



ADDIS ABABA UNIVERSITY

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*Assessing the Humanitarian and Development Aid link in to Reduce Drought
Vulnerability in Ethiopia: The Case of Addis Ababa*

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Declaration

I, the undersigned, declare that this study is my original work and has not been presented for a degree in any other university, and that all the sources of material used for the study have been fully acknowledged.

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Approval

*Assessing the Humanitarian and Development Aid link in to Reduce Drought
Vulnerability in Ethiopia: The Case of Addis Ababa*

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Abstract

Over the past decade, the intensity, cost, and duration of humanitarian assistance provision have grown dramatically. This has prompted the need for better connectivity and collaboration between humanitarian and development efforts as traditional approaches which mainly focuses on life saving support and silo approaches failed to comprehensively address underlying vulnerabilities. This study examines the ways in which humanitarian and development organizations work together to improve drought vulnerability focusing in Ethiopia. The study was conducted in Addis Ababa by employing a qualitative approach. The study used a primary and secondary sources to collect data. The data was gathered through document analysis and semi-structured interviews with a cross-section of humanitarian, development, and government actors in order to better understand current practice and implementation of the relationship between the two sectors. Furthermore, a survey was conducted to assess stakeholder views and attitudes. Purposive sampling was used to choose participants and key informants. A crucial conclusion of this study was that institutions and programs for connecting humanitarian and development efforts are already in place. There is a multi-level coordination structure in place to foster tighter collaboration. Progress is also being made in the implementation of various policies and programs, such as productive safety net, disaster risk reduction, and resilience-sensitive initiatives, in collaboration with development partners. Nonetheless, there are existing institutional and cultural impediments, as well as a larger financial architecture, that are impeding a stronger link. As a result, further work is needed to fine-tune approaches that systematically integrate vulnerability concerns, as well as the planning and financial frameworks that would create complementarity and synergy between development and humanitarian operations.

Key words: Humanitarian, Development, Humanitarian–development link, Drought, Policy, Collaboration, Institution, Funding.

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Acronyms and Abbreviations

DFID	-	Department for International Development
DRR	-	Disaster Risk Reduction
DRM	-	Disaster Risk Management
DPPA	-	Disaster Prevention and Preparedness Agency
DPPC	-	Disaster Prevention and Preparedness Commission
DRM	-	Disaster Risk Management
DRMC	-	Disaster Risk Management Commission
DRMFSS	-	Disaster Risk Management and Food Security Sector
EC	-	European Commission
ECHO	-	European Civil Protection and Humanitarian Aid Operations
EWS	-	Early Warning System
EPRDF	-	Ethiopian People Revolutionary Democratic Front
EU	-	European Union
DEVCO	-	Development and Cooperation - European Union
FSCB	-	Food Security Coordination Bureau
GNP	-	Gross National Product
HFA	-	Hyogo Framework of Action
HMNDP	-	High-Level Meeting on National Drought Policy
LRD	-	Linking Relief and Development

LHD	-	Linking Humanitarian and Development
LRRD	-	Linking Relief, Rehabilitation, and Development
MDGs	-	Millennium Development Goals
MOA	-	Ministry of Agriculture
NDRMC	-	National Disaster Risk Management Commission
NMA	-	National Meteorological Agency
NGO	-	Non Governmental Organization
NPDPM	-	National Policy on Disaster Prevention and Management
OCHA	-	Office for the Coordination of Humanitarian Affairs
ODA	-	Official Development Assistance
OECD	-	Organization for Economic Co-operation and Development
DAC	-	Development Cooperation Directorate
PSNP	-	Productive Safety Net Program
RRC	-	Relief and Rehabilitation Commission
SLM	-	Sustainable Land Management
SLMP	-	Sustainable Land Management Program
UN	-	United Nations
UNDP	-	United Nations' Development Program
USAID	-	United States Agency for International Development
WASH	-	Water, Sanitation and Hygiene
WB	-	World Bank
WFP	-	World Food Program

CHAPTER 1: INTRODUCTION

1.1 Background

Drought is the most common natural hazard, affecting a significant number of people each time it occurs. It has far-reaching socioeconomic and environmental consequences. It is also recognized to be the source of more deaths and displacements than any other natural catastrophe. These have demanded a massive humanitarian assistance effort in Ethiopia, with the primary goals of preserving lives, restoring livelihoods, assisting with relief efforts, and preparing for rehabilitation. While the importance of humanitarian assistance is growing, they were unable to lessen the dangers for people who were most exposed to their consequences. As a result, linking humanitarian and development aid has increasingly been framed as a solution to people's needs that go well beyond urgent, life-saving assistance, such as lowering vulnerability and lessening the catastrophic effects of unanticipated calamities. The basic premise of the link is the need to create synergies between short-term humanitarian measures, with longer term development programs (Otto and Weingärtner 2013).

Linking humanitarian and development assistance is not a new concept and has been discussed for decades. It emerged in the 1990s when practitioners identified a funding gap between humanitarian assistance, relief, and development activities (Mosel, I. and S. Levine, 2014). Since then, agencies, academics and practitioners have attempted to find ways of reconciling the humanitarian-development link to provide both effective humanitarian assistance, and sustainable medium- and long-term development action. The concept has also been articulated through different discourses, such as 'early recovery', 'disaster risk reduction', 'resilience' and recently 'humanitarian and development nexus'. In recent years, the increase in humanitarian need and aid worldwide also galvanized the importance of developing longer-term interventions that reduces vulnerability and address humanitarian needs.

Despite the many discussions on the linkage between the two sectors, there is need to further disintegrated and customize the ongoing dialogue surrounding the linkages between humanitarian assistance and development interventions to the situation in Ethiopia. Therefore, the paper will add

to the ongoing discussion and further explores how the concept can be applied to drought context in Ethiopia. Thus, the aim is to assess ways in which humanitarian and development sectors work together and propose needed shifts to improve drought related risks in Ethiopia. Therefore, it reviews at Addis Ababa level, how humanitarian and development programs align to reduce drought vulnerability; it analyzes different policies and frameworks; institutions, as well as financing mechanisms to identify how much progress has been made in achieving a link.

1.2 Statement of the Problem

Approaches to link humanitarian action and development have taken multiple forms over the years. The 1980s aimed to bridge the ‘gap’ by linking humanitarian relief and development; the 1990s focused on the relief-development ‘continuum’; the 2000s saw the emergence of the cluster system; and, in recent years, the humanitarian and development spheres have focused on ‘resilience.’ and ‘nexus’. Essentially, the concept has been on the international agenda for decade and has evolved over time. The basic idea is to link short-term relief measures with longer term development programs in order to create synergies and provide a more sustainable response to crisis situations.

There are different body of literature on the need for intersections between humanitarian and development aid. According to Smith and Maxwell (1995), linking the two sectors should be a central part of government and aid agency policies. They state, the sharp division between development and relief is becoming unsustainable as emergency needs increase and as the experience of living with high risk becomes ever more apparent. Others, similarly wrote in support of the link, although it has not been widely applied and there is a slow progress in integrating the concept. Some of the underlying obstacles and analytical issues which beset this issue according to (Otto and Weingärtner 2013) is definitional or conceptual. Others to do with macroeconomic policy (Benson and Clay), funding flexibility issues (Steets 2011), politics, or institutional gaps (Suhrke and Ofstad 2005). Some have raised concerns that the humanitarian-development relationship falls between different topics and an explicit attempt to link relief and development may not be necessary (Seaman, Ross et al. 1994:4ff); and in other cases, it is issues concerning the independence and neutrality of humanitarian aid (Stoddard and Harmer 2005; Mosel and Levine 2014). Despite a broad body of literature on the relationship between humanitarian and development aid, as well as the gaps, much of the literature is still limited to secondary desk

reviews. There aren't many specific evaluations of governments, donors or NGO attempts to better link humanitarian and development program. Thus, this study will examine Ethiopia's attempt to link humanitarian and development programs in drought context. It will focus on some of the perceived gaps in many literatures, specifically on policies, funding gaps, institutions and coordination.

