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Factors Affecting Emergency Relief and Rehabilitation in Emergency Situations.



Case study: Peru Earthquake 2007

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1 INTRODUCTION

There are many NGOs and international organizations, which have protocols or guidelines on how to act in an emergency situation. During emergencies, these organizations have a very short period of time to act and their actions must be as effective as possible. These actions go from the relief itself, which aims to decrease the suffering of people by providing them the basic needs as water, food, shelter, to other actions that allow institutions to deliver these services and that are related to coordination, organization, information, etc...

Our initial objective was to focus on the emergency phase of a natural disaster, but we realized that there is a strong link between the rehabilitation and development phases as part of an emergency. In many cases the line between these three phases (emergency relief, rehabilitation and development) is so blurry that they do not even exit.

If we look at the descriptions of each of these phases, they look completely different but this does not mean that there is not a strong relationship between each phase. In this study, we will explore how the decisions taken during the first stages of an emergency relief can determine the rehabilitation and development of the country. This is the thought, for example, of some agencies as the United Nations (UN) and the European Community Humanitarian Organization (ECHO). In their literature about humanitarian aid, these organizations emphasize the relationship between emergency, rehabilitation and development. In order to ensure a smooth transition from relief to rehabilitation and to development, emergency assistance should be provided in ways that it will support the recovery and long-term development.

The objective of this study is to explore what is the relationship between these phases by looking at how relief organizations approach emergency response situations and how it might affect rehabilitation and development afterwards. We have focused in two major relief organizations, the International Federation of Red Cross and Red Crescent Society (IFRC) and the United Nation Office for the Coordination of Humanitarian Affairs (OCHA) and their management of the 2007 earthquake in Peru.

An earthquake hit Peru in 2007 and 519 people were killed. Although it is a relatively recent event, enough time has passed to have information about the performance of the relief works. We chose this case study because we think that an earthquake generates a higher impact in the communities and the organization and cohesion between different institutions has to be different. Besides an earthquake differ from other emergencies by their devastating impact in terms of infrastructure (the destruction of roads by landslides), bridges and other infrastructure) the destruction of infrastructure hampers the access and communication, but what is most important in our case study, the progress made in terms of social infrastructure is set back and the country needs to build new infrastructure to reach a similar degree of development. In the case of an earthquake, the line between the emergency relief and development is very blurry because the construction and rehabilitation activities you are carrying out will be related to the global development. We will see the relationship in this case

Originally, the intention of the study was to compare the actuation of two NGO's but it was not possible. NGOs are private institutions without a mandate to report to the general public and it was not possible to find evaluation studies about how they had handle their relief activities in the case of Peru. Instead, the study focuses on two organizations that are obligated to undertake evaluations of their assistance and to make public the results.

The organizations that were selected were the IFRC and the OCHA Agency. IFRC is an international humanitarian movement with 97 million volunteers worldwide. ICRC was founded in 1919 and in 2009 the budget of the IFRC was more than 1 billion Swiss Francs. In the international level they lead and coordinate, in cooperation with the National Societies, relief assistance missions attending to large-scale emergencies.

OCHA is the arm of the UN Secretariat responsible for the coordination of the different actors to ensure a coherent response to emergencies. OCHA mobilizes and coordinates humanitarian assistance delivered by international and national partners, to populations and communities in need.

Both organizations have written guidelines that should be followed during an emergency and these guidelines are available to the public. In the case of IFRC we will compare the actuation with the requirements of the Sphere Manual where, among others, IFRC was heavily involved in developing it, and in the OCHA's case the actuation will be compared with the UNDAC handbook.

2 CURRENT SITUATION OF THE HUMANITARIAN AID SYSTEM

Humanitarian aid is described as, “a substantial and complex endeavor, involving the efforts of populations affected by crises as well as those of a myriad of local, national and international institutions and organizations trying to assist them.” (Harvey, et al., 2010, p.15)

Although one of the objectives of the study is to know the links between emergency/rehabilitation and development, in the evaluation of the current humanitarian system there is no differentiation between the three phases. In this chapter general information such as general budget, organizations composing the humanitarian system, number of workers in field, are included. It's important to know the dimensions the system has.

The humanitarian system has changed and has been improving year after year. Many years ago the humanitarian system was based in philanthropy and was not professionalized. Today, there is a larger number of projects and there is a mass of trained people that have extensive experience in this field, the organizations are more professionalized and they have developed many handbooks and codes of conducts to operate in emergencies.

When studying the factors affecting the effectiveness of emergency aid, it is important to understand how the humanitarian system is organized and what its current situation is. Recent events, such as the financial crisis and relatively new diseases such as AIDS or the swine flu have required that several aspects in the humanitarian system have to be reorganized. Also, we still know very little about climate change and it makes some countries more vulnerable to disasters. In fact in the study is named that during 2007-2008 there was an increase by 3% of the disasters as flooding, a phenomenon attributed to climate change (Harvey, et al., 2010).

These new phenomena make that people working in the field should take into account other important factors that are not related to the emergency relief.

Many times the impact resulting from an emergency action is not the desired one. If the agencies and donors really want to show the generated impact more robustly, they should probably allocate more investment in assessment and evaluation tasks. We will see later as the monitoring and evaluation activities are vital in the emergency relief.

It is known the speed and need for action in these situations, but a lack of correct assessment related to many development projects after the emergency situation is redeemed. If the evaluation tasks are properly done, they help to avoid mistakes in further project, and therefore help the aid to be more effective. These assessments should include greater emphasis on the participation of the affected population, the need for clearer objectives for humanitarian aid, more robust risk assessments, etc (Charles-Antoine Hofmann, 2004).

In the case of Peru, we have not been able to find any evaluation study or analysis of the activities carried out by Red Cross during the earthquake in Peru. It has been possible to find the assessments of other projects but no public information is available in their web page about their relief activities in Peru. How can anybody know the effectiveness, efficiency, coverage etc. if no post-evaluation has been undertaken?

In fact, ECHO has a document published in 1996, widely distributed in the Humanitarian World, including the member states of the European Union and ECHO's partners. In this document they promote the evaluation of the humanitarian aid activities (ECHO, 1996).

The literature on the humanitarian system situation argues that the humanitarian system has been improving year after year in regards to technical and programmatic aspects but there is still a lot of room for improvement. It also argues that the impact of the humanitarian assistance is still poor in comparison with the impact generated by development projects (Charles-Antoine Hofmann, 2004).

The practitioners working in the field also think that the quality of emergency relief assessments has improved over the past two years. This may be due to the arrival of new tools and methodologies based on assessment frameworks. From interviews and surveys conducted to field specialists, it was noted that the lack of resources, funding and effective leadership, remains one of the biggest challenges that humanitarian aid is facing (Harvey, et al., 2010).

In fact the impact of humanitarian assistance can be worse than desired, due to the volatile environments in which interventions take place, the high turnover of staff, the lack of access to crisis situations and the short lifespan of many projects (Charles-Antoine Hofmann, 2004).

As we motioned before one of the lacks in the humanitarian system is the funding. It is very difficult to know what was the exactly dollar contribution to humanitarian aid. The study names as the most reliable reference the Global Humanitarian Assistance (GHA), which estimates in \$ 15,000 million spent in 2007 and approximately \$18,000 million in 2008, the total international aid resources. Other sources such as OCHA FTS estimated much smaller expenditure. They estimate the contribution in \$ 4,400 million for the year 2007 and \$ 6,600 million for 2008 (Harvey, et al., 2010).

It is a positive point as it has been increasing in recent years seeing an increase of 25% in contributions between 2007-2008. However, despite these positive developments, the fact remains that in most cases the funding does not meet the needs (Harvey, et al., 2010).

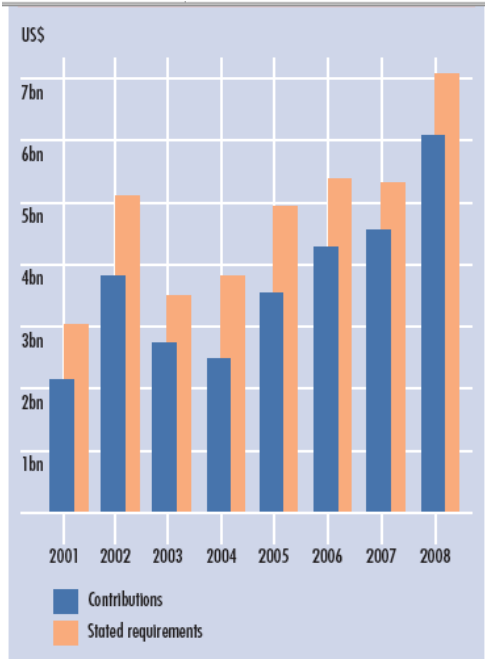


FIGURE 2-1 HUMANITARIAN FLOWS AGAINST REQUIREMENTS, 2001–2008

SOURCE: HARVEY, ET AL., 2010

Although there is not enough funding for the identified needs, it is interesting to notice that the aid is covering a larger proportion of the requirements, and that there is also less discrepancy between

the sectors in which aid is applied. There has resulted in an increase on the coverage of all operational areas and especially in those areas with a shortage of funds, such as economic recovery and shelter, and less funding for those sectors that had shown greater strength, such as food aid (Charles-Antoine Hofmann, 2004).

During 2008 the total number of aid workers in the field was approximately 595.000. An estimate has been done by Harvey et al. (2010) and it concludes that the human resources destined specifically to crisis response and rehabilitation activities, is about 210.800 people. In average it is considered that total number of aid workers has increased 6% annually in the last ten years (Harvey, et al., 2010).

