggested that physicians and nurses trained in western medical technology lack skills in effective oral rehydration therapy. The report concluded that an urgent need exists for more intensive and focussed training of health workers to develop relevant field expertise in the prevention and mitigation of diarrheal diseases, and other emergency health protocols, i.e., treatment guidelines, on subjects such as immunization against measles, public health surveillance, community outreach, and nutritional rehabilitation.

To overcome the deficiencies mentioned above, OFDA has reconfigured its own staff to improve technical medical support to relief operations. In addition, OFDA provided a grant to InterAction, an NGO umbrella organization, to develop a training course on selected health protocols and treatment procedures. In a consultative process involving UN organizations and NGOs, InterAction developed the first set of course materials, which has been presented in a pilot course. Eventually, certification in this training will be required for organizations receiving OFDA funds. As part of the health training effort, OFDA is working in concert with other concerned organizations to develop internationally standardized health protocols for emergency situations. OFDA also participates in a working group that includes USAID's Global Bureau and the Department of State's Bureau of Population, Refugees and Migration to consider how to better address reproductive health needs of refugees and internally displaced people.

¹ Goma Epidemiology Group, "Public health impact of Rwandan refugee crisis: what happened in Goma, Zaire, in July, 1994?" *The LANCET*, Vol 345, February 11, 1995

Strategic Objective No. 2: *Increased adoption of mitigation measures in countries at greatest risk of natural and manmade disasters*

Strategic Objective No.2 reflects OFDA's assistance to disaster-prone countries to mitigate man-made and natural disasters and to lessen the impact of disasters on vulnerable populations. Mitigation efforts include prevention, preparedness and planning. While these activities represent only a relatively small portion of OFDA's budget, they have been effective in lowering the amount of resources required for disaster response. Many programs carried out under this strategic objective take place before, or immediately following, a disaster. Some programs focus on training personnel in disaster-prone countries in preparedness and mitigation activities, while others assist countries to prevent disasters, where possible, and to reduce the devastating effects of such crises when prevention is not possible. OFDA funds a wide range of activities that support achievement of Strategic Objective No. 2, including:

Definitions of Mitigation Activities	
Prevention	Measures taken to avert the occurrence of a hazard event or its impact.
Mitigation	All measures taken to reduce disaster impacts on people and economic assets.
Preparedness	Activities directed at managing disaster response quickly and effectively in the event of crisis.
Planning	Efforts directed at pre- and post-disaster planning including strategic and contingency planning.

- preventing crop destruction from insect infestations;
- maintaining the productive capacity of farms through the supply of seeds and tools to at-risk farmers to reduce vulnerability to famine;
- improving the prospects for construction of affordable housing with disaster resistant materials and building methods; and
- developing hazard mitigation projects in urban areas threatened by industrial accidents and hazardous material disposal.

These types of PMP activities seek to put targeted at-risk countries “ahead of the curve” with respect to disaster preparedness and significantly reduce the loss of human life and economic assets resulting from a disaster. For example, high costs associated with earthquake and hurricane disasters can be avoided when adequate building codes and standards are enforced. Worldwide, droughts and floods affect more people than all other natural hazards combined, by an order of magnitude. Recent advances in the science of climate forecasting, with support from OFDA, have increased the capabilities of some countries to prepare for and reduce the impacts of these hazards.

Rapid population growth, urbanization, and the rising cost of replacing infrastructure have increased the cost of natural and technological disasters, both in terms of human suffering and

loss of economic assets. In response to these trends, OFDA is reevaluating its criteria for investment in addressing natural disasters and consequence management planning for technological hazards.

As shown in Figure 1 earlier, OFDA's activities have increasingly focused on complex emergencies, consuming close to 80% to 90% of its resources over the past few years. Due to this shift, OFDA is actively pursuing ways to bring PMP-type activities to bear on large, ongoing complex emergencies. Efforts are underway to:

1. refocus relief resources on rehabilitative activities that address longer term needs and build on the capacities and coping mechanisms of vulnerable populations, as opposed to meeting only immediate critical needs;
2. apply mitigation expertise to country emergency response strategies; and
3. expand contingency planning in preparation for complex emergencies.

Progress towards achievement of Strategic Objective No. 2 is measured in terms of the following performance indicator:

Indicator 2.1: Number and % of OFDA-targeted at-risk countries with one or more PMP programs

Since 1990, OFDA has targeted 66 disaster prone countries for PMP-type assistance². By the end of 1996, OFDA supported PMP activities in 55%, or 36 of these at-risk countries, 10 of which had developed capabilities to respond to disasters with less dependence on external donor assistance, except in the case of major catastrophes. In addition, while it is too early for OFDA to report progress in terms of meeting performance targets, several cases may be cited that illustrate OFDA's success in strengthening the capacities of host countries, NGOs and IOs to design, implement and monitor PMP-type activities. One of OFDA's most successful activities for rapid onset disasters has been systematic preparedness training of national and local government personnel and community groups in Latin America and the Caribbean (LAC) region. This has enabled 5 of the 13 targeted at-risk Latin American countries to no longer require external assistance for emergencies, except in extraordinary catastrophic situations.

Three intermediate results buttress achievement of this strategic objective. The first relates to strengthening the institutional capabilities of NGOs and IOs to reduce the impact of disasters. The second contributes by enhancing host government capacities to reduce vulnerability to

² These at-risk countries were selected based on analysis of worldwide disasters from 1964 through 1990. The disaster and the related statistics in the hazard prone countries, in each of the OFDA regions, were examined to get a sense of regional differences in disaster vulnerability. Only those countries which had at least 10 disasters from 1964 to 1990 were selected. This number provides a basis for separating those countries which are generally hazard prone from those which are not. "See Heyman B. N., Davis C. and Krumpel, P. F. 1991, An assessment of worldwide disaster vulnerability. *Disaster Management* 4:1, pp. 3-14 ."

natural disasters, and the third contributes by linking relief and development. Each of these intermediate results is discussed below.