Many research have revealed that Ethiopia has been subjected to a wide range of risks, resulting in recurring crises. Drought, in particular, has the most devastating effects on people's life. It exacerbates pre-existing food poverty and makes impacted communities even more susceptible. In addition, droughts have been increasingly severe in Ethiopia in terms of frequency, cost, area covered, and number of people impacted (DPPC, 2004; ISDR/WB, 2009). According to the findings of a study conducted by the United States Agency for International Development (Ferris-Morris, M. 2003), the frequency of nationwide droughts resulting in severe food shortages has increased from once every ten years in the 1970s and 1980s to once every three years in recent decades. Every drought also contributes to further deepening the abject poverty and aggravating the destitution. In such a scenario, when the next crisis is a matter of "when" rather than "if," it has become necessary to integrate humanitarian aid to medium- to long-term development planning in order to address the core causes of vulnerability. As a result, this study will investigate efforts to link humanitarian and development programs in order to lessen the likelihood of a drought vulnerability at the federal level, specifically in Addis Ababa. The study is expected to offer a thorough picture of any current efforts and existing problems in linking the two sectors, as well as propose a course of action.

1.3 Research Questions

This research tries to answer the following research questions:

- i. What approaches are used to link humanitarian and development programs to reduce drought vulnerability in Addis Ababa, Ethiopia?
- ii. What policy instruments and commitments are in place to link the two sectors?
- iii. How does the different institutional arrangements support the link?
- iv. What are the funding initiatives that exist to link humanitarian-development programs?
- v. What are the coordination structures in place?

1.4 Objectives of the Study

1.4.1 General Objective

The objective of this study was to assess the humanitarian and development link in Addis Ababa, Ethiopia with a focus on reducing drought vulnerability.

1.4.2 Specific Objectives

- i. To investigate the approaches used to link humanitarian and development work
- ii. To identify policy objectives and policy instruments for humanitarian and development link
- iii. To assess efforts to link funding for humanitarian-development initiatives
- iv. To assess the institutional arrangement and coordination structures in place in support of the link.

1.5 Scope of the Study

The study was concentrated on assessing humanitarian and development link in Ethiopia focusing on Addis Ababa. It is focused on identifying policy instruments and frameworks, financing mechanisms, as well as coordination and institutional arrangements which facilitate a strengthened link and help reduce drought risks. It particularly examines how existing national government policies as well as development initiatives work in tandem in the process of reducing drought vulnerability, it assesses the funding architecture that are in place and evaluates the partnership and coordination that exists between humanitarian and development actors.

1.6 Significance of the Study

The study will give detailed assessment of the humanitarian and development link in drought context and identify needed shifts in programming, policies, coordination and financing to reduce drought risks at the national level. It would also identify the important gaps and suggest relevant solutions that can be used to improve a strengthened link. Furthermore, such studies are important in that they could help in designing better development programs and drought-related policies. The result of the study can also contribute to existing knowledge and understanding. Finally, the finding of the study can serve as a springboard for other researchers who are interested in further exploring the area of humanitarian and development link in connection to drought.

1.7 Limitation of the Study

The researcher encountered two major limitation while conducting this study. The first one is lack of studies in Ethiopia context. Although the concept of linking humanitarian and development sectors has been discussed for decades, there aren't many researches which focuses in the context of Ethiopia or drought. The second is logistical limitation that limited the geographical study area. Hence, this study does not analyze the field level, where, at the end of the day, all the strategies and plans have to be implemented. This is the analysis of mainly the national plan level, trying to understand programs and initiatives in bringing humanitarian and development aid closer together and how it can better respond to drought risks.

1.8 Organization of the Research

The thesis is organized into five chapters.

Chapter One- Introduction: Deals with the introductory sections of a research study. It consists of the background of the study, statement of the problem, objectives of the research, significance of the study, scope of the study, and limitations of the study.

Chapter Two- Review of Literature: This chapter presents empirical studies and theoretical discourse related to humanitarian and development link. It also discusses the link in Ethiopia drought context emphasizing on policy initiatives, funding structures, Institutions and coordination, etc.

Chapter Three- Research Methodology: This chapter presents the overall components of research design: research approach, data type, sources, and data analysis strategy.

Chapter Four- Presentation, Analysis, and Discussion of the Findings: It covers major findings of the study based on the data collected from questionnaires, and the findings are summarized, analyzed, and interpreted.

Chapter Five- Conclusions and Recommendations: Finally, this last chapter presents the concluding remarks and recommendations for future research.

CHAPTER 2: LITERATURE REVIEW

2.1 Introduction

This chapter presents the theoretical and conceptual discussion of the study. It mainly demonstrates empirical studies in humanitarian and development link. It also embraces a review of the research gap; approaches of the link, the conceptual framework that is driven from the review to guide the research.

2.2 Theoretical Conceptualization of Linking Humanitarian and Development Intervention

2.2.1 Traditional Approach to Humanitarian and Development Aid

The aid system has traditionally been compartmentalized between humanitarian and development assistance. The humanitarian sector is intended to address emergency situations and meet the immediate basic needs of people affected by those crises. For this reason, humanitarian responses are expected to be short-term, flexible, and may circumvent existing national systems in order to quickly deliver aid to people in need (Bennett 2015; Buchanan-Smith and Maxwell 1994; Macrae 2012). Complementary, but separate to humanitarian assistance, development assistance is intended to address the structural causes of poverty, by working to change the social, economic and political systems that create the conditions in which poverty and inequality occur (Bennett 2015; Brown and Donini 2014; Krocks et al. 2018). For this reason, development organizations aim to be sustainable in their efforts by working with local and national government structures. These simple conceptions of humanitarian and developmental roles represent how the aid system is intended to work. But reality is complex, and situations requiring humanitarian and/or developmental aid are not clear-cut, change over time, and may require a multitude of interventions by actors from all sides.

2.2.2 The Humanitarian-Development (HD) Link: Meanings and Approaches

Linking humanitarian and development efforts is a topic that has been discussed in the international policy literature for at least three decades. It began in the 1980s, when practitioners and researchers noticed a financial vacuum between humanitarian relief, rehabilitation, and development efforts in response to Africa's food crisis. The fundamental concept of integrating humanitarian and development is the necessity to combine short-term relief measures with long-

term development plans in order to establish synergies and provide a more sustainable response to disasters (Valerie Ramet 2012). Consequently, several debates emerged about humanitarian and development assistance with a view to try to resolve the divide between these two branches of the system. The main issues discussed were related to “(1) policy initiatives; (2) funding differences (3) institutions (philosophy, mandates, strategies, approaches); and (4) partnerships and coordination (Osa and Hanatani 2018). A number of approaches have tried to bridge the gap between humanitarian and development responses by addressing these main issues. The first-generation concept, the ‘continuum’ was initially adopted. This method sees linking humanitarian and development as a ‘a linear one-way transition from an emergency relief phase back to a pre-disaster development course, with rehabilitation often regarded as a ‘bridge’ between these phases (Garry Stevens, et al., 2018). It adopted each response separately and in turn. Later, the idea of a linear or chronological continuum was subsequently abandoned in favor of a contiguuum approach because it was considered overly simplistic and was unable to address the complex ongoing interactions between humanitarian and development aid (Mosel and Levine 2014). The “contiguuum” approach allows for relief and development assistance to work simultaneously within the same context as opposed to chronological succession of phases. It is claimed that the contiguuum model better reflects the complexity of situations involving overlap between short and long term actions, and different spatial dynamics. These approaches, although based on different assumptions, they all envision that humanitarian and development actors can work collaboratively and effectively towards common goals, such as reducing need, risk and vulnerability (Midori Kaga and Delphine Nakache 2019). In addition, several other concepts have been developed to analyze the disconnect between humanitarian and development assistance based on the two concepts, many of which are still used today. Some of these approaches include the long standing Linking Relief, Rehabilitation and Development (LRRD), and more recent policy frameworks and initiatives include; resilience, disaster risk reduction, early recovery, right-based approach and humanitarian-development nexus.