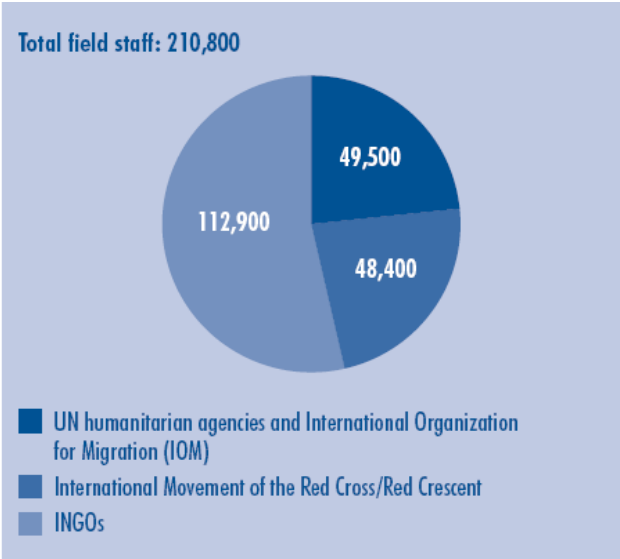


FIGURE 2-2 ESTIMATED NUMBER OF FIELD STAFF AND DISTRIBUTION

SOURCE: HARVEY, ET AL., 2010

Another point to consider is related to security and access of aid workers in the affected country. Geographical mobility of workers from the different organizations at the time of the emergency is limited. In many cases this uncertainty is related to corrupt governments that result in less people than required being sent by the organizations (Harvey, et al., 2010)

Although the number of staff has grown considerably in recent years, we must be aware that staff working in the field is under stress. Often their work is stopped by governments, insecurity or illegality. This pressure results in high turnover in this field and in some cases the staff is not technically or psychologically prepared to work under those conditions. With respect to violence must be said that in recent years it has increased considerably. The incidence rate of violence against workers, especially kidnappings, has increased by 61% since 2006. Mostly in countries like Afghanistan, Somalia and Sudan (Harvey, et al., 2010).

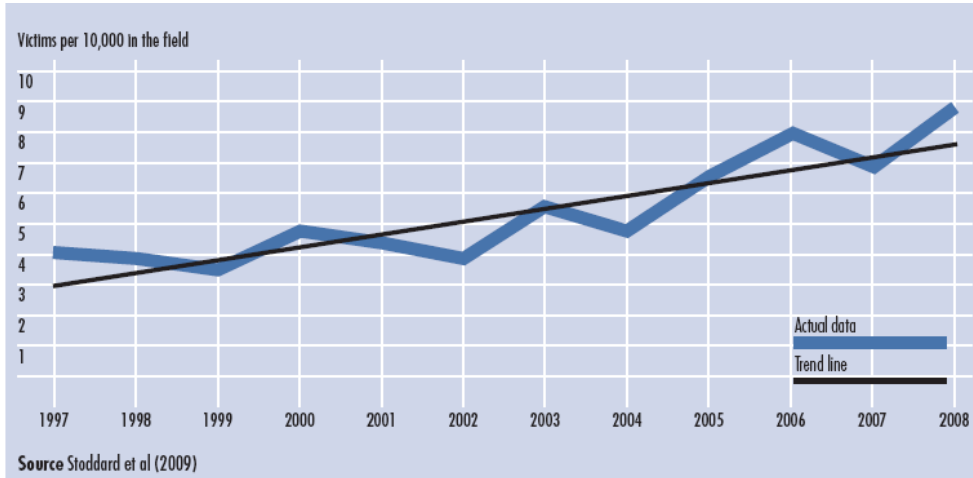


FIGURE 2-3 GLOBAL RATE OF ATTACKS ON AID WORKERS, 1997–2008

SOURCE: HARVEY, ET AL., 2010

3 RELATIONSHIP BETWEEN EMERGENCY/RECONSTRUCTION/DEVELOPMENT

In many cases the line between emergency/rehabilitation and development phases during an emergency is so blurry that doesn't even exist. This debate regarding the differences between each phase depends many times on the type of disaster that has caused the emergency. For example, in Peru's earthquake in 2007, restoring running water in the city years after the earthquake could be considered as part of the relief effort but also as part of the construction of the infrastructure. The debate might get even more complicated if the provision of water and sanitation was not in place before an earthquake. In which case, any WSS infrastructure that is built as part of the emergency aid could be considered a contribution to development.

If we look the definitions of each of them, we find:

Relief: “An intervention that saves lives and relieves human suffering. It focuses on the short-term and includes provisions to meet basic immediate needs such as health care, clean water, sanitation, shelter and psychological assistance (given the context of conflict in some of affected areas), and mine action” (<http://www.international.gc.ca>).

Recovery, rehabilitation: “The restoration of local services related to immediate needs that can be re-established to acceptable levels within a reasonably short period of time. The services cover those that are related to the basic needs noted above; social infrastructure, such as schools and health centers; peace-building and livelihood restoration activities to help individuals and communities regain their economic independence; disaster preparedness; and social programmes that begin to address the trauma inflicted on populations”(<http://www.international.gc.ca>).

Development: “The longer-term strengthening or establishment of local capacity to help people in the affected areas rebuild their lives and meet their own needs. The nature of the disaster will determine the types of activities funded, as well as their scope and location” (<http://www.international.gc.ca>).

The first definition is based on basic aid being offered to local people; it brings them the minimum provisions to alleviate suffering in some way. They are usually actions that last for a few months to get victims of the disasters through to rehabilitation. During these phases they begin building infrastructure and social programs that make the development phase more directed toward real and clear objectives.

Seen in this way seems very easy to separate the three performances, which in many cases are carried out by the same NGO's when an emergency occurs. For example one of them is the viewpoint of the donor. For donors, the line between relief, reconstruction and development is very clear because there are different resources allocated to each of them (Harvey, et al., 2010).

Other opinions notice that the actions carried out from the start, during emergency, can have an impact on further development. If this is the case, we could argue that there should not be a separation between the three phases, or at least that the actions carried out in one phase should be consistent with the previous one as UN, OCHA and another experienced Organizations as ECHO mention (Harvey, et al., 2010).

In the resolutions of the General Assembly, Economic and Social Council and Security Council Resolutions and Decisions of the UN, where among others establishes that

“There is a clear relationship between emergency, rehabilitation and development. In order to ensure a smooth transition from relief to rehabilitation and development, emergency assistance should be provided in ways that will be supportive of recovery and long-term development. Thus, emergency measures should be seen as a step towards long-term development”.

(UN, 2009, p.70)

They should take into account the three phases when developing the emergency relief projects.

Other publications argue that:

“Agencies need to focus on the recovery phase even from the start of the operation as there is no gap between relief and recovery, and recovery is the biggest challenge in sudden-onset natural disasters”

(Harvey, et al., 2008, p.4).

“Humanitarian aid will seek where possible to bear in mind and remain compatible with longer-term developmental objectives(...) Humanitarian assistance may be a prerequisite for development or reconstruction work and must therefore cover the full duration of a crisis and its aftermath”

(ECHO, 1999, p.12).

In this sense it's also important the economic growth and the sustainable development for prevention and preparedness against natural disasters and other emergencies. It's time to change the real conditions of the countries with the resources gained in that moment. Humanitarian assistance should be accompanied with a commitment to economic growth and development (UN 2009).

That's what UN thinks that a humanitarian assistance should give in a natural disaster event. As we will explain later, the government is a key factor to engage and to take into account in these moments.

In this case the regional and local civil defence committees could not deal with the emergency. Many local and regional authorities were affected and could not respond because many of the committees that should be formed in the different regions of the country didn't exist and there was no capacity or preparedness to respond. Because of this lack of resources and institutional capacity, there was chaos and little or no coordination right after the earthquake (Elhawary and Castillo, 2008).

Additionally, it was not clear if the local and provincial authorities should be in charge, or if it was the role of the national government. So it's complicated with a government that didn't know how to act in the first times of the earthquake to engage them in sustainable development and other issues that deal with long-term development (Elhawary and Castillo, 2008).

Another aspect that is discussed in the literature is how long should be each phase. In some cases it is made clear that we must go quickly through the emergency phase to give way to rehabilitation and development, given that these phases can support the socio-economic growth of the country. In

other cases, the literature states that the emergency phase is important to set the foundation for what later will be the rehabilitation and development (Harvey, et al., 2008).

It's also important to take into account that natural disasters usually happen in largely less developed countries. That suggests that it is not as important the appointment of such assistance, but the effectiveness that it has in the long-term development of the country. Obviously there should be some help to alleviate the suffering and the immediate needs that resulted from the emergency. But even then, the action taken in the preparation and mitigation of disasters before the start should go in the direction of the development of the country and not only with the specific purpose of the moment.

However, although there has been a lot of research regarding the differences between these phases, it is important to understand the reality in the field. It is important to know what the UN, ECHO and other organizations working in the field have to say about this issue. How easy is to separate the three phases? In what situations is it useful to distinguish between an emergency, rehabilitation, and a development project? Is it really important to make these differences in the field?

For example, in our case, IFRC differentiated the phases, ruling four months for the emergence and almost 8 months for the early reconstruction. Although the RC does define the duration of each phase, in the case of Peru, it has been impossible to identify the budget aimed at each of them. A reason for this could be that sometimes, these differentiations are more a formality than a real distinction of the activities undertaken. (IFRC, 2007, n°1).

3.1 PROTOCOLS:

There are many NGOs and international agencies that have internal protocols to be implemented during any emergency that they attend. These protocols are sometimes called manuals, guidelines or minimum standards.

In this study we are going to analyze three protocols: Sphere Manual, Red Cross and Red Crescent Society Manual and UNDAC handbook.

The Sphere handbook is the most widespread and used by emergency organizations. This manual is a framework for development assistance activities in emergency situations. The International Federation of Red Cross and Red Crescent Societies, among others, were heavily involved in developing this initiative.

The Red Cross and the Red Crescent Societies also has an internal manual for relief and rehabilitation situations that is used internally. This document contains the main ideas about how they have to act in the field and even more important, how to establish the relationships with the Government, other NGO's, and any other organizations

Finally, there is an introduction about the approach of the UN in emergency relief actions. This approach is contained in a document called Compilation of United Nations resolutions on humanitarian assistance, which is based on the conclusions taken in the General Assembly 46/182 in 1991.