Intermediate Result 2.1: *Enhanced institutional capacity of NGOs and international organizations to reduce the impact of disaster*

Intermediate Result 2.1 reflects OFDA's support to NGOs and IOs in designing and implementing efficient and effective natural and complex emergency mitigation activities in OFDA-targeted at-risk countries. Several NGOs, including Catholic Relief Services (CRS), CARE International, the World Environment Center (WEC), World Vision Relief and Development (WVRD), and Volunteers in Technical Assistance (VITA), have in the past obtained grants from OFDA and implemented PMP-type activities in many OFDA-targeted at-risk countries. International organizations, including United Nations agencies such as the WFP, UNICEF, UNHCR, UNDHA, as well as PAHO, have also responded with disaster mitigation actions, some supported by OFDA leadership and resources. Progress towards achievement of this intermediate result is judged using the following performance indicator:

Indicator 2.1.1. Change in the institutional capacity of international NGOs and IOs to develop and implement PMP programs

OFDA, in consultation with implementing partners, will explore alternative institutional capacity scoring systems. Based on review of the literature and discussion among OFDA staff, a simple institutional capacity scoring system has been proposed. In addition to the provision of institutional support grants, OFDA has funded several activities that provide institutional capacity enhancing training to the staffs of implementing partners.

One good example of strengthening the capacity of an IO has been OFDA's support for UNDHA's ReliefWeb. Developed with the goal of making a wide variety of humanitarian assistance information available worldwide through the internet and other media, the project has been successful in improving access to information by humanitarian assistance organizations that manage natural disasters and complex emergencies. Relief.Web and other internet-based resources have reduced the time that organizations devote to obtaining and synthesizing information needed for planning and disaster response.

In another example, OFDA awarded a three-year grant to WFP for a disaster mitigation program which included Vulnerability Assessment and Mapping (VAM), emergency training, and project identification and formulation. In an evaluation of WFP's performance against established indicators, the grant was found to have contributed to visible improvements in WFP. The VAM and training, in particular, showed positive results, leading to improved programming decisions and staff capabilities. WFP staff have reported that the program has changed WFP's views on the role and scope of food aid both as an emergency and transition input and that the mitigation techniques developed through the grant have become part of the way WFP does business.

Intermediate Result 2.2: *Strengthened host country capacities to reduce vulnerability to natural disasters*

Intermediate Result 2.2 reflects OFDA's efforts to strengthen the institutional capability of host country institutions, including local NGOs, governmental agencies, private sector associations and community groups. Progress towards the achievement of Intermediate Result 2.2 is judged using the following performance indicator:

Indicator 2.2.1. Percent of OFDA-targeted vulnerable countries developing, adopting and practicing national and local disaster mitigation and preparedness programs (Host Country Institutional Capacity [HCIC] score)³

In 1990, the average composite HCIC score for the 66 OFDA-targeted at-risk countries was 3.1 out of a maximum score of 5.0, with 67% or 44 countries scoring 3 or higher. A score of 3.0 or higher indicates that the host country has a disaster response unit with trained staff and sufficient resources to design, develop and implement PMP-type activities. By 1996, the average composite HCIC score for at-risk countries in the LAC region had increased to 4.1. This represents an institutional capacity improvement of more than 10 percent over the 1990 baseline of 3.6 for the region. The PMP capacity of disaster prone countries in other regions will be examined over the next few months to evaluate the changes in host-country institutional capacity since 1990.

While it is too early to show performance in terms of meeting targets, OFDA's assistance has enhanced the disaster response institutional capacities of many host country entities. For example, the Volcano Disaster Assistance Program (VDAP), an interagency program between OFDA and the US Geological Survey, has responded to volcano crises and provided technical training in several countries including Guatemala, Nicaragua, Ecuador, Chile, Philippines, Indonesia, Mexico, Costa Rica and Peru. The principal components of the program are a core group of scientists at the United States Geological Survey Cascades Volcano Observatory (CVO) and other USGS facilities which participate in crisis responses, and a cache of portable, technologically appropriate volcano monitoring equipment ready for rapid deployment.

VDAP's actions during volcanic eruptions have saved tens of thousands of lives and protected property worth hundreds of millions of dollars. VDAP training and infrastructure development activities have helped scientists in developing countries to more effectively monitor and assess hazards at dangerous volcanoes within their borders and ensure that accurate and timely information is provided to key decision-makers. In 1991, VDAP assisted scientists in the Philippines to accurately forecast the Mount Pinatubo eruption in time to evacuate tens of thousands of citizens from areas that the eruption later destroyed. In addition,

³ An HCIC score of 5.0 indicates that the host country has disaster response units which (1) are effective; (2) have adequate financial resources to design, implement and manage PMP activities; (3) have the skills and capacity to design, implement and manage PMP activities; (4) regularly conduct mock PMP exercises with targeted communities; and (5) have prominent national status able to mobilize local resources and communities to develop and implement PMP activities.

16,000 US Military personnel and dependents were evacuated from Clark Air Force Base, and aircraft and other equipment worth hundreds of millions of dollars were moved to safe locations before the eruption began.

Another OFDA-supported entity, the Asian Disaster Preparedness Center (ADPC), provides training, advisory and information services in disaster preparedness, mitigation and prevention to disaster response groups in the Asia-Pacific region, specifically Nepal, Indonesia and the South Pacific. Similarly, the cooperative agreement between OFDA and WEC has enhanced the capacity of local authorities and managers to prevent and mitigate technological and industrial hazards in high risk urban areas in the Asia-Pacific and LAC regions through training and joint planning (see Box 5).