2.3 Enabling Environment for Appropriate Link or Main Challenges to Good Linkages (Policies, Institution, Coordination and Financing)

2.3.1 Policies

Improving policies and integrating policy initiatives plays a critical role in addressing the challenges of linking humanitarian and development. Humanitarian and development assistance are characterized by different principles and values that guide their work. The divergence in aid architecture has contributed to two fundamentally different paradigms (Macrae 2012). While humanitarian aid has generally aimed to save individual lives, often by working around governments, development aid supports structures and systems and is primarily delivered through governments. Mosel and Levin (2015), argue that this fundamental difference in who provides what kind of assistance and how it is provided prevents a change in the way relief and development aid is provided. In addition, humanitarian assistance is committed to four principles: independence, impartiality, humanity and neutrality –which is very different from the value-based way of working in development sector (Otto and Weingärtner 2013). Development assistance is intended to address the structural causes of poverty, by working with local and national government structures. As such, the development sector is not meant to be neutral, impartial or independent as the humanitarian sector tries to be, and its approach is rooted in a human rights framework. For this reason, it has been hard to align these two different policy fields and has practical implications regarding the way of working. But in recent years, to adequately respond to and manage complex crises, major policy shifts is taking place at the global and national levels, although, translating the policy commitment into appropriate action remains challenging (Kaga and Nakache 2019, Otto and Weingärtner 2013). And more importantly, policies, plans and frameworks that focus on the importance of a stronger humanitarian and development link will not lead to significant improvements without enabling funding, coordination and appropriately targeted and designed programming (ENN, 2020).

2.3.2 Institution

Humanitarian and development organizations have a different philosophy, mandates, strategies, and approaches (Kaga and Nakache 2019). Their way of working is heavily influenced by the clearly demarcated institutional borders. Such distinctions are also found within some institutions that are responsible for humanitarian assistance and development cooperation respectively.

Institutional dissonance in the struggle for synergy between humanitarian and development creates dilemmas for practitioners thus hindering stronger links. Overcoming this divide would essentially depend on the sector's capacity to change leadership and staff priorities, ways of working, institutional culture, fundraising habits, and the presence of open and objective evaluations (Ian Smillie, 2016).

2.3.3 Funding/financing

Financing is one of the crucial element of strengthening the humanitarian development link. The role financing is not just as a source of funding for projects and programs, but rather as tool to enable and incentivize behavior and outcomes across the nexus. However, development and humanitarian aid have different forms of financing. Unlike humanitarian assistance, which is financed mainly by short-term grants, funding for development assistance is longer-term, thereby providing some stability, predictability, and dependability (Kaga and Nakache 2019 P- 2). But this is not the case for the humanitarian assistance, as it struggles to meet the high-level of diverse needs, all the while constrained by lack of funding (Clarke et al. 2018; OCHA 2018, UNHCR 2017). Thus, it is important to shift from short-term funding activities towards collective multi-year financing outcomes that reduce needs, risk and vulnerability (UN 2018). A multi-annual funding for humanitarian aid or longer-term funding is expected to give implementing organizations more flexibility and a time perspective that goes beyond a stated project cycle. Both are supposed to allow for better linkages between humanitarian and development. Approaches to making flexible and longer-term funding include; multi-year funding options, strategic partnerships instead of project grants, joint humanitarian-development appeals, and pooling resources (Steets 2011; World Development Report 2014). Unfortunately, the combined use of different funding instruments in order to respond flexibly to a crisis remains an exception (Otto and Weingärtner 2013). This results in funding gap for recovery activities- only putting the focus on short-term emergency response funding as opposed to long-term rehabilitation funding.

2.3.4 Coordination/Collaboration

Improving coordination in order to overcome the challenges of the 'two worlds apart' has been central in the humanitarian development link debate for a long time. The expectation has been that creating common fora and coordination structures are ways to overcome the two worlds apart (Otto

and Weingärtner 2013). Coordination mechanisms have the capacity to ensure responses are complementary and add up to a more holistic response to problems and/ or that they build on each other in their work (Steets 2011). Coordination or collaboration can be between different actors, capitals, or offices within the same organization. Strengthened information sharing, joint trainings, assessments or evaluations and agreement on collective outcomes are some of the possible avenues for improved coordination. New and innovative forms of collaboration, coordination and communication that go beyond business as usual are important bearing in mind the constraints posed by the difference of positioning of humanitarian and development actors as regards humanitarian principles .

2.4 Humanitarian and Development Aid Link and Response to Drought in Ethiopia

Ethiopia regularly experiences drought and, as such, responding to drought – and its negative impacts on people, their assets and communities – is an important aspect of efforts to save lives, reduce poverty and promote economic growth. Drought produces a complex web of impacts that span many sectors of the society, including the economy, and may reach well beyond the area experiencing a drought (Suryabhadgavan, K. V, 2017). Its outcome is manifested through immense damage to agriculture production, reduction of water supply and energy production, widespread poverty, depletion of household assets and coping capacities of communities, mass migration, and loss of life (Mekonen et al. 2020).

The government of Ethiopia has taken major steps in fighting recurring drought, poverty and bringing sustainable development. The overall disaster policy stance has over time shifted from a reactive drought- and relief-focused approach to a more proactive multi-sectoral and multi-hazard DRM approach. The government has invested in basic services, including health, education and agriculture extension services, and these are regularly providing support to its population, including the poorest and the food insecure. The government's response also takes place against the backdrop of a series of global and regional frameworks of drought-risk management as well as notable national- and global level development frameworks.

However, the absolute number and proportion of the population requiring social protection or humanitarian assistance is on an upward trend, and it is not clear that development and resilience gains can be sustained amidst trends of population growth and recurrent climate driven events,

such as drought. And given that in areas affected by drought many of these same people require assistance, joint planning between humanitarian and development systems have been important to collectively respond to the needs of people.

Humanitarian assistance in Ethiopia is provided through the annual Humanitarian Requirements Document (HRD), currently known as the Humanitarian Response Plan (HRP). It provides critical humanitarian assistance to an average of 5 million people per year focused on the most vulnerable and most at risk. Whereas development practice is underpinned by the principle of investing to achieve maximum efficiency and high population density capture. Decisions of where to invest are largely governed by political and economic imperatives. Because of this, neither seems to possess the transformative character required to reduce vulnerabilities comprehensively and over the long term. The silo response culture on both sides and, the cost of lack of integration between humanitarian and development efforts has become unsustainable and inefficient.

2.5 Conceptual Framework

There are several obstacles faced in linking humanitarian and development aid. Some of the main issues are differences in funding; institutions; partnerships and coordination; and lack of policy commitment. This indicates that to achieve a link between these two aids, all these elements need to be present. An important first step is to commit to improving policies and integrate initiatives that facilitate the nexus to bring about a paradigm shift. Once there is a policy supported with clear objectives and relevant policy instruments, its facilitation to the link would be easy. This should be followed by a strong institution. These institutions need to ensure adequate guidance, technical support, and resources to develop coherent nexus approaches. Coordination and proper monitoring are also key elements. It is important to coordinate closely among humanitarian and development partners to identify the potential synergies as well gaps between the different programs. Strong cooperation in information sharing for early warning, joint analysis, organizing and mobilizing, and delivering services effectively and efficiently are crucial for successful response and risk reduction.

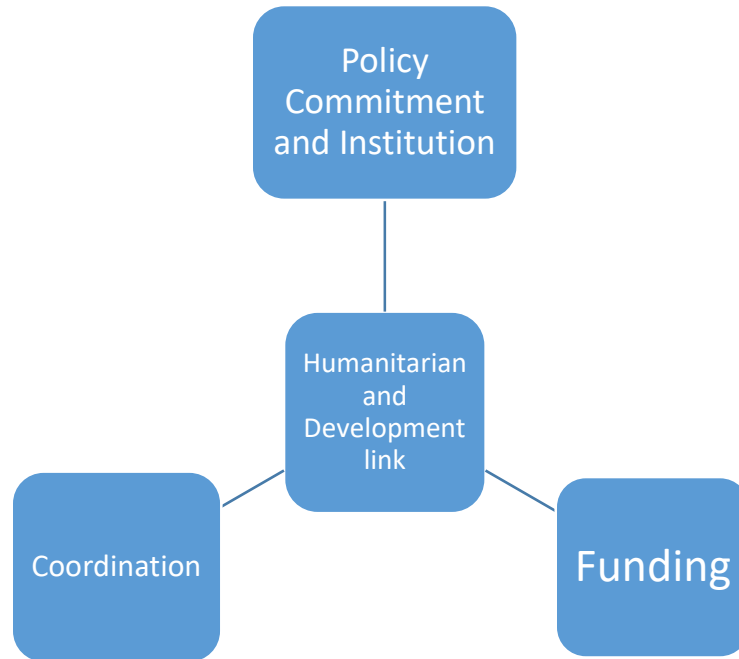


Figure 1: The CF shows issues that are pertinent for a strengthened humanitarian and development link.