3.1.1 SPHERE MANUAL

In this manual the project is defined as:

"The Sphere Project is based on two main beliefs: first, that one must take all possible measures to alleviate human suffering caused by disasters and conflict, and second, that the people affected in the disaster have a right to live with dignity and therefore have the right to receive humanitarian assistance "

(www.sphereproject.org)

Sphere is an initiative that was launched in 1997 by a group of NGOs engaged in humanitarian disaster and the International Federation of Red Cross and Red Crescent Societies. They developed a Humanitarian Charter which includes the legal responsibilities of the States to ensure the right to receive protection and assistance in case of emergency. In this chapter some principles of humanitarian aid are included. Also reaffirms the right that any person has to receive aid if they have suffered any natural or man disaster to can live with dignity (Sphere, 2004).

It also states that if they are unable or unwilling to give it, they must allow humanitarian aid organizations to do so. It also includes a set of rules to follow when supplying humanitarian emergency relief aid to a country. These standards are based on five main items: water and sanitation, nutrition, food aid, shelter and health services (Sphere, 2004).

This type of initiative also creates a framework to evaluate the performance of organizations during the action taken.

The Manual is divided as follows. On the one hand it includes 8 basic rules for each of the five items listed above. These are 1) participation, 2) initial assessment, 3) response, 4) stakeholders targeting, 5) monitoring, 6) evaluation, 7) duties and responsibilities of humanitarian workers, and 8) supervision, management and support staff (Sphere, 2004).

Each of these rules includes minimum standards, key indicators to evaluate whether the standard have been met or not and guidance notes.

This Manual is not only helpful for the response to emergencies but also commonly used during the preparation activities for any disaster. It does not have a fixed schedule of implementation of the measures included, but depends largely on the context. This context can be anything from the government and the relationships with it, to the location, degree of devastation, or anything that would somehow disrupt the rescue operations (Sphere, 2004).

3.1.2 RED CROSS AND RED CRESCENT SOCIETIES MANUAL

The main mission of the Red Cross and the Red Crescent is to prevent and alleviate the human suffering, taking into account that everybody has the right to receive assistance when it is needed (IFRC, 1995).

In addition to the Sphere Handbook mentioned above, within the Red Cross there is an internal document to be considered for action in case of disaster, called "Principles and Rules of the Red Cross and Red Crescent for disaster relief".

This document is divided into three sections. The first one includes sections about how to act in emergency, basic principles, preparation, etc ... The second one is more for communication, information and assistance. The last part describes how the donations received during the emergency event have to be managed by the Federation and the evaluations are going to be done (IFRC, 1995).

In a NGO as structured as Red Cross it is not surprising that there are clear actions proceeding. In this case it's not exactly a quality manual of performance, but rules to keep in mind when you are in the field.

For example, it's clearly stated that the first aid is the responsibility of public authority and that the Red Cross will always act through the National Society in a spirit of cooperation with public authorities. The assistance from the Red Cross and Red Crescent, in principle, is complementary and auxiliary, and lends primarily in the emergency phase and reconstruction (IFRC, 1995).

At the same time it urges the government to have a national plan that provides an effective organization of care in such cases. The national plan should be allocated to the various sectors of the population - public services, the Red Cross and Red Crescent Societies, voluntary agencies, social organizations and qualified persons - precise tasks in regard to the prevention of disaster assistance and reconstruction (IFRC, 1995).

As a side remark to the above document, in the report they mention many times, as one of the main duties in the field, that they have to work very closely with the National Societies that they are who really know how the country works, the Government structure, Organizations and NGO's set there (IFRC, 1995).

To understand better what the National Societies are, the obligations and requirements they have, listed below the most important features of a National Society well prepared for disasters and emergencies are. These include topics such as:

- Provide training plans for volunteers and staff working in field
- To comply with the Humanitarian Charter and Minimum standards for humanitarian response in case of disaster (Sphere).
- You have a mandate in the national emergency plan that includes government coordination of disaster response at the international level.
- It is independent of the state and other affiliations.
- It ensures the active participation of local people in the design and planning of community-based activities

In short, the purpose of this paper is to develop a set of principles and rules applicable to the workers in the Red Cross and Red Crescent Societies. Some of them practical, they must be implemented by staff of IFRC during natural disaster. Other items are more statutory, where IFRC develops what should be their role during disasters (IFRC, 1995).

3.1.3 COMPILATION OF UNITED NATIONS RESOLUTIONS ON HUMANITARIAN ASSISTANCE AND UNDAC HANDBOOK

The document “Compilation of United Nations resolutions on humanitarian assistance” is a compilation of relevant language from General Assembly (GA), Economic and Social Council (ECOSOC) and Security Council (SC) resolutions, adopted since 46/182 in 1991. The study includes an overview of United Nations intergovernmental decisions on humanitarian principles and issues (OCHA, 2009).

General Assembly resolution 46/182 provides the basic framework for humanitarian assistance. Since its adoption in 1991, the intergovernmental legislative framework has expanded considerably, reflecting both the broadening of the humanitarian endeavor and the UN’s concerted response to the changing environment in which assistance is provided (OCHA, 2009).

The document is divided in three sections

- Guide of the humanitarian principles and framework for assistance,
- Linkage between emergency assistance, disaster reduction and transition
- Examination of the humanitarian coordination and related tools and mechanisms, including humanitarian financing.

(OCHA, 2009)

This document has not a direct application in the field because only humanitarian statements are set. It’s important to know it exists but in the framework of this work is not applicable. It’s like the framework for the organizations to know the basic principles and write their own humanitarian handbook.

However, OCHA has a handbook to be used by United Nations Disaster Assessment and Coordination (UNDAC) which contains practical guidelines and tools to be used for workers in the field.

This handbook was first published in 1993 and revised versions in 2000 and 2006, the one which is going to be discussed under this section. Its definition is the next one:

“The United Nations Disaster Assessment and Coordination, (UNDAC) handbook is intended as an easily accessible reference guide for members of an UNDAC team before and during a mission to a disaster or emergency”

UNDAC Handbook. 2006

The UNDAC is part of OCHA, not an independent organization. Its main role is: “to give the Emergency Relief Coordinator (ERC) the capability to support a member state affected by an emergency by providing technical services, under the leadership of the Resident Coordinator/Humanitarian Coordinator (RC/HC). Among the technical services that UNDAC provides, the principal ones are on-site coordination and information dissemination services.” (UNDAC Handbook 2006)

The handbook is divided in 19 chapters:

Chapter A – Preface
Chapter B – OCHA’s Role in coordination
Chapter C – United Nations Disaster Assessment and Coordination (UNDAC)
Chapter D – Mobilization and Mission
Chapter E – Coordination in the Field
Chapter F – Information Management
Chapter G – Disaster Management
Chapter H – Urban Search and Rescue
Chapter I – UNDAC Disaster Response Preparedness Missions
Chapter J – Environmental Emergencies
Chapter K – OCHA Support Resources
Chapter L – UN Humanitarian Civil Military Coordination (CMCoord)
Chapter M – United Nations and International Response Organizations
Chapter N – Safety and Security
Chapter O – Personal health
Chapter P – Disaster Logistics
Chapter Q – Climate and Terrain
Chapter R – Radio and Communication
Chapter S – References

TABLE 1: CHAPTERS OF THE UNDAC HANDBOOK

It emphasizes the importance of coordination on emergency situation, and to achieve the best possible coordination outcomes, this process should be participatory, impartial, transparent and useful. The institution responsible for coordination in a disaster or emergency is OCHA, and this responsibility has been historically determined and mandated:

“OCHA’s mandate is to ensure that the relief provided is effective, not to provide effective relief”

UNDAC handbook. 2006

OCHA’s original mandate for natural disaster response stems from the United Nations General Assembly Resolution 2816 (XXVI) of 14 December 1971 which authorizes it to “mobilize, direct

and coordinate” international assistance. To strengthen and make more efficient the efforts to provide humanitarian assistance, an Emergency Relief Coordinator (ERC) was designated.

So, at the end, the main goal of the humanitarian coordination is to “ensure that humanitarian actors responding to disasters or emergencies work toward a common strategic vision, design and deliver their assistance in a complementary fashion according to their mandates and capacities, and adapt their activities in response to mutual agreement on changes in circumstances and, thus, of needs.” (UNDAC handbook. 2006)

The Cluster Approach was introduced as part of the 2005 reform of the humanitarian system led by the Emergency Relief Coordinator (ERC). This year the ERC launched an independent Humanitarian Response Review of the global humanitarian system where they assessed the humanitarian response capacities of the different actors to identify critical gap areas and to make recommendations to address them. Following these recommendations the cluster approach was proposed as a way of addressing gaps and strengthening the effectiveness of humanitarian response through building partnerships.

<http://onerresponse.info/Coordination/ClusterApproach/Pages/Cluster%20Approach.aspx>

So, at the end, the Cluster Approach, has the aim to improve the effectiveness of humanitarian response by ensuring greater predictability, accountability and partnership, and to be more comprehensive needs-based relief and protection, in a more effective and timely manner. According to this, the UN has designated some clusters to establish a coordinating mechanism within their sector:

Cluster	Lead agency
Nutrition	UNICEF
Water and sanitation	UNICEF
Health	WHO
Camp coordination and management	UNHCR – complex emergencies. IOM – natural disasters.
Emergency shelter	UNHCR – complex emergencies IFRC – natural disasters (taking into account the IFRC’s obligations and independence, IFRC will act as convener).
Protection	UNHCR – complex emergencies. UNHCR/UNICEF/OHCHR – will jointly determine under the overall leadership of the RC/HC in natural disasters.
Logistics	WFP
Telecommunications	OCHA for emergency telecommunication and as overall process owner. UNICEF for common data services. WFP for common security and telecommunications services.
Early recovery	UNDP

FIGURE 3-1 CLUSTERS DESIGNATED BY UN

SOURCE: UNDAC HANDBOOK, 2006

In the handbook there is a description of all the topics that can influence the humanitarian aid, the role of the UN in the disaster response as a whole, as well as the role of each agency or part of the UN. It is explained what they have to do when they arrive to the emergency place, what they should be wearing, how the coordination it is going to be done, etc.