Box 5: Capacity To Mitigate Technological And Chemical Hazards Enhanced In Mexico

The objective of the OFDA-supported Local Accident Mitigation and Prevention Program (LAMP), implemented by the World Environment Center (WEC), is to reduce the incidence and impact of major industrial hazards or other technological accidents in selected areas of Mexico, India, Indonesia and Thailand. LAMP activities are designed to build local capacity and foster sustainable improvements in emergency response and planning within the context of local conditions and constraints. The emergency response plans and infrastructure created by LAMP are also valuable in times of natural disasters.

The LAMP program has accomplished significant, sustainable, replicable impact in Mexico. In 1992, a WEC initial assessment found five conditions at LAMP sites in Mexico.

- Government agencies and industry lacked the technical knowledge to prepare effectively and plan for technological emergencies.
- Lack of coordination existed among government, industry and community leaders.
- Government officials did not clearly understand the consequence and impact of manmade disasters.
- There was little attempt to develop public awareness of general population safety.
- Industry accident response teams and fire departments were not adequately equipped to address likely accidents, nor did they conduct regular mock emergency exercises.

The LAMP Mexico program targeted the State of Veracruz, where 70% of the country's petrochemical industry is found. Mexico's only nuclear facility, Laguna Verde, is just north of Veracruz. The state is not only prone to technological emergencies, but it is especially prone to natural hazards such as hurricanes, volcanoes and significant earthquakes.

LAMP's most important contribution involved changing industry's and government's previous attitude of distrust of each other and of the community into one of mutual cooperation. Through LAMP, the State of Veracruz created the first Municipal Local Emergency Planning Committee (LEPC) in Mexico. WEC strengthened the industrial Local Committee for Mutual Assistance (CLAM) and facilitated communication and coordination between CLAM and LEPC. LAMP also encouraged emergency response officials from government, industry and community organizations to reach out to their own communities on a regular basis. The relocation of more than 350 families from the perimeters of a pipeline near the city of Coatzacoalcos demonstrates the project's success in promoting increased awareness by the community, government, and industry of the risk of technological disasters.

At the close of the LAMP program, all indications show that significant replication is already occurring. The State of Veracruz is taking an activist role in sharing its newly developed local level accident mitigation and prevention skills with other states and regions. Twelve federal government organizations, 9 state government organizations, 35 local government organizations, 11 NGOs, six academic institutions, and 100 industries participate in LAMP. The Secretary of Interior has identified a list of priority areas throughout the country and has created a National Advisory Committee to analyze chemical risks in Mexico and identify sites for future work.

Another OFDA supported activity, the Organization of American States (OAS) Caribbean Disaster Mitigation Project (CDMP), which was established to encourage sustainable private and public sector mechanisms for disaster mitigation, has helped reduce the loss of life, minimize damage, and speed recovery from natural disasters (see Box 6).

Box 6: Enhanced Capacity Of the Island Nations Of the Caribbean To Prepare For Natural Disaster

The island nations of the Caribbean are frequently subjected to significant economic losses and human suffering from hurricanes, landslides, tsunamis, earthquakes, and floods. Hurricanes David and Frederick alone caused about \$800 million in physical damage to homes and infrastructure, killed more than 2,000 people, and left 100,000 families homeless. Economically, the damage caused by Hurricane Hugo was more than five times the annual GDP of Montserrat. Hurricane Gilbert was particularly destructive to Jamaica and Haiti.

The OFDA-supported Caribbean Disaster Mitigation Project (CDMP), which was formulated by the Regional Housing and Urban Development Office/Caribbean (RHUDO/CAR) and was carried out by the OAS, has established sustainable mechanisms for disaster mitigation that measurably lessen loss of life, curtail physical and economic damage, and reduce the length of disaster recovery. The activity components include:

- risk audits for electrical and water/sewer systems and key lifeline buildings,
- hazard mapping to support improved planning,
- assistance to improve underwriting standards, link pricing of insurance to actual catastrophic risk and train agents to apply these standards, and
- training of builders, designers and artisans in improved building practices.

In the Dominican Republic, CDMP has succeeded in bringing together the private sector and the NGO community to assume joint responsibility with the government for the implementation of multi-sectoral participatory systems for disaster preparedness and mitigation and the establishment of a communication and coordination mechanism. The Dominican Republic has founded its own NGO known as the Dominican Disaster Mitigation Committee (DDMC).

The work of the CDMP/DDMC in the Dominican Republic has resulted in the mobilization of local support through a bulletin and other press-related activities from more than 500 businesses, NGOs and community organizations. The private sector also donates conference facilities, equipment and transportation for the CDMP workshops. The information element of the project has published and distributed more than 5,000 hurricane posters and 10,000 hurricane and earthquake brochures.

The training program has trained a core group of 53 instructors who have themselves trained more than 1,700 persons. Participants have gone back to their communities and set up community-based disaster preparedness organizations. These organizations identify community risks, vulnerabilities, and local capacities, prepare community disaster prevention plans and assign responsibilities for response actions.