CHAPTER 3: RESEARCH METHODOLOGY

3.1 Introduction

This chapter presents the overall methodology used in this study. It contains a description of the research methods that apply to an empirical study on the theme that the researcher used in collecting and analyzing data. It describes the types of methods selected for data collection and analysis and the reasons behind why these methods are chosen. The Chapter outlines description of the research design, research methods, data collection instruments, as well as data analysis strategies and ethical considerations.

3.2 Research Approach

The main aim of the study was, to assess the humanitarian and development link with a focus on reducing drought vulnerability in Ethiopia, while using Addis Ababa as the case study. To achieve this objective, the researcher used a qualitative research design. According to Creswell (2007), qualitative research is advantageous to acquire deep information about the meaning, experience, and role of the issue.

Qualitative (a non-numerical data collection) research is a method of inquiry appropriated in many different academic disciplines, traditionally in the social science, but also in market research and further contexts (Mittal and Saxena, 2012). Qualitative research not only involves completely different techniques from those used in quantitative research but also requires a radically different cast of mind and basic philosophy.

3.3 Research Design

This study has particularly used a combination of descriptive and explanatory inquiries. Descriptive design sets out to describe and interpret in detail "what" is the status. Descriptive answer questions of what and where. It looks individuals, groups, institutions, methods, and materials to describe, compares contrast, classify, analyze and interprets the entities various field of inquiry (Zerihun 2018).The researcher employed descriptive inquiry to understand the status of humanitarian and development link by identifying policy commitments and the institutional arrangements. On the other hand, as an explanatory inquiry, the research also tried to explain the funding methods and the coordination structure between the two sectors focusing on drought.

3.4 Source of Data and Data Collection Instruments

3.4.1 Source of Data

In this study, primary and secondary data were used. Primary data employed through the interview and survey to capture respondents' insight and opinion. In addition to the aforementioned data source secondary data source is also installed to support through document reviews. Secondary sources of data were are gathered from different published articles, journals, books and other relevant internet source.

3.4.2 Data Collection Instruments

This research relied on the following methods of data collection to obtain firsthand information: interviews (semi-structured), document review, and survey. Hereunder are the details: -

- **Interview** (semi-structured): For this study, an in-depth, semi-structured interview was used as it helps to acquire a deeper understanding of the subject matter. It also helps make discoveries by allowing the informants to add their information through answering open-ended questions (DiCicco-Bloom & Crabtree, 2006). The interview questions were arranged based on the study objective, problem statement, literature review, and conceptual framework. The interview involved some key informant interviews with representatives of different agencies including, the Government, UN and Non- Governmental Organizations, and donors. Interviews unavailable for the face-to-face meeting were conducted over Skype, telephone, Google meet, and zoom.
- **Document Review:** This research employed a literature review of existing studies on humanitarian development aid regarding the link, drought, and related humanitarian responses in Ethiopia. The research first concentrated on the 'traditional literature' about liking relief and development (from the 1990s and onwards). It then also took into account more recent publications, policy documents and evaluations, and other documents found to be relevant to the study. The document reviewed were used to triangulate the data that were gathered through interviews and the survey questions.
- **Survey:** A survey was used to measure respondents' attitudes by asking the extent to which they agree or disagree to the questions presented. Survey facilitate unbiased data collection by designing compelling questions and thoughtful responses (Robbins, N. B.; Heiberger,

R. M. (2011). The survey has a total of 4 sections (see Annex 2). Google form was used to create the survey. Participants were provided with a link to access the form.

3.5 Sampling Techniques

For this study, purposive sampling were applied. Purposeful sampling is a technique widely used in qualitative research for the identification and selection of information-rich cases for the most effective use of limited resources (Patton, 2002). This involves identifying and selecting individuals or groups of individuals that are especially knowledgeable about or experienced with a phenomenon of interest (Cresswell & Plano Clark, 2011). For this reason, the process of drawing individuals' subjects for interview was purposely dependent on certain qualities and characteristics.

3.6 Population, Sampling Unit, and Sampling size

3.6.1 Sample Population

According to Kothari (2004), the population is the set of objects technically called the universe to be studied. In this research, government humanitarian offices, NGO and development organizations in Addis Ababa are considered to be the sampling population.

3.6.2 Sampling Unit

Sampling units for a study can be institutions, school, housing, construction site, village, urban center, or it may be an individual from which sample drawn (John, 2007). However, the sampling unit of this study were individuals who are in government organizations, development actors, and humanitarian agencies.

3.6.3 Sampling size

A total of 21 experts participated in this study. Participants were selected using a purposive sampling method ensuring the reliability and quality of data collection.

No	Institution	No of participants or key informants
1	National Disaster Risk Management Commission(NDRMC)	6
2	Ministry of Agriculture (MoA)- Natural Resources and Food Security Sector	4
3	Ministry of Finance	1
4	Development Partners(WB,DFID,USAID,ECHO)	4

5	UN(OCHA,WFP)	2
8	NGOs/ Civil Society	4
	Total	21

(Own source, 2021)

Table 1: Sampling size

3.7 Method of Data analysis

In this research the qualitative data were extracted through an open-ended questionnaire, interview, and document review techniques were arranged, interpreted, translated, and categorized with sub-topics or themes to fit with the research objectives or research question. During the data collection, the interview were prepared in English language to the respondents then transcripts of the key informant interviews were transcribed and open coded to categorize key themes and identify patterns and fit the research objectives. Finally, presented, analyzed, and discussed using a narrative technique in conjunction with the analysis of the survey responses. Furthermore, Google form and Google sheet was used for analyzing the responses from the survey.

3.8 Ethical consideration

Ethical principles were applied by respecting the privacy of respondents and confidentiality of information revealed by the respondents during data interpretation and reporting. The primary data which includes key informant interview and the survey was collected by communicating the responsible different organizations through a formal letter from Addis Ababa University. All interviewees gave their explicit consent to being interviewed and to be audio-recorded. They were informed of the context of the study and the use that would be made of their data. The collected data are analyzed without any bias and/ or exaggeration. Data taken from any other secondary sources and previous studies are cited and acknowledged.

CHAPTER 4: RESULTS AND ANALYSIS

4.1 Introduction

This chapter focuses on results and discussions of research findings based on data obtained from both primary and secondary sources of information. Therefore, data that was collected through interviews, survey, and document review was presented, interpreted, and analyzed to answer the research questions with regards to investigating the approaches used to link the two sectors to reduce drought vulnerability, identifying policy instruments, assessing the funding initiatives and the institutional and coordination structures in place in support of the link.

The obtained raw data were analyzed in detail and interpreted using relevant research design. It focuses on the four research questions against the corresponding research objectives which are indicated in the first chapter of this study.