There is no relationship between the different manuals because each of them wants to achieve different goals. The most used and widespread protocol is the Sphere Handbook, which is a framework for development assistance activities in an emergency and that, among others, the IFRC was heavily involved in developing. So in this case, IFRC states that all the activities they are implementing are according to the Manual.

The other one, IFRC principles, is more theoretical and sets the behaviour of the IFRC personnel in the country. Explaining for example that the duty to coordinate and organize is the responsibility of the government or the idea that they have to work very closely with the national societies.

In the case of the UNDC handbook, it establishes the importance of coordination on emergency situation, and to achieve the best possible coordination outcomes.

Sphere Manual and UNDAC handbook are the chosen manuals to compare the performance of IFRC and OCHA during the emergency relief in the Peru's earthquake, because of their practical approach.

4 PARTICULARITIES

4.1 PRE-PERU

4.1.1 WATER AND SANITATION

According to the data provided by the Joint Monitoring Program (JMP) for Water Supply and Sanitation lead by WHO and UNICEF, the water and sanitation sector in Peru has made an important advance in the last two decades, as it can be seen in the next Table:

Country	Year	Urban population served with Improved Water (%)	Rural population served with Improved Water (%)	Total population served with Improved Water (%)	Urban population served with Improved Sanitation (%)	Rural population served with Improved Sanitation (%)	Total population served with Improved Sanitation (%)
Peru	1990	88	45	75	71	16	54
Peru	1995	89	50	77	74	22	59
Peru	2000	90	54	79	77	27	62
Peru	2005	90	58	81	79	33	66
Peru	2008	90	61	82	81	36	68

TABLE 2: WWS DATA

SOURCE: [HTTP://WWW.WSSINFO.ORG/DATAMINING/TABLES.HTML](http://www.wssinfo.org/datamining/tables.html)

The urban population has a better access to water and sanitation, especially water, whether the sanitation has increased from a 71 to 81%. Although it has improved, rural access to water and sanitation continues to be lower than in urban areas. It is necessary to take into account that according to Peru's census of 2007 out of the 27,4 million inhabitants, the 24,1 % of them live in rural areas (6,6 million people) weather in urban ones live the other 75,9% of the population. (<http://aeperu.blogspot.com/2008/10/el-censo-del-2007-y-la-poblacin-rural.html>)

According to the National Housing and Water plan (*Planes nacionales de vivienda y saneamiento 2006-2015*), the main challenges of the situation of this sector are:

- Insufficient service coverage;
- Poor service quality which puts the population's health at risk;
- Deficient sustainability of built systems;

- Tariffs that do not cover the investment and operational costs, as well as the maintenance of services;
- The size of the markets under the responsibility of the EPS (Entidades Prestadoras de Servicio) doesn't warranty a good management, doesn't allow either scale economies or financial viability
- Institutional and financial weakness; and,
- Excess of human resources, poorly qualified, and high staff turnover.

It is interesting to pay attention to the water and sanitation sector framework in Peru, to understand who is the responsible for the delivery and maintenance of them and which their main challenges are.

The institutional framework of the sector is clearly differentiated. The MVCS (Ministerio de Vivienda, Construcción y Saneamiento) is the one in charge of the policy-setting, while the regulatory functions are the duty of the SUNASS (Superintendencia Nacional de Servicios de Saneamiento). The EPSs (Prestadoras de Servicios de Saneamiento) are the ones who have to deliver the service together with the municipalities and user councils (Giugale et al, 2007). In the table below there is a detail description of the entities responsible for the provision of water and sanitation in the country:

Institution		Area	
Activity	Entity responsible	Urban	Rural
• Service provision		Utilities SEDAPAL COVAPS SPP	JASS
• Sector policy • Regulations • Development programs • Investment plans • Technical assistance	MCVS and its offices	Yes Yes Yes Yes Yes	Yes Yes Yes Yes Yes
• Regulation (urban utilities) Tariff and quality	SUNASS	Utilities SEDAPAL	JASS Communities
• Approval of operating and investment costs	MEF and its offices	Utilities SEDAPAL (FONAFE)	JASS
• Formal participation of the private sector o Urban (utilities) o Small urban	PROINVERSIÓN MVCS PRONASAR	(Tumbes) Municipalities	

FIGURE 4-1 WWS RESPONSIBLE ENTITIES

SOURCE: EVALUATION OF SMALL-SCALE PROVIDERS OF WATER SUPPLY AND SANITATION SERVICES IN PERU, 2007

It is also a sector that in Peru is highly centralized, particularly in the decision making, which affects the performance of the service providers, either companies or utilities. The Ministry of

Economy and Finance (MEF) and the Ministry of Housing, Construction and Sanitation (MVCS) are the main responsible in the resource allocation, lacking of effective controls to supervise the planning and quality of investments. The outcome of this is that sometimes there are investments with a low social, economic and financial profitability, which at the end affects badly to the users, especially to the low-income ones.

In addition to this, as the decision making is quite diluted, the utilities are not committed to achieve the targets of coverage and quality, and their service is not sustainable. Another problem is the tariffs, which don't reflect the real cost of services, so at the end it generates dependence on investment resources from national budget (Evaluation of Small-scale Providers of Water Supply and Sanitation Services in Peru, 2007).

If the service of water and sanitation is weak before a natural disaster, with a service that is not sustainable, when a disaster occurs it is going to be greatly affected. According to the data provided by the report "*Planes nacionales de vivienda y saneamiento 2006-2015*" the population with access to potable water in Ica's Department (both rural or urban) was 85% and with access to sanitation 70%. If the total population of the Department is 711,932 we have 213,579 people without access to sanitation and 106,789 without access to drinking water before the earthquake, population that, when the emergency occurs, would be more vulnerable to diseases because of their previous state.

If we take into account that the service was weak before the disaster, it would be very affected when the earthquake occurs, so it would end up in much more people without the service right after the earthquake. Because of this it is important a quick response in this sector to avoid diseases of the people for the lack of access to water and sanitation.

4.1.2 GOVERNMENT

An important variable to consider when an emergency occurs in a developing country is the government that is currently in power. It is important at all stages: preparation, mitigation, relief and reconstruction. In this case we will briefly introduce why it's important to analyze the government, and then we will discuss the government of Peru at that time and how it affected success or failure in the process of helping the country (Harvey P., 2009).

Historically, the role of affected states in humanitarian crises and disasters has been underestimated and undermined by international donors and organizations. Rarely have international humanitarian agencies taken into account the capacities of the state where they work, nor have them realized about the importance of supporting these governments. Agencies simply assume that state structures are weak and too corrupted for being responsible of managing humanitarian aid, and so they justified their assistance. As a result, the lack of harmonization and coordination between actors has lead to losses in efficiency and effectiveness of aid (Harvey P., 2009).

Not only international donors have neglected the importance of government, but there have been cases where they have even imposed conditions a remittance government must have in order to become a recipient country. Sometimes donors have tried to force good governance through negative or punitive measures, instead of cooperation for improving governmental conditions, like suspending or terminating aid because the denial of political rights and basic civil conditions. Donors states pressured upon good governance, by making democratization and respect for human rights a condition for delivering aid assistance; finding on bad governance a justification for reduction overseas aid (Harvey P., 2009).

Also, an increasing awareness among donor countries concerning the importance of the state responding to natural disasters has been brought to the table. Donor countries have increasingly established policies in order to provide support to weak governments by promoting good governance, giving substantial funding, technical assistance, and direct budget support. NGOs are also starting to recognize that a tight engagement and partnership with governmental structures is needed (Harvey P., 2009).

Peru is a presidential representative democratic republic with a multi-party system. The structure of the government follows the separation of powers: Judicial, Legislative and Executive Power, being each one of them autonomous and independent. The president is elected by popular vote for a five-year term (eligible for non-consecutive reelection). Last elections were held in 2006 with Alan García, the candidate of Peruvian Aprista Party, elected president with 52,5% of the votes

Peru is in a process of decentralization by transferring political power, fiscal resources and administrative functions to the regions and local governments. The country is divided in 25 regions, which are divided into provinces and districts; each Regional government is composed by a president and a councillor that are elected for 4 years (<http://www.peru.gob.pe/>).