Intermediate Result 2.3: *Improved use of resources to link relief and development*

Intermediate Result 2.3 highlights OFDA's accomplishments in three areas. First, it addresses improvements made in the quality of OFDA-supported preventive activities designed to lessen the vulnerability of populations to natural disasters. Second, it includes improvements made in needs assessment by incorporating analysis of the capacities and traditional coping mechanisms of affected populations into emergency response strategic plans. Third, it addresses improvements in the quality of relief and rehabilitation activities that help disaster victims meet their own needs during natural or complex emergencies with less dependence on relief

agencies. Progress towards achievement of this intermediate result will be evaluated using the following performance indicator:

Indicator 2.3.1 Percent of disasters at sub-national, national and regional levels with a Strategic Plan Quality Score (SPQS) of 3 or more⁴

While not a direct measure of the link between relief and development, this indicator was selected to emphasize the importance of planning in promoting the transition from relief to development. This is particularly important for long-term emergencies requiring large amounts of humanitarian assistance. In these cases, OFDA has been taking a proactive approach in the planning process, collaborating with USAID regional bureaus, USAID Missions (where they exist), other donors, host governments and implementing partners to develop strategies which will facilitate a shift away from emergency assistance. An important part of these plans is identification and support of appropriate rehabilitative activities that enhance the self-reliance of disaster victims. OFDA has continuously upgraded the strategic planning skills of its staff as well as the mechanisms and procedures for collaborating with implementing partners and other donors.

Over the last several years, OFDA has increasingly begun to develop strategic plans for long-term emergencies. As mentioned earlier, OFDA initiated this process several years ago in Sudan, site of one of the longest-running emergencies. More recently, under USAID's Greater Horn of Africa Initiative, OFDA has actively participated in an Integrated Strategic Planning (ISP) process for both Sudan and Somalia. The goal of this process has been to bring together all relevant USG entities (State Dept., USAID, and DOD) to agree on a cohesive, integrated approach to the planning process. While it has required significant staff time, participants have found it to be a useful process. OFDA will continue to place an emphasis on its strategic planning, both internally and with other offices where appropriate, for larger complex emergencies.

In addition to its planning efforts, OFDA has supported several activities over the past decade which link relief to development by reducing vulnerability to disasters caused by droughts in Africa. The Famine Mitigation Activity (FMA) is an example of disaster prevention, mitigation and preparedness in the food sector. The FMA seeks to reduce the need for emergency famine response through strategies that reduce vulnerability by enhancing the

⁴ An SPQS score of 5.0 indicates that the country strategic plan:

- identifies the size of the targeted vulnerable population;
- categorizes that population by distinctive vulnerability characteristics;
- assesses the capacities and the traditional coping mechanisms of each group;
- identifies each group's critical needs;
- links capacities and traditional coping mechanisms to the critical needs;
- periodically assesses and recalibrates the number of targeted vulnerable populations and their critical needs during implementation; and
- is integrated with USAID's, other donors' and the host country's programs.

resilience of at-risk populations. Famine mitigation interventions save lives by preserving economic assets through activities such as seeds and hand tools distribution, livestock preservation, water resources development, market interventions, and food and cash for work. Serving as a bridge between relief and development, these interventions strive to support and enhance traditional coping mechanisms used to survive periods of food shortages and to foster self-sufficiency and productivity. FMA provides technical assistance in designing famine response interventions that speed recovery by improving identification of vulnerable groups and targeting recipients of interventions, developing strategies which link use of food aid to longer-term food security, and coordinating information resource systems to improve the application of famine mitigation strategies.

The OFDA-funded Pan-African Rinderpest Campaign (PARC), conceived and implemented during a complex emergency, provides a good example of how to strengthen the livelihood and coping mechanisms of the affected population in the Greater Horn of Africa (see Box 7).

Box 7: Participatory Community-Based Livestock Vaccination - Transition From Relief To Development

Livestock forms the basis of the livelihoods of farmers and pastoralists throughout Africa. Moreover, food security of pastoralists is critically linked to the health of their livestock. The PARC sought to eradicate rinderpest in cattle, a disease similar to measles in humans and distemper in dogs, leading to 90% herd loss in a matter of days. PARC was led by the Organization of African Unity/InterAfrican Bureau for Animal Resources (OAU/IBAR) with technical assistance from Tufts University and support by OFDA under the Famine Mitigation Activity. To protect livestock from this devastating disease, PARC introduced many innovative approaches to contain and eradicate the disease effectively and efficiently, including:

- development of a low-cost vaccine, Thermovax.
- transfer to three African institutions of the technology to produce and market the vaccine, which ensured inexpensive local sources.
- training of individuals including women identified by the community as Community-based Animal Health Workers (CAHWs) and use them to administer the vaccinations.
- introduction of cost-recovery to ensure sustainability. (Even in the most difficult times and in insecure areas such as southern Sudan, communities pay for their own animal healthcare.)

Initiated in 1990, PARC has successfully isolated rinderpest in four pockets bordering five countries in the Greater Horn of Africa -- Ethiopia, Chad, Kenya, Uganda and Sudan.

The activity has had other payoffs as well. For example, building on indigenous cultures, it has promoted community-based conflict resolution. For example, among the Teso and Karamojong in Uganda, cattle raiding contributed to general insecurity in the region. In 1993, foremost in the minds of these communities was the need for a rinderpest vaccination. However, PARC would only supply the vaccine on the condition that cattle raiding stop. Consequently, community leaders from both sides met and agreed, Thermovax was supplied, CAHWs were trained and cattle raiding stopped and remained suspended as of the end of 1996.

2. Expected Progress Through FY 1999 and Management Actions

Over the next several months, OFDA will verify performance indicators in the field, establish baseline data and set expected performance targets. For many of the performance indicators, evaluative questions have been developed to facilitate data gathering. OFDA will also refine, update and re-issue the Guidelines for New Grant Proposals and Grant Revisions to ensure that disaster response programs designed and used by implementing partners will contribute to the achievement of OFDA's strategic objectives. A section on results reporting will also be added to the Guidelines to enable implementing partners to report qualitative and quantitative data that directly correspond to OFDA's performance indicators.