4.2 Policy initiatives/commitment

As explained in the literature, the Government of Ethiopia over the years has put in place series of policies and established disaster management institutions to curb recurring drought hazard and other disasters. There has also been a transformation of Ethiopia's disaster management and a departure from past disaster management policies and practices. Ethiopia's DRM policy seeks to mainstream disaster risk into development plans and programs across all sectoral institutions at all levels. It has also been designed to respond to the goals of the national development strategy. The DRM Policy also has an implementation manual, called the Disaster Risk Management Strategic Program and Investment Framework (DRMSPIF), which is designed to respond to the multifaceted challenges of disasters in the country and are therefore rooted in the notion of multi-risk and multi-sector policy options to strengthen drought resistance and its impact on food safety practices (MoI, 2013b, pp. 3-4) In addition, higher-level policies and plans such as Growth Transformation Plan II (national development plan), United Nations Development Assistance Framework (UNDAF), and Humanitarian Response Plan (HRPs) all speak to closer alignment of humanitarian and development programming and resilience building in cyclically drought-prone areas. Development partners programs like the EU resilience building and DFID'S building resilience program also focuses many of their interventions on a multi-sectoral, integrated, resilience-focused approach,

incorporating strong links between development and humanitarian approaches. In addition, long-term development programs, such as the Productive Safety Net Program (PSNP) and SLMP, are designed to avoid a shock from becoming an emergency and their benefit lies in the fact that it is early and preventive, rather than late and reactive. Having this fact, key informants stated that different existing policy instruments acknowledge and commit to an integrated two-track response-relief and development rather than humanitarian operations alone. However, most of the respondent from both sectors stated that these policies do not state how to achieve a link, and furthermore there is no one policy or strategy focused on the humanitarian and development link. This is to say that, while the importance of a link is reflected in humanitarian and development policies one way of the other, there is no one policy yet specifically addressing a link between these two sectors. But respondents do recognize that there has been an interest for an integrated humanitarian and development strategy with a focus in key areas of convergence to reduce vulnerabilities and need over time. The Ethiopia's Multi-Year Resilience Strategy that was developed in 2019 following the 2018 a New Ways of Working (NWoW) high-level event in Addis Ababa is one example. The intention of this draft to achieve collective outcomes (Cos) amongst humanitarian and development actors to address the underlying causes of drought and dependency, and to provide predictable, flexible and multi-year funds (MYRS Draft, 2019). This is clearly a move in the right direction, as mentioned by key informants from OCHA, but it still remains a draft. In addition, a respondent from DIFID stated that there is a lack of accountability or leadership from the GOE and the UN for a meaningful progress on achieving the collective outcomes on the draft strategy. Thus, among other things it is has been difficult to understand where resources and leadership will come from for the implementation and what can realistically be achieved.

However, what is interesting is, despite these gaps, according to the survey, more than 70% of the participants believe humanitarian as well as development policy are designed in ways that are supportive of recovery and long-term development and vice versa. Respondents also agree that the absence of a single and clear policy document does not mean existing policies do not support the link. For example, a respondent from the EU and World Bank mentioned PSNP and stated that it embodies the nexus. The PSNP is another key element of the Government of Ethiopia's Food Security Program funded by development partners since 2005. The program is an example of Ethiopia's new policy arrangements that aim to link relief to social security and development. PSNP plays a critical role in building the resilience of chronically food insecure communities

through cash and food transfers, community asset building, and support for improved nutrition and livelihoods. Thus, social protection is conceived more and more as intrinsically linked to disaster response, playing the role of a ‘bridge’ between humanitarian assistance and development processes. This policy change has allowed for a shift away from short-term poverty relief towards promoting resilience and long-term development of areas that were perennially at risk (Endale, K, et al., 2019). The PSNP is now one of the largest social assistance programs by coverage in Africa. Overall, the PSNP and other programs and strategies adopted by both sectors show the commitment towards the link. Though, the linking of two sectors had no single document official policy or strategy, by default, government, humanitarian and development partner policies and programs are considered as a guidance to achieve the link. Interviews conducted with NGOs also expressed that they don’t necessarily use the term linking. Instead, they focus on DRR or resilience– and these are seen as the appropriate approaches for linking humanitarian aid and development cooperation. Donors and other actors have developed a number of concepts in order to fulfil these policy commitments. Nevertheless, most respondents stressed that the lack of policy has harmed the ability to fully understand how the link works especially when humanitarian and development aid are from two worlds apart. Thus, they stated it needs to be supported by relevant policy documents. Once there is a policy, a common understanding of what is required to strengthen the humanitarian development nexus comes to play. In conclusion, all the data show that there is a commitment to link the two sectors. However, the absence of a policy/strategy on linking humanitarian and development is a source of contention in the minds of most respondent.

4.3 Institution

Document review indicates that the differences in working principles and mandates of humanitarian and development actors presents a challenge to link the two sectors. According to those interviewed, the aid worker or desk officer of a humanitarian institution or department will always invest more time and energy in aspects related to her or his core responsibility and mandate. An NGO staff interviewed stated that “they are mostly focused on the earlier phases of humanitarian action that are needed to help the communities”. Meaning, they are focused on areas within their responsibility and the mandate of their organization as oppose to giving priority to the long-term implication of their programs. In addition, it was mentioned that there is no specific technical support or guidance on how the nexus approach should fit with existing planning prioritization and resource mobilization processes. Survey collected also supports key informants

response- a sizeable majority of 67% stated that available institutions do not ensure adequate guidance, technical support, and resources to develop coherent nexus/link.

4.4 Coordination

Humanitarian coordination in Ethiopia benefits from strong government commitment and leadership. It is led by the government's National Disaster Risk Management Commission (NDRMC), with the support of OCHA. Whilst government and humanitarian partners maintain various internal coordination forums, many are joint. The NDRMC leads the seasonal assessments (the assessment takes place after the two main rains (Meher and Belg) that underpin much of the response planning, issues humanitarian response plans jointly with the international community, implements important parts of the response directly, and provides part of the funding for the response (NPDRM, 2013).

The Commission leads federal- and regional-level Disaster Risk Management Technical Working Groups (DRMTWG). The DRMTWG brings together the UN cluster system and government line ministries. This platform provides both strategic and overall operational guidance for joint assessments, planning and response, and hosts a series of specialized task forces that work in tandem with the clusters, including nutrition and health; water, sanitation, and hygiene (WASH); food security; shelter and non-food items; protection; education; and agriculture. The highest-level joint forum, co-chaired by the National Disaster Risk Management Commission (NDRMC) and the humanitarian coordinator, is the Strategic Multi-Agency Coordination, which provides overall guidance on the humanitarian response, including resource mobilization and strengthening linkages between government bodies and the wider humanitarian community (Humanitarian Coordination Structure, Ethiopia).

There are also international aid agencies such as OXFAM International (UK / Canada / US), Save the Children International, CARE International and Catholic Relief Services (CRS), and multilateral and bilateral organizations like UNOCHA, UN World Food Program (UN/WFP), USAID, EU and UNICEF that work very closely on drought alongside the government structure at the Federal and Regional level starting from the early part of the field assessment to the mobilization and distribution of relief food for the drought victims((Mera, G. A. 2018. Pp. 29)

UNOCHA manages the Inter-Cluster Coordination Group to ensure the coherence and complementarity of response efforts. Clusters / sector task forces are chaired by relevant line ministries and co-chaired by UN agencies. The group identifies and recommends strategic action for the Ethiopia Humanitarian Country Team – the principal policy- and decision-making body of the international humanitarian system, chaired by the Humanitarian Coordinator. The Ethiopian Humanitarian Country Team (EHCT), at a strategic level, mobilizes coordinated support to government leadership. Within the Humanitarian Resilience Donor Group, humanitarian donors and partners explore more sustainable approaches. Donors participate in strategic discussions and decisions as members of the Humanitarian Country Team. They influence humanitarian processes by providing funding and defining priorities. International NGOs coordinate among themselves within the Humanitarian INGO Forum (IASC, 2019). The Ethiopian Humanitarian Fund (EHF) is the primary mechanism for emergency funding and constitutes a country-based multi-donor pooled fund managed by OCHA under the leadership of the humanitarian coordinator (UNDAF 2015).

With this mind, respondents from UN agencies such as WFP and UNOCHA as well as development partners from WB, DIFID, and EU all noted that the government has shown strong leadership and commitment towards coordinating humanitarian and development actors. The Humanitarian coordination structures in Ethiopia have been agreed to bring together range of humanitarian and development actors and promote a coordinated and coherent approach. They all alluded to the fact that there are concrete steps taken to improve coordination through the establishment of inter-cluster and sectoral coordination arrangements such as the Rural Economic Development and Food Security (RED&FS) Sector Working Group which is a government and donor platform chaired by the Ministry of Agriculture (MOA) with co-chairs from USAID and the World Bank. Under this technical working group, stakeholders jointly decide strategies, undertake technical reviews and recommend funding requirements. This and other similar platforms brings together humanitarian and development actors. However, all respondents were in agreement that more should be done to effectively link humanitarian and development work.