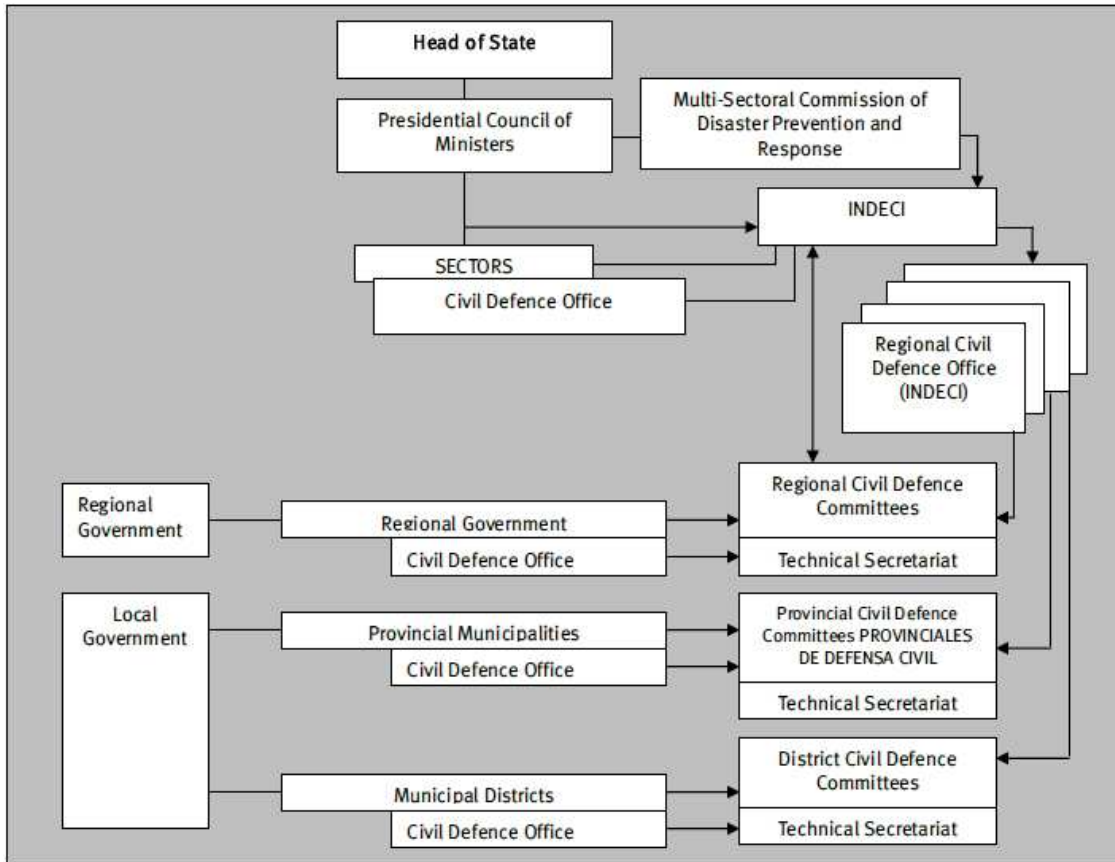
4.1.2.1 THE NATIONAL CIVIL DEFENCE SYSTEM OF PERU

After the big earthquake that suffered Peru in 1970, Peru's national disaster prevention and response system was created in 1972. In 1987, the National Institute for Civil Defence (INDECI) was set up, and in 1991 the National Civil Defence System (SINADECI) was established to integrate disaster prevention and response into national development planning (Elhawary and Castillo, 2008).

The management of the disasters is responsibility of the organizations of the public and private service that conform the SINADECI, which is composed by two principal elements: (INDECI, April 2009): Regional Systems of civil defence (SIREDECI) and National institute of civil defence (INDECI).

4.1.2.2 SIREDECI: REGIONAL SYSTEMS OF CIVIL DEFENCE

The objective of the SINADECI is to protect the population, prevent damage and give the appropriate help until they reach the rehabilitation of the basic conditions to develop the activities that were damaged (INDECI, April 2009). The structure of the SINADECI is represented in the next chart:



Source: INDECI, *Manual de Conocimientos Básicos para Comités de Defensa Civil y Oficinas de Defensa Civil* (Lima: INDECI, 2006)

FIGURE 4-2 STRUCTURE OF SINADECI

SOURCE: ELHAWARY AND CASTILLO, 2008

4.1.2.3 INDECI: NATIONAL INSTITUTE OF CIVIL DEFENCE

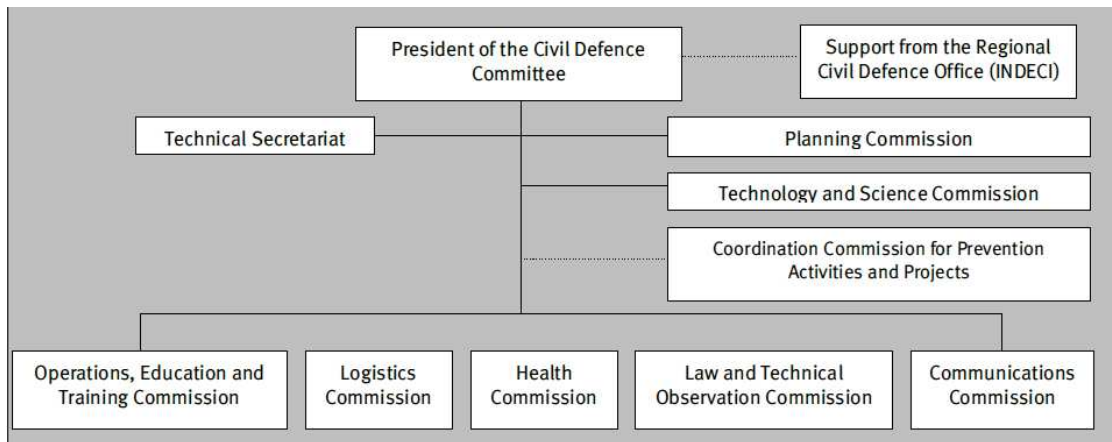
The INDECI is the organism in charge of the organization of the population, coordination, planning and control of the activities of Civil Defence. Their mission is to conduct the National system of civil defence by the formulation and implementation of politics, laws and plans to prevent and attend the disasters with the participation of the authorities and population, with the aim to protect life, heritage and contribute to the sustainable development of the country (INDECI, 2009).

As can be seen in the previous charter, there is a Multi-Sectorial Commission of Disaster Prevention and Response, which is led by the president of the Presidential Council of Ministers, comprising most of the main line ministries, including finance, housing, education, health and transport. Their functions are to coordinate, evaluate, prioritize and supervise the prevention measures to mitigate risks, provide assistance and support rehabilitation in the areas of the country that are vulnerable to or affected by large scale disasters. These tasks are carried out through INDECI, which acts as the commission’s technical secretariat and engages with international NGOs and other agencies (INDECI, 2009).

Because of the decentralization process that has taken place in Peru in the last decade, the local governments have gained more responsibility in disaster response and they are an important part of

the SINACEDE. These local governments are in charge of managing the local risks, and provide the necessary assistance in an emergency situation and support the rehabilitation process. The civil defence committees with the support of INDECI carry out these tasks (Elhawary and Castillo, 2008).

The level of responsibility depends on the scale of the emergency. At first the responsibility is taken by the defence committee at the district level, but if their capabilities are surpassed, the responsibility goes to the provincial committee and so on until when a national state of emergency is declared, that is when the responsibility falls to the multi sectorial commission through INDECI (Elhawary and Castillo, 2008). In the next figure there is the structure of the Committee:



Source: INDECI, *Manual de Conocimientos Básicos para Comités de Defensa Civil y Oficinas de Defensa Civil*, (Lima: INDECI, 2006)

FIGURE 4-3 STRUCTURE OF THE COMMITTEE

SOURCE: ELHAWARY AND CASTILLO, 2008

4.1.2.4 FORSUR FOR THE RECONSTRUCTION LEVEL

As we have pointed before, the regional actuation in the Peru's earthquake could be better. A chaos was installed in the area because none wanted to be in charge of the coordination and organization of the activities. As the government felt regional capacities had been surpassed created the Fund for the Reconstruction of the South (FORSUR). Particularly they worked in the transitional period between the emergency and reconstruction phases (Elhawary and Castillo, 2008).

FORSUR was based on a Colombian model that was set up in 1999 after an earthquake that hits the country. But, unlike the Colombian case, the Peruvian one is not politically autonomous institution. It's formed in the beginning by 19 members, most of them from the regional government (Elhawary and Castillo, 2008).

Again the problems started because the FORSUR duties were not clearly defined. Local authorities claimed that FORSUR should be responsible for removing debris; a task which FORSUR claimed was the responsibility of the local authorities. According to a senior official:

“FORSUR is a coordination system not an implementing institution, although it can support implementing partners with technical assistance”

Elhawary and Castillo, 2008, p.16

FORSUR received a lot of criticisms during the actuation due to the involvement of the private sector and the lack of civil society participation in the reconstruction. FOSUR is seen as an entity that was created by the central government and doesn't take into account the views and perspectives of the affected people (Elhawary and Castillo, 2008).

The confusion lies in the fact that it was not clear if FORSUR is a private or public institution, the objectives they have, how it functions, the lack of clarity, if they work at the level of a ministry or a private company, etc. At the end seems that the establishment of the institution makes the chaos bigger (Elhawary and Castillo, 2008).

Another point that shows the precarious governmental system in the moment is that a lot of people didn't have formal titles to their properties, so many of them were not able to start reconstructing their homes and after the earthquake no place to start a new life (Elhawary and Castillo, 2008).

There should be a big effort in next emergencies to clarify the roles of the different agencies (FORSUR, UN) in the reconstruction process and ensure regional government and civil society participation to avoid this lack of coordination and management.

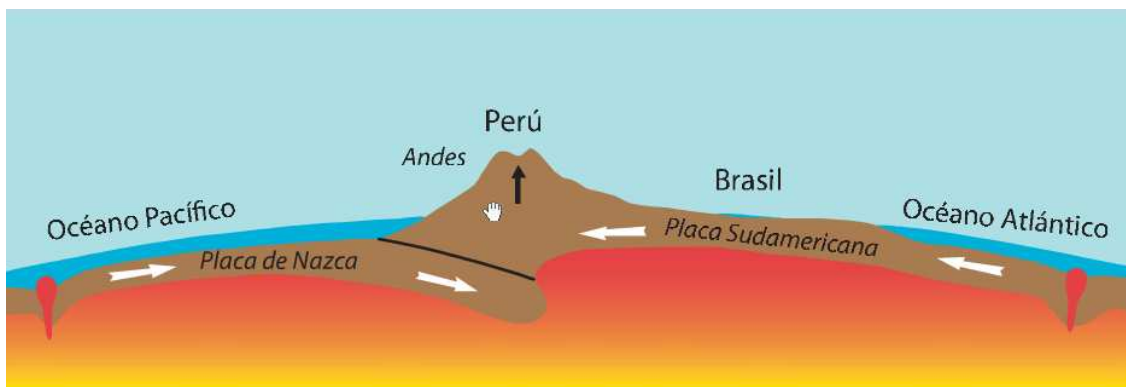
4.1.2.5 GENERAL CONDITIONS OF PERUVIAN'S VULNERABILITY:

There are some vulnerability conditions in the Peruvian society because of the occupational process and the type of development that has been followed. Because of the inadequate use of the soil, the inappropriate exploitation of the natural resources and the environmental pollution, there is a conflict between the natural processes and the social ones, generating an increase of the effects of the natural disasters (INDECI, 2009).