3. Performance Data Tables

As indicated earlier, OFDA has identified performance indicators for each of its objectives and intermediate results. It has also defined the performance indicators, their measurement units and data sources. The data gathering process has begun. Indicators will be validated with implementing partners, and baselines and targets will be set over the next few months. The Performance Data Tables will then be completed.

PART III. STATUS OF MANAGEMENT CONTRACT

OFDA's Strategic Plan was approved in November 1996. The achievement of the strategic objectives and intermediate results outlined in that document forms the basis of the management contract for OFDA. OFDA is committed to managing relief resources strategically for maximum impact as measured in terms of lives saved, suffering alleviated and loss of economic assets minimized. A systematic analysis of links between intermediate results and strategic objectives and examination of the performance indicators has led to the refinement of many intermediate results. Through this R4, OFDA proposes the following adjustments to its results framework and thus to its management contract. As shown below, OFDA has also switched the order of its strategic objectives.

Original Statement	Proposed Statement
<p>Strategic Objective No. 2: Critical needs met of targeted vulnerable groups in emergency situations</p>	<p>Strategic Objective No. 1: No Change to statement</p>
<p>Intermediate Result No. 2.1: Target populations and their needs and capacities identified</p>	<p>Intermediate Result No. 1.1: Improved targeting of emergency assistance to the most vulnerable groups</p>
<p>Intermediate Result No. 2.2: Targeted affected populations receiving emergency assistance meeting recognized standards, within acceptable time frame</p>	<p>Intermediate Result No. 1.2: Emergency assistance, meeting recognized standards, delivered within acceptable time frame</p>
<p>Intermediate Result No. 2.3: Delivery of short-term rehabilitation activities to help restore life-sustaining productivity of target population</p>	<p>Intermediate Result No.1.3: Capacities for livelihoods restored</p>
<p>Intermediate Result No. 2.4: Development and acceptance of training curricula, standards, protocols and other measures by the international relief community to provide better humanitarian assistance</p>	<p>Intermediate Result No. 1.4: Disaster response capabilities of NGOs and host government entities strengthened</p>

Original Statement	Proposed Statement
<p>Strategic Objective No. 1:</p> <p>Increased adoption of mitigation measures in countries at risk of natural and manmade disasters</p>	<p>Strategic Objective No.2:</p> <p>Increased adoption of mitigation measures in countries at <i>greatest</i> risk of natural and manmade disasters</p>
<p>Intermediate Result No. 1.1:</p> <p>Enhanced institutional capacity of NGOs and international organizations to reduce the impact of disaster</p>	<p>Intermediate Result No. 2.1:</p> <p>No Change to statement</p>
<p>Intermediate Result No. 1.2:</p> <p>Strengthened host country capacities to reduce vulnerability to natural disasters</p>	<p>Intermediate Result No. 2.2:</p> <p>No Change to statement</p>
<p>Intermediate Result No. 1.3:</p> <p>Improved strategic use of disaster resources to link relief activities to rehabilitation and development</p>	<p>Intermediate Result No. 2.3:</p> <p>Improved use of resources to link relief and development</p>

PART IV. RESOURCE REQUEST

The financial and human resources required by OFDA to achieve its strategic objectives are described in this section. Several overriding considerations must be kept in mind in reviewing this resource request. First, as indicated in Part I, complex emergencies usually cause greater and longer-term damage than do natural disasters, and they consume more emergency assistance resources as well. Second, emergency assistance requirements are often unpredictable. In the past, disaster funding requirements have frequently exceeded appropriations, forcing OFDA to exercise its authority under Section 492(b) of the Foreign Assistance Act (FAA) to utilize other USAID funding sources to meet high priority emergency relief needs. For example, early in this fiscal year, the emergency in eastern Zaire and the rapid influx of returning refugees to Rwanda consumed \$25 million in a matter of weeks. The magnitude and unpredictability of disaster response places constraints on OFDA's ability to address results under Strategic Objective No. 1. While OFDA's mandate includes relief, rehabilitation and reconstruction, the relief budget remains the priority when resources are reduced.

Third, although considerable progress has been made towards improving emergency response, much more needs to be done. Specific areas for improvement include the emergency response capacities of implementing partners, including enhancement of their targeting and needs assessment capacities, performance monitoring and evaluation systems, grant proposal preparation and reporting results and overall activity impact in a consistent and timely manner. To facilitate these efforts, OFDA will issue revised grant procedures and guidelines and will streamline the grant proposal review process. In addition to strengthening implementing partners' performance monitoring and evaluation capacities, OFDA will conduct performance monitoring and evaluation workshops and field validate performance indicators jointly with implementing partners. This will enable OFDA to manage its resources more strategically and to target adequately and meet the needs of disaster victims in a timely manner.

Fourth, the human resources allocated to managing emergency responses continue to be inadequate. In fiscal year 1996, OFDA responded to 45 natural disasters in 36 countries, complex emergencies in 16 countries, and man-made disasters in 4 countries. In addition, OFDA manages several activities in the LAC and Asia-Pacific regions designed to strengthen regional and host-country capacities to prevent, mitigate and prepare for natural and man-made disasters. Significant human resources are required to administer, manage and support such a diverse range of programs, countries and implementing partners. It is important to note that complex emergencies are labor-intensive as many bilateral and multilateral donors and NGOs are involved, and frequent consultations are required to determine needs accurately and avoid duplication of effort.

Fifth, as Development Assistance (DA) funds continue to decline, OFDA's flexibility and contingency planning become much more limited. In past years, DA funds provided a source for OFDA to be able to meet expanded needs. During the course of any given year, OFDA

continuously monitors and evaluates its activities and resource allocations. Adjustments are made, as necessary, to respond to unexpected natural disasters or the deterioration of a complex emergency.