An interviewee from NDRMC stated there is a strong platform and coordination structure, one being the disaster risk management technical working group which a UN agency co-chairs and development partners are part of. However, he stated, *“From the very beginning the intention of this technical working group is to discuss agendas related to recovery and risk reduction, but what*

we hear on these coordination platforms from UN agencies and development partners is about crisis management, and frankly speaking we have a long way to go to efficiently and effectively work on the nexus.” He also went on to explain why this happens. He said *“the more you manage humanitarian agenda the more resources you get.”* These sentiments were also shared by other respondents from the NDRMC. They have noticed for the longest time that the orientation of the donors is being more generous towards humanitarian issues, than risk reduction. One respondent said *“Development partners are more generous when they see pictures of malnourished communities than focusing on risk reduction.”* This means, there is less focus on programs that are purely humanitarian and development work that helps risk management and promote the link.

Furthermore, the office of the NDRMC stated that they have been working on different programs that embody the link such as PSNP and the Woreda disaster risk profiling. They stated that these programs are development agenda but hold a humanitarian aspect in it. *“Through this program, we save their lives and also put beneficiaries in a development program. But, when it comes to resources, donor support is not consistent, especially concerning the disaster risk profiling program”.* For these reasons, most of the respondents from NDRMC believe that the link or nexus has not practically materialized yet and they also believe development partners should put risk reduction programs at the center of their agenda for the link to work. However, despite these criticisms, respondents from NDRMC acknowledged and praised development partners programs that are geared towards resilience. EU’s and DIFID’s building resilience programs are two of the examples mentioned.

While the NDRMC office seems to put more responsibility on development partners for the lack of an effective link, a respondent from the World Bank in return pointed to the coordination discrepancies that are visible at government offices. For instance, until 2015, the Food Security Coordination and the Early Warning and Response Directorates were managed by a single minister, the State Minister for the Disaster Risk Management and Food Security Sector (DRMFSS), within the Ministry of Agriculture (MOA). In 2016, the establishment of the National Disaster Risk Management Commission (NDRMC) entailed the splitting of the previous Disaster Risk Management and Food Security Sector into two separate entities: i) the new NDRMC, with overall responsibility for the coordination of disaster management and implementation of Humanitarian Food Assistance, reporting directly to the Deputy Prime Minister, and ii) the Food

Security Sector, within the Ministry of Agriculture and Natural Resources (MOANR), with the overall responsibility for the PSNP. The NDRMC thus manages the provision of cash and food transfers through the Humanitarian Food Assistance (HFA), while the MOANR manages the provision of cash and food transfers through the PSNP. For both the PSNP and the HFA, food transfers are routed through the government's food management system, which is currently under the responsibility of the NDRMC; cash transfers for the PSNP are channelled through the Ministry of Finance and Economic Cooperation (MOFEC), and cash transfers for the HFA through the NDRMC (GoE and World Bank, A new way of working; cited in DEVCO, 2019). She stated that the existence of several systems entails duplication and are cost inefficient in many functions such as planning, procurement, delivery, targeting, registration and payment processes, monitoring etc. However, document review shows efforts have been made to harmonise these systems in recent years with the help of development partners. (WB, 2019).

This respondent also brought up poor management of early warning information and related governance issues as a cause for ineffective communication. Even though there are vertical and horizontal coordination platforms in the form of task forces, she pointed out that the early warning information in coordination platforms which is normally used for preparedness planning are mainly used to inform humanitarian actors to intervene or respond during drought crises. As a result, the available early warning information does not appear to have been used to stimulate preparation for a drought, and she suggested for government EW systems to be diversified and updated.

Furthermore, the missing links between humanitarian and development interventions was attributed to silo structures within donor organisations. This is a strong theme that emerged among many of the respondents. On this matter, a respondent from OCHA stated that “*a demarcated structures and process within donor organization make coordination and collaboration between the humanitarian and development sectors difficult to achieve*”. Some donors, like the US Agency for International Development (USAID) / Office of US Foreign Disaster Assistance (OFDA) and the directorate general for International Development and Cooperation / ECHO have two separate departments that deal with humanitarian and development issues contributing to the disconnect between both systems. A respondent from DFID also said that “*the development department funds don't have the humanitarian element in it, DRM management are not mainstreamed and an*

integrated approach is missing- It's clear why the link is not effective ', whilst acknowledging her organization DFID and Irish Aid for their holistically approach and implementing programs through a more HDN-oriented lens (ENN, 2020).

A high number of respondents also felt like there is limited clarity over practical ways in which humanitarian and development interventions can be linked or better still, integrated. The understanding of the programmatic relation between development and humanitarian programming among senior managers is not shared by the whole team and not all have a clarity on how best integrate the two approaches (humanitarian and development) during the early recovery/preparedness phases. *“There is no instrument or the expertise on how to achieve the link”* said an interviewee from DIFD. And this goes back to the fact that there is no one specific guideline on the link as described by respondents when interviewed about policy commitment. Lack of monitoring and evaluation were also mentioned by respondents. According to the findings, 42% stated that the link is not taken into consideration as part of the performance assessment. Although there are many instances where humanitarian and development actors work together, the collaboration between these sectors have no formal monitoring or accountability networks. While the actors are keen on reporting on their progress regarding humanitarian - development nexus, each commitment made varies in depth. Hence, monitoring and evaluation focuses on the programs being implemented as opposed to the link between the two sectors. However, more than 80% agree that there are participatory assessments and evaluation by both actors. In regards to the existence of joint tools, 28.6% disagree whereas 57% agree that available tools exist for monitoring and evaluation.

Another issue was that development interventions often pursued different objectives than humanitarian interventions. As a result, many development interventions in Ethiopia focused primarily in areas where the conditions for successful development were seen as more promising, as opposed to protracted emergency areas. In addition, the different planning cycles for development and humanitarian aid is considered a challenge by many interviewees. According to the survey, 70% of the respondents also said humanitarian and development assistance planning cycles are not aligned for informed intervention and sustainable solution. But instead suggested to make humanitarian response planning multi-year instead of annually to put forward a more sustainable solution for affected communities' problems.

Despite evidence of difficulties related to coordination, there have also been many discussions and policy initiatives on strengthening links between the humanitarian and development sectors. These include, regular discussions in the Ethiopia Humanitarian Country Team on resilience, discussions with a “Humanitarian and Resilience Donor Group,” the designation of Ethiopia as a pilot country for the “New Way of Working,” and the creation of a “Nexus Group” in the Humanitarian Country Team. An ad hoc think tank called the ‘Nexus Group’—comprising DFID, the European Union (EU) /European Civil Protection and Humanitarian Aid Operations (ECHO), Irish Aid, OCHA, Save the Children, Joint United Nations Programme on HIV/AIDS, UNDP, UNHCR, UNICEF, WB and World Food Program (WFP)—was formed and generated evidence to feed into the collective analysis and planning by government and by humanitarian and development partners (ENN, 2020). This group prepared several discussion papers that devised new conceptual approaches – such as the “bundle” and “bundle+” approaches – to integrate humanitarian and development interventions taking place in the same area, including identifying concrete areas for acceleration of development resources to address acute needs, but was eventually abandoned due to a lack of commitment from members (UN Snapshot, 2016). In 2018, a Joint Steering Committee was established under the executive committees of the Development Assistance Group and the EHCT, with participation from the UN Country Team, humanitarian and development donors, the WB and INGOs/NGOs. Unfortunately, this was discontinued later in 2018. In addition, in 2019, the UN and partners in Ethiopia were to embark on the development of a new UNDAF, now renamed the UN Sustainable Development Cooperation Framework, and a new Multi-Year Humanitarian Strategy. The GoE, UN, NGOs and donors agreed to develop COs that will link these two and other relevant strategies with the GoE’s new Growth and Transformation Plan.

4.5 Finances

Interviews and document review conducted suggest that the funding issue were particularly relevant in terms of linking humanitarian and development interventions in drought response. Funding, which is a crucial element of strengthening the humanitarian and development link has more often than not been limited, rigid, and late as described by most respondents. Furthermore, the difference between development and humanitarian funding context (timing, duration, scope, etc.) is considered largely impractical for the link. Again, a high number of respondents were in agreement when it comes to the existence of lack of flexible funding and how it is a major

constraint for a collaborative action. A respondent from NDRMC said that the main reason for the silo is the resources.