The most vulnerable people are the ones that live under poverty, with an inadequate housing (either structure or placement) and with less possibilities of recovery after a disaster. In 2006 the 44,5% of the population of the country lived under poverty (31% un urban areas and 69% in the rural ones), being the rates higher in the regions of the mountains and rainforest (INDECI, 2009).

4.2 EARTHQUAKE

Peru is located in the western coast of the subcontinent, named “Círculo de Fuego del Pacífico”, which is a region that is surrounded by the Pacific Ocean and where the 75% of the world's seismicity is located. That is because close to the coast there is the boundary between the Nazca and South American tectonic plates, which converge at a rate of 10 cm per year, causing this tectonic pressure that eventually releases and causes different earthquakes (INDECI, 2009).



Fuente: Instituto Nacional de Defensa Civil (INDECI)

On Wednesday, August 15, 2007, at 18hs 40 minutes local time, an earthquake of 7.9 (Mw) degrees on the Moment magnitude scale, and 7.0 in the Richter scale, struck the south of the central region of Peru, causing death and severe damage in the cities of Pisco, Ica, Chincha and other villages nearby. The maximum intensity observed in the Modified Mercalli Scale was of VII-VIII in the city of Pisco. Is known as the “Pisco Earthquake” and is one of the biggest that ever occurred in this region in the last 290 years. (Tavera H., 2008)

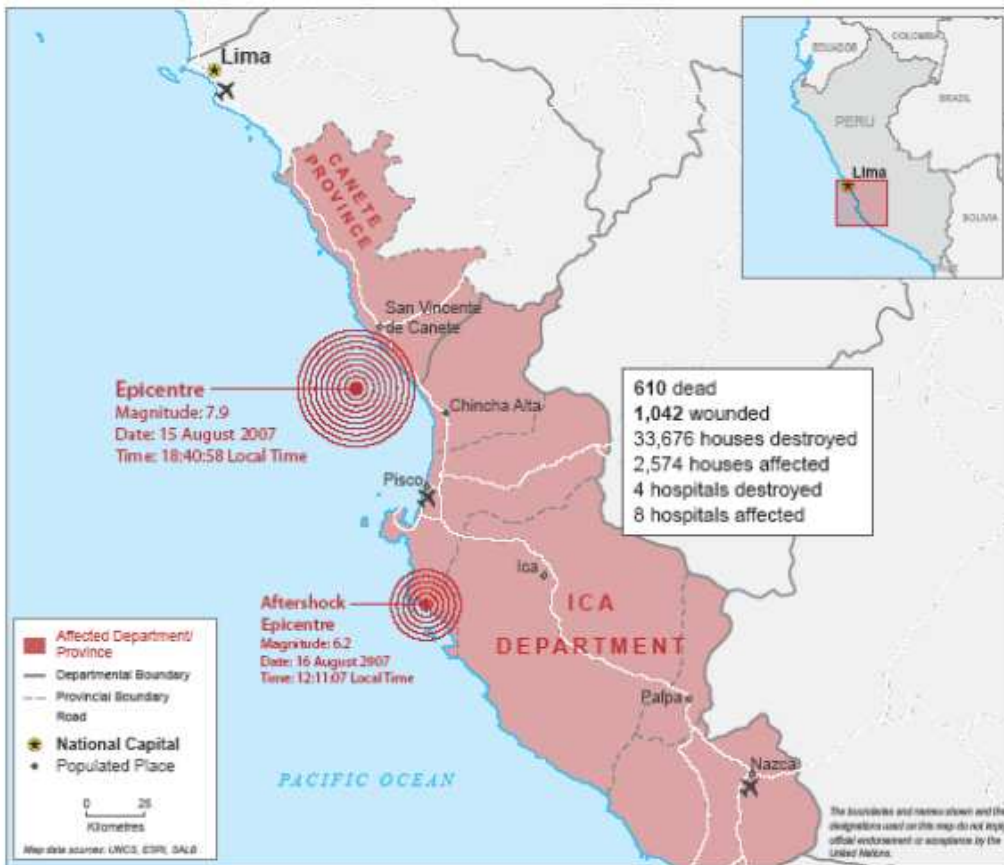
Magnitude	8.0
Date-Time	<ul style="list-style-type: none"> • Wednesday, August 15, 2007 at 23:40:57 UTC • Wednesday, August 15, 2007 at 06:40:57 PM at epicentre
<u>Location</u>	13.354°S, 76.509°W
Depth	39 km (24.2 miles) set by location program
<u>Region</u>	NEAR THE COAST OF CENTRAL PERU
<u>Distances</u>	<ul style="list-style-type: none"> • 50 km (30 miles) W of Chincha Alta, Peru • 110 km (70 miles) NW of Ica, Peru • 150 km (95 miles) SSE of LIMA, Peru • 210 km (130 miles) SW of Huancayo, Peru
<u>Location Uncertainty</u>	Horizontal +/- 5.2 km (3.2 miles); depth fixed by location program

TABLE 3: EARTHQUAKE INFORMATION

SOURCE:

[HTTP://EARTHQUAKE.USGS.GOV/EARTHQUAKES/EQINTHENews/2007/US2007GBCV/#DETAILS](http://earthquake.usgs.gov/earthquakes/eqinthenews/2007/us2007gbcv/#details)

According to the data of the National Institute of Civil Defence (INDECI) on August 30th, 519 people were killed, 1366 wounded, 60519 houses destroyed, 13.585 houses affected, 103 hospitals affected and 14 hospitals destroyed. (<http://www.reliefweb.int/rw/RWB.NSF/db900SID/EK0I-76P3M9>). The majority of the damage and casualties occurred in Pisco, Chincha Alta and Ica, where there were power outages. The Panamerican Highway, the Carretera Central and other main transport routes suffered heavy damage due to landslides and cracks. The Peruvian government declared a state of emergency and, with the support of the international community, led the response through the National Civil Defence System. (<http://earthquake.usgs.gov/earthquakes/eqinthenews/2007/us2007gbcv/#summary>)



Source: UN OCHA, accessed at www.reliefweb.int

At the end, this lack of organization and information causes that NGOs that worked at that time there can see some way affected his performance. Many of them were working in the country for a long time but had moved to the area due to economic growth.

Not knowing at every moment which was the responsibility of each of them, and without a leading institution coordinating the efforts, chaos might reign in a situation which in itself is already chaotic.

4.3 DONORS

4.3.1 GLOBAL HUMANITARIAN AID

Very important aspects of the humanitarian aid are the resources that are allocated for this purpose. The most credited organization to pay attention to this is the Global Humanitarian Assistance (GHA) Report, which aim to present simple and objective statistical information on humanitarian financing for people involved in humanitarian aid policy, programming and performance. The goal is a shared evidence base that people can use in their planning and policy work to ensure better outcomes for the women, men and children whose lives are affected by humanitarian crises. (<http://www.globalhumanitarianassistance.org/analyses-and-reports/gha-reports>).

In this report is taken into account a donor-based approach to the calculation, factoring in official government humanitarian assistance contributions as reported to the OECD DAC, non-DAC government contributions as reported to OCHA's FTS, OECD DAC governments' security-related and post-conflict assistance and private (non-government) contributions received by aid organisations. In this report, they estimate the international humanitarian assistance of US\$15 billion in 2007 and US\$18 billion in 2008 (GHA report 2009), divided in the way that is shown below:

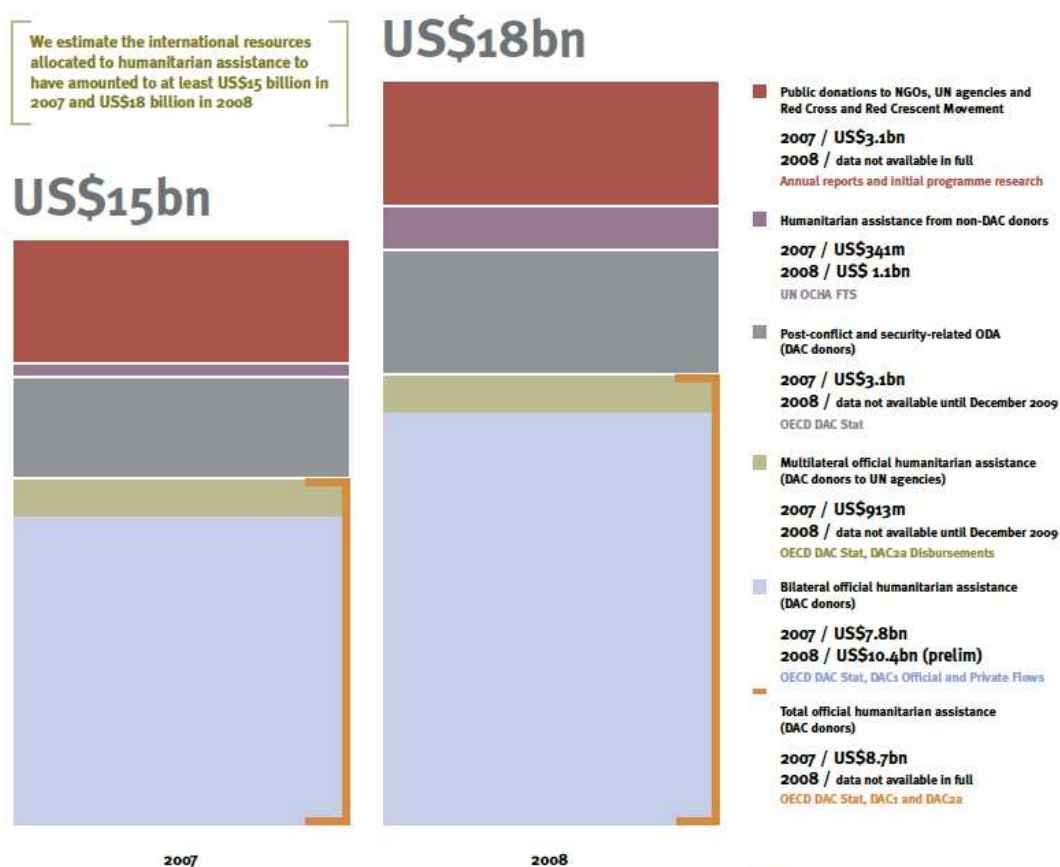


FIGURE 4-4 DOLLAR CONTRIBUTION

SOURCE: GHA REPORT, 2008

We will take a look to the targeted contributions to specific humanitarian emergency response efforts, as it is calculated and reported by OCHA's Financial Tracking System (FTS). According to OCHA, the total emergency aid flows were 4,4 \$ billion in 2007 and 6.6 \$ billion in 2008. As we can see in the chart below each year since 2004 there is an upward trend, especially since 2005, which is explained by the new pooled funding mechanisms for humanitarian contributions such as the expanded UN Central Emergency Response Fund (CERF), (created in December 2005 and launched in March 2006 to ensure the rapid and coordinated response to emergencies), and the country-level Common Humanitarian Funds (CHF), whose aim is to give the Humanitarian Coordinator greater ability to target funds at the most critical needs, encourage early donor contributions and allow rapid response to unforeseen needs).

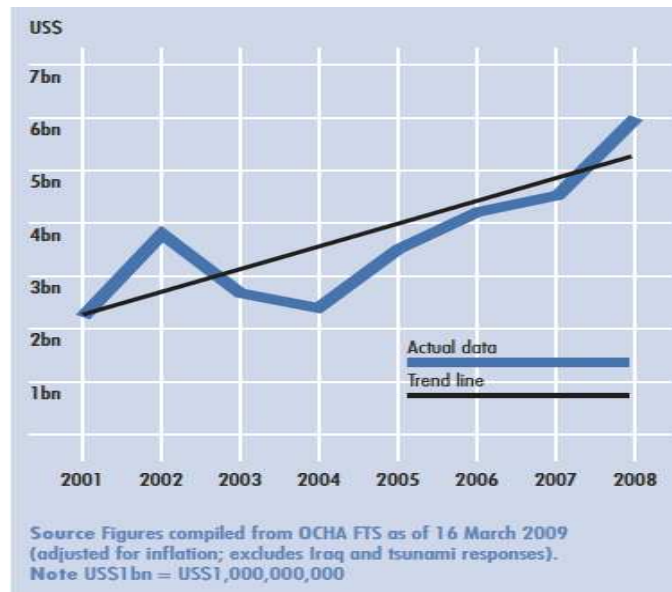


FIGURE 4-5 TOTAL HUMANITARIAN FLOWS TO EMERGENCIES

SOURCE: HARVEY, P. ET AL, 2010

After seeing the resources used to humanitarian aid it is important to describe the different organizations, federations and agencies that are involved in this system:

4.3.1.1 INTERNATIONAL NGOS (INGOS)

INGOs are about 250 organizations and federations who account for 5.7\$ billion of the international humanitarian system expenditure, this includes the six largest INGOS: CARE, Catholic Relief Services (CRS), Médecins Sans Frontières (MSF), Oxfam, Save the Children and World Vision International. They also account for the majority of humanitarian staff in the field, being in 2008 approximately 208,000 people, and nearly 95% of global INGO field staffers were nationals of the host country (Harvey. et al, 2010).

4.3.1.2 LOCAL NGOS (LNGOS) AND COMMUNITY BASED ORGANIZATIONS (CBOS)

LNGOs and the Community based organization (CBOs) are usually smaller in size and in geographical scope but higher in number in the affected countries. Many times the UN agencies and INGOs work with them for the end stage implementation of their aid programs. Some recent humanitarian reforms such as the Cluster Approach (which was proposed as a way of addressing gaps and strengthening the effectiveness of humanitarian response through building partnerships) and the Common Humanitarian Fund (CHF) have created the potential for greater international engagement with LNGOs, and greater access for these organizations to international funding and capacity- building support, even though this hasn't been yet evidenced (Harvey P. et al, 2010).

4.3.1.3 INTERNATIONAL RED CROSS AND RED CRESCENT MOVEMENT

This is composed by the International Committee of the Red Cross (ICRC), the International Federation of the Red Cross (IFRC) and the 186 national societies. It is the world's largest humanitarian organization, providing assistance without discrimination as to nationality, race, religious beliefs, class or political opinions. Their programmes focus in four main core areas which are promoting humanitarian principles and values, disaster response, disaster preparedness and health and care in the community, which are mainly carried out by the National Societies (<http://www.ifrc.org>).

The Federation vision is: “We strive, through voluntary action, for a world of empowered communities, better able to address human suffering and crises with hope, respect for dignity and a concern for equity” They have approximately 97 million members and volunteers throughout the world, including some 20 million active volunteers (http://www.ifrc.org/who/index.asp?navid=03_01).

4.3.1.4 UN AGENCIES

While in the NGOs the percentage of expatriates was 5%, in the UN agencies is 11% on average, which can reflect the centralized coordinating role. They usually work with programming on a broad scale, which can be country or region wide, and sometimes adopt coordinating as opposed to project implementation roles in the field, even though there are cases where they do both. With the introduction of the Cluster Approach, their presence in countries where these ones are being implemented has increased. The UN agencies are the ones that receive the largest share of government contributions for specific emergency response efforts (Harvey P. et al, 2010).

4.3.1.5 DONORS

Within donors, governments are the ones who contribute with the highest amount of money to the humanitarian funds. The OECD countries members of the Development Assistance Committee)

(DAC¹) are the ones who make the biggest contribution, being the US main donor. They are the biggest proponents and users of the pooled funding mechanisms. But if you look to the non-DAC countries it can be seen that their contribution to the funds has increased more than DAC funding. Also the private voluntary funding sources have increased, being these ones very important for the speed of response, flexibility and relative lack of conditions (Harvey. et al, 2010).

4.3.1.6 DONATIONS IN PERU'S EARTHQUAKE:

After the earthquake and the declaration of state of emergency, the UN system, the UNDAC team and other non-UN partners in close coordination with the Government of Peru and based on reports and assessments from official sources, launched a Flash Appeal requiring US\$ 36.962.939 for six months. This amount of money includes the \$9.6 million from the Central Emergency Response Fund (CERF).

In the next chart there is the total humanitarian assistance per donor (13 of June 2010) that was compiled by OCHA on the basis of information provided by donors and appealing organizations. It is possible to see that the main donor was the European Commission through ECHO (European Commission – Humanitarian Aid & Civil Protection) with US\$ 11,287,418, accounting for the 21.6 % of the total. Following ECHO, was the Central Emergency Response Fund (CERF) of UN with the 18,4% of the total funding. The private donations account for the 15%, and the rest 45% correspond to the different countries who made the donations, being US, Spain and Sweden the countries which made the major contribution.

¹ DAC members: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Korea, Luxembourg, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, United States, Commission of the European Communities

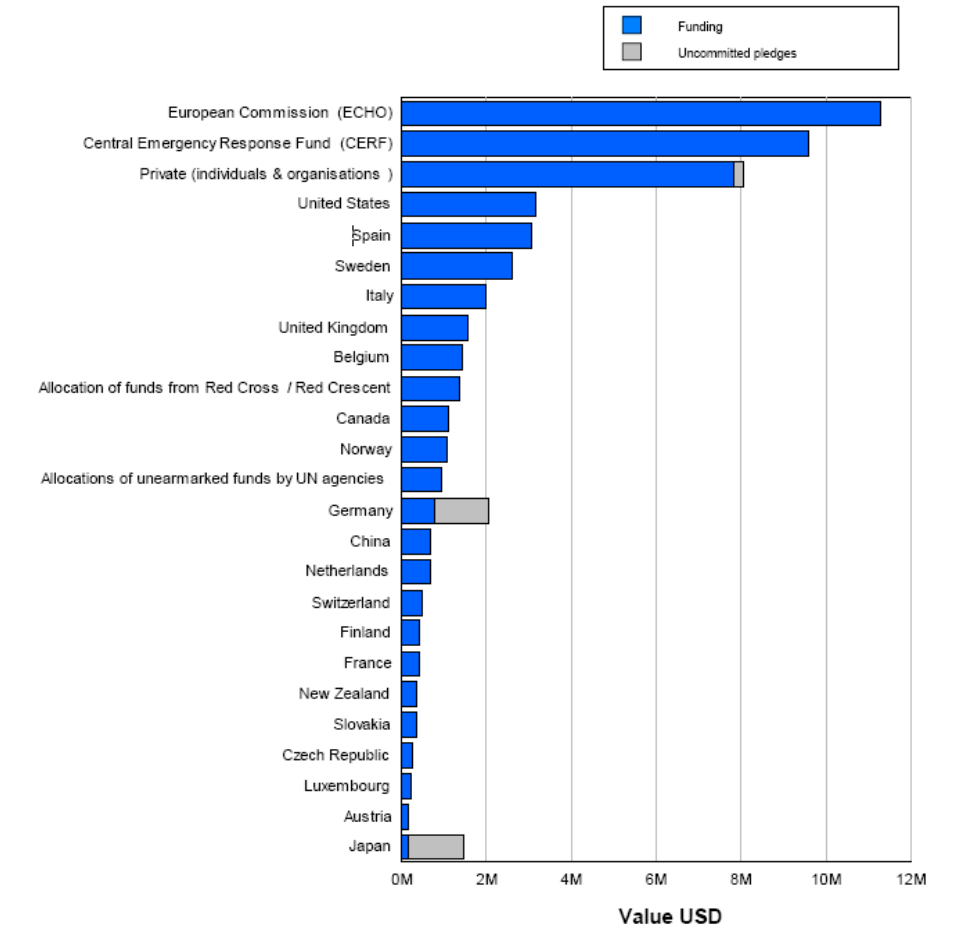


FIGURE 4-6 TOTAL HUMANITARIAN FLOWS TO EMERGENCIES

SOURCE: [HTTP://WWW.RELIEFWEB.INT/FTS](http://www.reliefweb.int/fts) (TABLE REF: R24)

Apart from the UN appeal, the IFRC in support of the Peruvian Red Cross launched a separate one the 17 of August 2007. According to the data provided by the Red Cross in their Interim Final report (2 June 2010), they launched an appeal of 9,461,450 US dollars, which has been a 100% covered. Their first appeal was the 17 of August 2007 of USD 1,341,869 to assist 4,000 families (20,000 people) for a five-month period. An amount of USD 207,641 was initially allocated from the Federation's DREF to support the National Society response.