Sixth, pursuant to Presidential Decision Document (PDD)-39, OFDA now has the additional responsibility for supporting and advising US Missions, and providing humanitarian relief and emergency management assistance to local authorities in the case of a nuclear, biological or chemical (NBC) incident. However, additional funds were not provided for this purpose. Thus NBC incidents could potentially strain IDA funds programmed for other disasters.

Seventh, building on OFDA's success in developing PMP capacity in LAC, OFDA is planning to apply these lessons to other regions. In the long term, strengthening host country and regional capacities to prevent, mitigate and prepare for disasters places fewer requirements on OFDA. However, in the short-term, building the requisite capacity will require additional resources. In addition, OFDA is increasingly investing in programs designed to use PMP approaches to complex emergencies to increase institutional and local response capacity and preparedness for emergencies before they occur. This, too, requires additional resources.

1. Financial Plan

In order to carry out its mandate and achieve its strategic objectives, OFDA is requesting a total of **\$175 million in IDA funds for FY 1999**. This level of funding is the minimum necessary to respond to complex, natural and man-made disasters and to implement PMP activities in targeted regions to mitigate against natural and man-made disasters. As shown below, this resource request is consistent with OFDA's obligating levels in recent years.

OFDA's FINANCIAL RESOURCE REQUEST (\$ Millions)

Funding Sources	Actual FY 1995	Actual FY 1996	Actual FY 1997	Planned FY 1998	Planned FY 1999
IDA - New Obligor Authority (NOA)*	\$150.8	\$155.9	\$165.0	\$165.0	\$175.0
Supplemental**	\$15.2	0	0	0	0
Sec. 492(b) Authority	\$19.0	0	0	0	0
Transfers from other USAID Offices	\$7.7	\$14.5	0	0	0
Carry-over ***	\$15.5	\$19.2	\$36.7	20.7	10.7
Total Resources	\$208.2	\$189.6	\$201.7	\$185.7	\$185.7
Obligations	\$192.2	\$156.6	\$176.0	\$175.0	\$175.0

* The total NOA-IDA account which is shared between OFDA and Office of Transition Initiatives (OTI) is: FY 95 = \$170 million, FY 96 = \$181 million, FY 97 = \$190 million, FY 98 = \$190 million, FY 99 = \$195 million.

** Unobligated balance from the FY 1994 Rwanda Supplemental.

*** Includes recoveries and de-obligations.

The data presented in the table represents OFDA's resources only. The IDA account also supports OTI; the OTI resource request is entirely separate from this document and is not included in the table above. The IDA account is appropriated as no-year funds. This authority allows OFDA the flexibility to carry-over unobligated funds between fiscal years and these resources are available until expended.

Because of the usual delays in receiving the NOA at the beginning of the fiscal year, the availability of carry-over funds is imperative for OFDA. OFDA's response to the Rwanda crisis, for example, was financed almost exclusively from carry-over funds, as the disaster occurred early in the fiscal year when NOA was not available.

In order to assure that OFDA is able to coordinate with other USG agencies and respond to the unique requirements of an overseas NBC event, additional funds are required for 1999. PDD-39 states that agencies will bear the cost of their participation.

2. Workforce and Operating Expenses

Throughout this document it has been noted that OFDA faces many tasks. The ability to perform these tasks and carry out OFDA's mandate is contingent upon adequate staffing levels. A careful review of the current OFDA workforce reveals that several of the tasks outlined above require additional staff. OFDA is continuously upgrading the skills and expertise of its staff to enhance effectiveness and efficiency. In order to meet disaster victims' critical needs effectively and efficiently during emergencies, OFDA plans to increase its presence in affected host countries and disaster-prone regions, and enhance the quality of DART teams, regional advisors and emergency disaster relief coordinators (EDRCs) by recruiting and hiring more experienced personnel.

Moreover, response to NBC incidents requires unique staff capabilities that are not fully developed nor readily available today within OFDA. To support the new requirements OFDA will require the addition of three staff positions (two direct hire and one PSC) as follows: two Consequence Management Response Team (CMRT) Emergency Response Coordinators (GS 14 and GS 13 levels) and one Communications Officer (GS 13). These positions would support the Interagency Consequence Management Response Team (CMRT), participate in NBC exercises, and provide 24-hour operational coverage.

As shown in the table below, in FY 1997, OFDA is operating with a staff level of 88, of which 26 are direct hires, 27 US PSCs, 15 RSSAs/PASAs/Fellows and 20 regional advisors and EDCRs. **For FY 1999, OFDA is requesting a staff level of 91 and an operating expense budget of \$295,000.** El Nino-related early warning data indicate that in the coming years many countries will experience an unusual weather pattern. The staffing level shown in the table below does not reflect the additional human resources that may be required for managing El Nino-related hydro-meteorological disasters.

BHR/OFDA WORKFORCE REQUIREMENT, FY 1997-99			
	Planned		Requested
STAFF LEVELS	FY 1997	FY 1998	FY 1999
USDHs	26	28	28
U.S. PSCs	27	28	28
RSSA/PASAs/Fellows	15	15	15
Regional Advisors/EDRCs	20	20	20
Total Staff	88	91	91
BHR/OFDA OPERATING EXPENSE BUDGET, FY 1997-99			
OPERATING EXPENSE (OE)	FY 1997	FY 1998	FY 1999
Non Disaster Travel	\$95,000	\$105,000	\$115,000
Disaster Travel	\$110,000	\$125,000	\$135,000
PSC OE Funded	\$35,000	\$40,000	\$45,000
Total OE	\$240,500	\$270,000	\$295,000

Annex I: Steps for Implementing a Results-Oriented Performance Monitoring System

OFDA, in compliance with the Government Performance and Results Act (GPRA), is committed to managing for results. It continues to strengthen the link between resource decisions and results, and to manage resources strategically to achieve its objectives. OFDA now has an approved Strategic Plan (approved on November 11, 1996) and is currently developing its Results Review Resources Request (R4) report which will be reviewed by the Bureau and other offices within USAID in July 1997. OFDA will use the BHR Performance Monitoring and Evaluation (PM&E) IQC to implement its performance monitoring plan. This has begun and will be completed in 1998.