In response to this issue, there has been efforts by the GoE to bring together humanitarian and development funding through joint humanitarian-development appeals and more flexible funding (HDRP 2018). A number of development partners have also been active in financing drought resilience initiatives in the country. DFID, USAID and ECHO have all developed position papers on resilience and are backing their stated commitments with funds, including, in some cases, diverting funding from life-saving response to resilience programming (ENN, 2020).

DFID has made a commitment to mainstream resilience into all their programmes, and is also pushing for more multi-year humanitarian funding so that humanitarian response can incorporate longer-term perspectives ; the pooled Ethiopian Humanitarian Relief Fund Advisory Board meetings are focusing on longer-term multi-sectoral approaches to addressing crises (Development Initiatives (2019); and ECHO and the EU are jointly funding RESET (Resilience Building in Ethiopia) – a programme of linked humanitarian and development activities being implemented in 8 geographical clusters covering 34 woredas (2.5 million people) in highly drought-prone and food-insecure geographic areas of 5 regions. The programme is being implemented jointly by a consortium of INGOs and United Nations agencies, which are conducting joint context and risk analysis, mapping, cluster strategy development, joint action and coordination frameworks. The RESET programme itself mainly focuses on resilience but partners are encouraged to mainstream DRR activities and also to maintain emergency response capacity to tackle any crises that may arise using a crisis modifier (EU RESET, 2014; UNICEF, 2016).

Despite major donors pushing the concept of resilience, key informant interviewee from UNOCHA, NDRMC, and NGO's stated that there still is reluctance to fund resilience-oriented humanitarian programs. For example, an interviewee from NDRMC pointed out the lack of funding towards woreda risk profiling which has been a challenge for moving forward in implementing effective disaster risk management. The lack of funding obtained for resilience-building and systems-strengthening components of the 2018 HDRP (Pillars 1 and 3) clearly reflect both the silo program funding and implementation architecture in Ethiopia and, the challenges of implementing a humanitarian and development nexus approach, where the humanitarian imperative will inevitably be prioritised over development centred humanitarian activities, and (HDRP, 2018).

According to the 2018 HDRP, the preparedness and response pillar constituted the lion's share (88 percent) of overall funding requested under the HDRP whereas the pillar on national systems strengthening and recovery received only 7 percent of the resources requested (OCHA. 2019. Ethiopia 2018 HDRP Funding Update (last accessed on 15 January 2019).

However, some progress is being made by implementing crisis modifiers (CM) and contingency funding (CF). The CM/CFs ensure that if a shock occurs, there are enough funds to address acute humanitarian needs and ensure progress of longer-term/development programs. The use of crisis modifiers in Ethiopia is widely lauded as good practice in terms of linking humanitarian and development interventions. The aim of CMs is to ensure that if a shock occurs there are enough funds to address acute humanitarian needs and ensure progress of longer-term/development programmes. USAID, the EU-funded RESET (Resilience Building and Creation of Economic Opportunities in Ethiopia) programme and NGOs such as Save the Children have been using this approach (RESET II 2019). CM support is invariably channelled via partners rather than government; however, if CM funds are inadequate to meet humanitarian needs, implementing partners may request additional funding from the EHF. The percentage of overall programme costs allocated to CMs varies enormously.

The PSNP also has its own form of CM (referred to as contingency funding) which allows scale up to emergency-affected communities and inclusion of non-PSNP households or to extend the number of months over which participants receive assistance, from six up to nine months. Its contingency budget can also be used to support humanitarian food assistance. These contingency mechanisms were used in 2015 (US\$16 million) to add three distribution rounds. In 2016 and 2017, donors increased their contributions to the PSNP to support its expansion as part of the drought response. The World Bank, for example, provided an additional US\$100 million and US\$108.1 million, respectively, primarily from the International Development Association's Crisis Response Window.

Several other development interventions also had crisis modifiers in place, which allowed implementers to reallocate parts of their existing development funds to crisis response. It is considered as one of the most effective mechanisms in enabling an early response, while at the same time linking emergency interventions to longer-term programs. One limitation of this approach mentioned by interviewees is that resources often had to be spent in the same geographic

area, even though development interventions do not often focus on the most crisis-prone areas. (IASC, 2019).

CHAPTER 5: DISCUSSION

This chapter provides a reflection of the research process and highlights the main findings. Further, the implication of the study, limitation of the research and directions for future research are also discussed. However, this research should be interpreted with caution due to the limitation of the content research. In setting out this study, I had taken as a hypothesis that the link between humanitarian and development are important to reduce drought vulnerabilities, while at the same time recognizing that there are challenges to it.

The main aim of the study was to assess the humanitarian and development link with a focus on reducing drought vulnerability. In order to achieve the purpose of the study document review, semi structured interview and survey were used to collect a cross sectional data. The outcome of this research has provided insight into approaches and factors that support and hinder the link between development and humanitarian assistance to reduce drought vulnerability.

5.1 Findings

The finding reveals that policies as one of the enabling environment for appropriate link, echo an increased interest in and strong political commitment to end drought through a collaborative effort between humanitarian and development. These policies emphasize on the integration of drought risk management approaches into long term development measures, as well as moving away from cyclical humanitarian response while also strengthening the resilience of vulnerable population. Thus it can be seen existing policy instruments acknowledge and commit to an integrated response. Furthermore, a number of programs and initiative have been implemented by the Government of Ethiopia and its development partners in an effort to contain negative impacts of droughts on vulnerable population.

However, the findings from this research also suggests that there are existing institutional and cultural impediments, as well as a larger financial architecture, that are impeding a stronger link. It appears that some regulatory frameworks set by both sectors and mostly by donors work against the integration of humanitarian relief and development action. For instance, timeframe of the implementation or the eligibility of beneficiaries have contributed to the institutionalization of two separate modes of action. In addition, the types of activities that can be carried out as part of a humanitarian project are typically different from those that are allowed in a development project,

and this is even more true of the duration of those activities. A significant differences also exist in the extent to which humanitarian and development processes are aligned within organizations creating silos. Some donors have clearly demarcated structures and processes when it comes to humanitarian and development works. Further the lack of flexible, multi annual funding are stated as some of the major constraints for a collaborative action. Nevertheless, the emergence of some flexible funding schemes – of which the USAID crisis modifier and the joint ECHO-Europe Aid SHARE initiative were two key examples – allowing for easier integration of humanitarian and development efforts.

Overall these findings are consistent with the views of other studies. For example, Stevens, G., et al, 2018 has suggested that the link between the two sectors have historically been constrained by different organizational cultures, structures, values and ways of working. Another study by Mosel and Levin (2015) shared a similar finding suggesting that the fundamental difference in who provided what kind of assistance and how it is provided have prevented a change in the way relief and development aid is provided. Another study conducted by Steets 2011; Dudaite, G 2018 has also found that there is a lack of flexible funding and that there is a systematic funding gap for recovery activities and that fragile states do not receive enough developmental support.

5.2 Implication of the Study

The findings of the study reflect some important implications. Although, much has been said about the link between humanitarian and development this study uniquely synthesize the relationship of the two sectors focusing on drought vulnerability. This research lies in the approach taken in examining the issue of linking relief and development. I have attempted to explore the main elements (policy, institution, coordination and financing) that contribute to appropriate link or perpetuate the gap. To the best of my knowledge, this is a different endeavor that may help academic discussions about the enabling environments or limits of humanitarian and development action. Additionally, this study helps to shed light on aid practices in Ethiopia by emphasizing the barriers and motivations that influence how humanitarian or development work is carried out on a daily basis. These issues are actually frequently lacking from academic research and project documentation, because the focus is on evaluating outcomes rather than the methods employed to achieve it. Finally, the results of this study should also be of interest to aid organizations and

policymakers that want to encourage improved coordination between humanitarian and development initiatives.