Several steps are involved in designing, developing and implementing a performance monitoring system:

- Step 1. Review and validate the Office's results framework. This process involves validating the linkages between the intermediate results and the strategic objectives. Some of the intermediate results have been revalidated and adjusted (February and March 1997).
- Step 2. Develop the performance monitoring plan. This involves:
 - A. Identifying an objectively verifiable process and impact indicators to measure progress towards achieving strategic objectives and intermediate results.
 - B. For each performance indicator, providing definition, measurement methodology, measurement unit, data sources and data collection instruments, frequency of data availability and identifying responsibility for collecting, analyzing and reporting performance data.

OFDA has already identified and defined the performance indicators associated with each result (February - March 1997).

- Step 3. Establish baseline data and set performance targets. OFDA is in the process of developing baseline data for many of the performance indicators. Others will need field testing and field validation. Performance targets will be established after field testing. Field testing will take place after the R4 (July - October 1997).
- Step 4. Review the results framework and performance indicators with NGOs. According to the Agency's re-engineering policy, OFDA's results framework and performance indicators should be reviewed with its partners (i.e. NGOs which include US PVOs, NGOs and IOs) and the results framework and performance indicators adjusted based on feedback received. It is important to obtain the consensus of NGOs both on the results framework and performance indicators since the NGOs

are responsible for reporting on the results and performance indicators. This will be carried out in two phases:

Phase 1. Review the results framework and the performance indicators with NGOs in Washington, DC after the R4 review as part of the review of lessons learned from the R4 process (July - August 1997).

Phase 2. Review the results framework and performance indicators with NGOs field personnel in the countries selected for field validation of indicators (August - October 1997).

Step 5. Complete the process of collecting and developing baseline data. This will involve:

- A. Developing data collection instruments including templates for collecting administrative data (i.e. data routinely collected and maintained by field offices) from NGOs' field offices; and
- B. Developing rapid assessment survey instruments, specially adopted for collecting impact related data.

Field testing and field validation of performance indicators will be carried out in the August - October 1997 timeframe.

Step 6. Implement the performance monitoring plan. This involves the following steps:

- A. Finalize the results framework and performance indicators based on the outcomes of field tests and the consensus reached with the NGOs.
- B. Refine and reissue the grant *proposal preparation and reporting guidelines*. The guidelines are the key instrument for engaging NGOs to monitor and report on indicators. Discussion is underway to refine, update and design a user-friendly Guidelines. The final results framework and performance indicators will be incorporated in the Guidelines. In addition, several user-friendly templates will be developed and incorporated into the Guidelines to facilitate data collection and reporting.
- C. Provide performance monitoring and evaluation technical assistance to NGOs, as appropriate. Institutional support grants (ISG) could be used to strengthen NGOs' PM&E institutional capacity. The Checchi-Berger Team will design a "model PM&E" system to be implemented by NGOs.
- D. Design and install a performance monitoring database. Current OFDA management information system (MIS) will be reviewed and assessed to

determine if performance indicator data could be incorporated into this system. If the existing MIS is not able to accommodate the archiving and maintenance of performance monitoring data, a simple and practical performance monitoring database will be designed.

- E. Update the performance monitoring database regularly. OFDA may have to hire a performance monitoring and evaluation specialist for this task. The specialist will work with the Checchi/Berger Team and follow-up with the NGOs on monitoring and evaluation issues.
- F. Develop and issue metadata guides to teams that collect and report data during assessments and evaluations to ensure the integrity and quality of the data collected, manipulated and reported. Assessment and evaluation reports are key performance data collection instruments.

The performance monitoring plan is expected to be fully operational by the third quarter of 1998.

Annex II: OFDA's FY 1996 Disaster Response

A. NATURAL DISASTERS					
Country	Disaster Type	Affected Population	Assisted Population	Needs Met	Obligations
Afghanistan	Floods	100,000	25,400	shelter, clothing & food	\$60,692
	Emergency	440,000	95,000	shelter & medical supplies	\$263,625
Albania	Epidemic	^a		respirators & oxymeters	\$100,000
Bangladesh	Tornado	80,000 ^c	80,000	shelter, food, clothing & medicine	\$25,000
Belize	Hurricane/Floods	2,600	2,600	food and medicine	\$25,000
Bolivia	Avalanche	600 ^d	600	emergency shelter	\$25,000
Brazil	Floods	60,000	20,000	emergency shelter	\$24,269
Burkina Faso	Epidemic	^e	25,000	medicine & medical specialists	\$36,372
Burma	Floods	19,554	12,400	clothing, shelter, medicine & food	\$10,000
Canada	Floods	15,825 ^f	15,000	food, clothing & shelter	\$25,000
China	Earthquake	336,922 ^g	336,600	medicine, clothing & shelter	\$25,000
	Floods	20,000,000		shelter, water & sanitation, medicine	\$479,105
	Cold Wave	200,000		relief supplies	\$25,000
Costa Rica	Hurricane/Floods	571,000 ^f	19,000	shelter, water & food	\$188,574
	Floods	99,000	15,000	search and rescue operations	\$228,845
Croatia	Earthquake	2,000	2,000	shelter material	\$50,000
Ecuador	Earthquake	15,000	9,000	water, clothing & shelter	\$125,883
Guinea Bissau	Cyclone			hospital rehabilitation	\$25,000
Hungary	Tornado	10,000 ^f	10,000	building material	\$24,842
Iceland	Avalanche	517	517	food, medicine & building supplies	\$25,000
Indonesia	Flood	25,018	25,000	seeds	\$25,000
	Earthquake	64,690	25,650	shelter material, clothing	\$25,000
	Earthquake	12,000 ^h	11,300	shelter material, clothing	\$248,848
Laos	Typhoons/Floods	367,000 ⁱ	200,000	medicine	\$28,000
Madagascar	Cyclone	100,000		shelter material, feeding	\$51,988
Morocco	Floods	200,000	18,000	food, shelter & clothing	\$25,000
Mozambique	Floods	200,000		assistance request withdrawn	\$0
Nicaragua	Hurricane/Floods	110,000	50,000	emergency shelter, water & food	\$177,182
Nigeria	Epidemic			immunization assistance	\$350,000
North Korea	Floods/Food Shortage	5,200,000	2,500,000	food, medicine	\$2,240,000
Philippines	Lahars	422,400 ^f	2,600	shelter, food & water	\$319,017
	Typhoon/Lahars	267,900	52,800	sanitation	\$225,000
	Typhoon/Floods	1,000,000	636,645	water, food and shelter	\$110,910
South Africa	Floods	5,154	3,000	water, shelter, clothing, food	\$25,000
Sudan	Floods			shelter	\$25,000
	Floods	18,000	15,000	food, medicines, clothing	\$274,015
Swaziland	Drought		90,000	water, sanitation and agricultural inputs	\$468,781
Tajikistan	Floods and Landslides	26,000	10,000	food, water, medicine	\$25,000
Thailand	Floods	3,500,000		sandbags	\$25,000
Turkey	Earthquake	50,000	2,784	shelter/tents	\$61,000
Venezuela	Mudslides	400,000	400,000	water	\$18,702
Vietnam	Typhoons/Floods	400,000	1,075	food	\$25,000
	Typhoons/Floods	225,000 ^f	300	food, medicine, shelter material	\$325,638
Yemen	Floods	53,000	15,000	medicine	\$25,000
Zimbabwe	Drought	5,000,000	5,000,000	water development, feeding, agricultural support	\$2,355,857
	Sub-Total	39,600,671	9,727,421		\$9,272,145

B. COMPLEX EMERGENCIES					
Country	Disaster Type	Affected Population	Assisted Population	Needs Met	Obligations
Angola	Complex Emergency	3,300,000	163,000	shelter, food, health care & vaccines	\$15,781,525
Burma	Displaced Persons				\$25,000
Burundi	Complex Emergency				\$7,093,193
Central African Republic	Civil Strife			medicines	\$25,000
Former Yugoslavia* (Croatia, Serbia & Bosnia-Herzegovina)	Complex Emergency	n/a	3,300,000	shelter, food, health	\$55,330,326
Ghana	Refugees	1,550	1,550	food, water, fuel & shelter	\$25,000
Lebanon	Displaced Persons	400,000	100,000	food, clothing, medicine	\$25,000
Liberia	Complex Emergency	1,500,000	20,000	health, water/sanitation, seeds & tools, food	\$5,848,527
Northern Iraq	Complex Emergency	650,000	330,000		\$10,929,234
Rwanda	Complex Emergency			water, health	\$1,299,751
Sierra Leone	Complex Emergency	1,520,000		water, medicine & nutrition, food agriculture	\$3,830,053
Somalia	Complex Emergency	776,000	250,000	health, water/sanitation	\$6,469,756
Sri Lanka	Civil Strife	1,400		specialist	\$10,000
Sudan	Complex Emergency	4,250,000		health, water/sanitation	\$18,109,237
	Sub-Total	12,398,950	4,164,550		\$124,801,602

C. MAN-MADE EMERGENCIES					
Country	Disaster Type	Affected Population	Assisted Population	Needs Met	Obligations
Azerbaijan	Fire	1,491 ^b	150	medical specialists	\$25,000
Palau	Accident			water	\$225,000
Slovakia	Accident	2,244	250	medical	\$25,000
Tanzania	Accident			medical and support to families	\$25,000
	Sub-Total	2,244	250		\$300,000

GRAND TOTAL**	52,001,865	13,892,221		\$134,373,747
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SOURCE: OFDA 1996 Annual Report

* Former- Yugoslavia is treated as three countries: Bosnia-Herzegovina, Croatia and Serbia.

** This amount does not include the \$395,913 obligated to fund relief activities begun in prior years or Africa regional activities or to replace commodities drawn down from OFDA stockpiles for prior-year emergencies.

- Eighteen of the country's 35 districts were affected. A total of 138 cases, including 14 deaths, were reported.
- The number of affected people is derived by multiplying the families of 337 passengers by 4 and adding the number of injured.
- The total number of affected and assisted people is estimated by multiplying the number of destroyed homes (16,000) by an average family size of five.
- Number of families (120) times average family size of 5.
- Thirty-nine provinces, particularly the country's four northeastern provinces were affected by the meningitis outbreak. 25,000 cases were reported.
- Number of families times family size of five.
- The affected population number included the people killed (322), the injured (17,000) and those made homeless (319,600). Both the injured and homeless were assisted.
- Number of assisted people based on the number of blankets distributed
- The number of assisted people based on the number of oral rehydration salts distributed
- The meningitis epidemic affected 16 states of which Kano, Bauchi, and Katsina were hardest hit. 3,386 deaths and 19,000 cases were reported.