5.3 Limitation of the Study and Further Research

A first major limitation of this study is the limited geographical study areas. The study has focused on implementing organizations and, to a limited extent, to donors present in Addis Ababa. All other actors along the aid chain – donor headquarters, aid organizations headquarters, local authorities, and obviously beneficiaries – have been looked at from the standpoint of the implementing organization. Given these constraints and limitations, I think additional research could be helpful. It could be an expansion of the current study by, for example, replicating it in other parts of the country or even outside Ethiopia and comparing the results, or by including additional "layers" of interviews with actors who hold various positions in the aid chain. Other issue that could deserve additional research, is focusing on monitoring and evaluation, as well as active collaboration of aid organizations with a focus on linking humanitarian and development aid. It would be beneficial to understand the desirability of the link between the two sectors.

CHAPTER 6: CONCLUSION AND RECOMMENDATIONS

6.1 Conclusion

Drought frequency and severity have grown in Ethiopia over the years, and the effect has exacerbated due to increased vulnerabilities. This has emphasized the significance of preventive measures and more comprehensive responses from a variety of actors in order to safeguard individuals from increasing vulnerability. It has long been acknowledged that short-term humanitarian help can only provide a partial answer to impacted communities' urgent needs. This situation needs the coordination of both development and humanitarian aid on a regular basis. The study aimed to determine the relationship between humanitarian and development aid and drought vulnerability in Ethiopia.

A conceptual framework based on essential factors was constructed to guide the research of LHD in Ethiopia. As a result, in order to improve the relationship, development actors must interact with humanitarian actors earlier in the response, with both seeking synergies. It also requires a policy, strong institutions and coordination, finance, and effective follow-up.

Over the years, the Ethiopian government has made substantial modifications to its disaster risk management policies, emphasizing the need of combining humanitarian and development efforts. Certain tangible legislative, institutional, and organizational reforms have been implemented, reflecting a growing interest in and strong political commitment to ending drought situations and their consequences. Furthermore, the availability of GoE policies on risk reduction, social protection, agriculture strengthening, and so on has been shown to be critical to effective joint programming amongst multiple partner agencies, giving frameworks to which partner actions contribute collaboratively. Instruments such as the PSNP, HABP, SLMP, and Risk Financing, for example, are intended to bridge the humanitarian and development divide by integrating emergency actions with regular development initiatives.

Furthermore, the attempts to construct multi-level coordination platforms are important steps that might lead to improved collaborative planning and better activity harmonization among the national government, development partners, and CSOs/NGOs. Improving the practice of connecting humanitarian and development interventions among development partners is also a

step toward a two-pronged strategy, rather than a one-dimensional relief effort in the aftermath of drought occurrences.

Despite this, the research findings show that coordination and institutional issues, particularly finance arrangements, are significant hurdles to the two actors' synergy. Longer-term financing and sector-specific pooled funds are needed for vulnerable places and people, rather than short-term and inefficient funding arrangements with high transaction costs. Long-term funding and execution of drought prevention initiatives in sensitive and risk-prone regions must be tracked and mapped in order to better understand coverage, breadth, and size, as well as how drought response and prevention programs overlap and complement one another. Furthermore, the humanitarian financial framework (terms, length, breadth, and so on) is unfavorable to resilience building and preventative projects in chronically susceptible woredas.

According to the report, budgetary silos make coordination and collaboration between the humanitarian and development sectors impossible. Funding for humanitarian and development aid, for example, has typically been controlled by distinct ministries in donor countries, adding to a mismatch between the two systems. These point to the need for guided discourse on how to break down structural barriers in donor financing and move toward more long-term funding for drought-prone communities.

In a summary, the study reveals evidence of improvement in recognizing and comprehending the significance of synergy between emergency and development aid. There are also significant projects expressing concern for more holistic methods, but there are basic institutional difficulties that cannot be solved without the removal of current structural, budgetary, and cultural constraints. As a result, it is reasonable to infer that further work on the links between humanitarian and development assistance is still required, both within and across agencies.

6.2 Recommendation

Given the findings, the researcher recommends the following that;

- Modify institutional methods of functioning to increase the relationship. Changes must be made in both practices and policies that help disadvantaged groups. To do this, humanitarian and development actors must be willing to push some of these reforms

through inside their own organizations in order to affect more broad policy and system-wide changes.

- Both sectors should discover methods to construct deliberate and coordinated practices and policies that can be applied throughout their humanitarian and development efforts.
- It is critical to strengthen staff capacities in key link-related areas, as well as to cultivate personnel with mixed mindsets — those who can switch between development and humanitarian methods.
- Efforts must be taken to construct a more cohesive data and evidence-generation system that successfully gathers and communicates data across varied players for both humanitarian and development responses.
- Most significantly, in order to effectively minimize drought vulnerability, there must be a balance of humanitarian and development funding and programs.

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ANNEX. 1

Interview questions for experts

Requested by:

Mobile Phone: +251(0)911890432

Addis Ababa University
School of Development Studies
Environment and Sustainable Development

This interview is designed to gather information about the humanitarian and development aid link in Drought response. Your responses for the interview questions are extremely important for the successful completion of my thesis. Furthermore, it will be helpful to make recommendation to existing gaps. Your participation is completely voluntary. The information that you provide will be used only for the purpose of the study and will be kept strictly confidential. Finally, I would like to thank you for your cooperation and for your valuable time.

1. Please state your name and position at our organization.
2. Can you please state your office's mandate?
3. What specific strategies does your organization employ to link humanitarian and development interventions at program planning/design and operational levels?
4. Do existing frameworks/policies support/facilitate good linkages between relief and development?
5. Are there exercises to identify or explore opportunities for a more joined-up risk analysis and strategic planning with government/donors in humanitarian response?
6. What approaches has the organization taken over the years to integrate resilience and DRR approaches into program planning?
7. Are longer-term programs risk-informed, incorporate flexibility and contingencies?
8. What do you think are the main factors that hinder effective linkage- financial constraints, institutional arrangements, political challenges, donor silos etc.
9. What are the collaborative responses carried out in regards to reducing drought risks?
10. What kind of funding mechanisms are there to support the nexus?

11. Are the existing strategic frameworks adequate to ensure long term resilience to Ethiopia's drought response

ANNEX. 2

Survey Questions

Indicators	Don't Know	Disagree	Agree	Strongly Agree
	The importance of a nexus are clearly reflected in humanitarian and development policies /initiatives			
Humanitarian/development policy are designed in ways that are supportive of recovery and long-term development and vise versa				
Humanitarian and Development policies & or initiatives goals refer to each other				
Reference is made to development in Humanitarian policies and vise versa.				
Indicators	Don't Know	Disagree	Agree	Strongly Agree
	Existing coordination provide a platform for joint planning , joint multi-stakeholder analysis of needs and risks			

Existing coordination provide a platform for articulating priorities around prevention, livelihoods, recovery and resilience alongside life-saving interventions				
Key specialists in humanitarian and development teams within and across sectors are integrated in the design of programs to identify where smooth transitions between emergency and long-term activities can be made				
Structures and working procedures support good linkages between humanitarian and development				
A mechanism to share information and data are available and in use				
Frequent sharing of situational analysis (evidence-based analysis) between humanitarian and development actors exists				
Humanitarian and development programs are complementary and planned in				

order to achieve collective outcomes, identify overlaps and gaps				
Humanitarian and development assistance planning cycles are aligned for informed intervention and sustainable solution				

Indicators				
	Don't Know	Disagree	Agree	Strongly Disagree
specific technical support and resources(staff, infrastructure, funding, etc) is readily available to develop coherent nexus approaches				
Guidance is available on how nexus approaches should fit with existing planning, prioritization and resource mobilization processes				
Joint humanitarian and development (donor) working group is established for collaborative action across the nexus				
funding and financing considerations are meaningfully included to encourage collaborative action across the nexus				
Available financial strategies ensure policy coherence and the identification of responsibilities				
financing instruments provide increased flexibility and responsiveness to program funds in crisis-affected settings				

Multi-year flexible humanitarian funding is available and sufficient to adopt longer-term approaches				
disaster risk reduction-related investments are consistent and more predictable				
Linking humanitarian and development is part of the performance assessment at all stages of the project cycle				
Participatory monitoring and evaluation exists between humanitarian and development actors				
Joint tools exist				