This appeal was revised and the new budget was 4,655,315 US dollars for nine months to assist 7,500 families (37,500 people), followed by a second revision the 3rd of December 2007 for 9,917,000 US dollars for 18 months (February 2009) to assist 7,500 families (37,500 people). The time frame was then extended until the 31 December 2009 and the appeal revised to times more to reach the final amount of money with time frame of 28 February 2010 (IFRC, 2010).

5 CASE STUDY: PERU EARTHQUAKE 2007. PERFORMANCE OF INTERNATIONAL FEDERATION OF RED CROSS AND RED CRESCENT SOCIETIES

5.1 INTRODUCTION

During the work carried out by the Red Cross in the area, 11 information notes were published where the works and problems they were having were explained. 10 press communications were also published (IFRC, 2007).

On 15th August 2007, an earthquake measuring 7.9 on the Richter scale (U.S. Geological Survey) hit Peru. The Geophysics Institute of Peru measured the epicenter 33km below the earth's surface, and 43 km south west of the nearest town San Vicente de Cañete (IFRC, 2007).

Red Cross was already working in the country when the earthquake hit Peru. In these disasters IFRC also helps and gives support to the different Organizations and NGO's working in the field. In this case, IFRC work very closely with INDECI and the Peruvian Red Cross, through regular contact and meetings (Elhawary and Castillo, 2008).

At first moment, and given the characteristics of the natural disaster, IFRC sent an emergency appeal calling for funds to assist the victims and where they explained what had been the most affected areas, and the immediate needs as search and rescue, psychosocial support, tents, blankets, clothes, bedding, jerry cans, plastic sheeting, water purification tablets, etc(IFRC, 2007).

In Brief

THIS PRELIMINARY EMERGENCY APPEAL Seeks CHF 1.616 million (USD 1,341,859 OR EUR 979.150) IN CASH, KIND, OR SERVICES TO ASSIST 4,000 families (20,000 PEOPLE) FOR 5 MONTHS

The Funding Sought under this Emergency Appeal will Complement the Disaster Relief Emergency (DREF) Funding of CHF 250,000 (USD 207.641 or EUR 151.515), Which Was Allocated to the Peruvian Red Cross on 16 August 2007 to Assist Those Affected by the disaster.

The Projects and Activities Described Below are aligned with the Federation's Global Agenda, Which sets out four broad goals to meet the Federation's mission to "improve the Lives of Vulnerable People by Mobilizing the power of humanity". These are:

- Reduce the numbers of deaths, injuries and Impact from disasters.
- Reduce the number of deaths, illness and Impact from diseases and public health emergencies.
- Increase local community, Civil Society and Red Cross Red Crescent Capacity to address the most Urgent Situations of vulnerability.
- Reduce Intolerance, discrimination and social exclusion and Promote Respect for diversity and human dignity.

Other Organizations such as United Nations Office for the Coordination of Humanitarian Affairs (OCHA), the Pan American Health Organization (PAHO), the United Nations technical team (UNETE), and Partner National Societies (PNS) such as American, Canadian, German, Italian, Japanese, Spanish and Swiss Red Cross Societies were present or helping as donors (IFRC, 2007).

At the same time, while the evaluation in the ground was being carried out, the long term necessities were identified. The National Societies presented very rapid a preliminary Plan of actions that included the following objectives:

- Objective: 4,000 families (20,000 people) will be provided with basic relief non-food items.
- Objective: Psychosocial support will be provided to at least 1,000 families affected by the earthquake by PRC volunteers.

Taking into account the impact of the earthquake in the area, to have these objectives in the initial phases seem as not a not very ambitious or realistic plan. However, these were only the first needs they identified as priorities, but when the relief duties were forwarded it was possible to observe that other objectives will be set (IFRC, 2007).

As they say in the first issued note, IFRC base all the decisions and plans on SPHERE project, humanitarian charter and the code of conduct for emergency response, so we can wait that the actions taken in the field are in line with the requirements included in the manual (IFRC, 2007).

It is important to understand the responsibility and duties of Red Cross in the emergency relief and its relationship with other organizations present during the emergency. The International Federation worked very close with the PRC and INDECI, who was the first organization to be in charge of the activities implemented in the field. They supported people in the areas of health, community risk reduction, disaster management, organizational development, principles and values and communication (IFRC, 2007).

In the case study we are not going to differentiate between emergency/rehabilitation and development because as we said before although they say that the emergency relief duration was four months for the emergence and almost 8 months for the early reconstruction, there is no any reference added in the reports. At the end seems that is more a linguistically difference than a separation of stages. We will analyze the different factors from the “social” point of view and not giving importance in the phase it has been implemented.

Finally the monitoring an evaluation with direct participation and presences of the beneficiaries is to be done when the actions in the field are finished to review the achievements or constraints and to identify the lessons learns for the future. However, Red Cross web page does not provide any public documents regarding the evaluation of the activities in Peru.

5.2 SUSTANTIVE FACTORS

During an emergency action there are different aspects to be considered. Some of them and perhaps the most important at first would be the technical aspects, which are those that lead the population to sooner achieve peace of mind and feeling of protection. These factors are the short-term results and many of the action protocols include some quality standards in these matters. We can consider that these short-term factors are included in the emergency relief as priority because they are going to alleviate the suffering and bring people the basic needs.

Other factors, not less important, would be the long-term impacts. Those that make the performances improve year after year following the recommendations included in the evaluations done after the emergency, follow-up actions carried out, taking into account local people in decision making and planning of objectives and programs within the emergency.

Factors as participation, monitoring, evaluation and beneficiaries selection are important. Sphere Manual also includes these requirements as essential. That's why we have decided to evaluate the IFRC action through these aspects that can generate a real impact in the communities and help to improve the next actions (Sphere, 2004).

As we explained before in IFRC also an internal guidelines to be followed in case of disaster, how to act in an emergency, what are the basic principles, what should be the preparation, etc. They are called "Principles and Rules of the Red Cross and Red Crescent for disaster relief". In this case we are going to analyze only some of the principles of the Sphere Manual because are more explicit and they include more important and less known factors that can change things not only in the short-term but also in the long-term.

When you start analyzing these factors, you realize that in a moment that the information and the decisions are changing very fast and not only you are deciding technical issues but social ones, you have also to take into account the consequences that these actions will have in the community.

5.2.1 PARTICIPATION

The involvement of all stakeholders is of vital importance in building an action plan that is sustainable and takes into account the whole of society. The local partner is the one that truly knows the country, its needs, concerns and values of disaster-affected people and the more vulnerable society, more so in these cases must be included and taken into account the time of development of the objectives and programs.

Promoting participation could be twofold. One is to integrate all the public concerned and to be sure that there is a representative sample of the population. This sample should at least include women, children, elderly or sick people with HIV for example, who have their needs and make programs equitable and effective (Sphere, 2004).

Another objective of participation is communication and transparency. It is important because the dissemination of information and knowledge has to be so open, so that there are mechanisms that make the public may submit comments, suggestions or issues that they consider more important at that time, through meetings public contacts, etc ... This means that when there are people with disabilities they should also be taken into account in the meeting with all it takes of mobility problems, etc.(Sphere,2004).



During the beginning of the proceedings many of the meetings were held with the population informally and with women and children, since men were working in the task of debris removal in affected areas. These tasks were more aimed at reassuring the public and provide them with minimal training in matters of hygiene, sanitation, water purification, etc.

During the first month there is no mention in the documents of the Red Cross on the importance of public participation. This may be because the impact was such that they decided to start early with the action and leave these public meetings with the people to be developed in a more elongated term objectives. (IFRC, 2007, n°2).

The counseling itself was one of the activities that were first implemented. Obviously along with this, different humanitarian aid planes were sent carrying shelter and non-food items for 8.809 families.

Psychosocial support is a key area in the earthquake response operation. People are really affected because they have to deal with losses, both personal in terms of human lives and of their homes and livelihoods. Children and youth are the part of the society that really understands the relationship between the catastrophe and the change of their lives and they respond positively to the support. Also the local volunteers of PRC have to be treated (IFRC, 2007, n°2-6).

8,929 people were provided with psychosocial attention. Of them 4,612 (52 percent) were children, 3,468 (39 percent) were women, and 848 (9 percent) were men (IFRC, 2007, n°6).



THE PRC PSYCHOSOCIAL TEAM WORKS. SOURCE: RED CROSS AND RED CRESCENT SOCIETY

Most of the goals achieved during the first months reached in most of the cases the most vulnerable people and groups of rural communities, female-headed households, and children. For example within the goal to provided with emergency shelter and basic relief non-food items.

Related to this, one of the actions taken during this time was to train people, most of them men, to build temporary shelters (“with respect for Sphere Standards”) where they will live after they reconstruct their homes built with local materials (IFRC, 2007,nº3).

With this another action they achieved several goals, participation of the society, training of the people and using local materials, the local economy will grow step by step. The participatory approach is really important to encourage people in the community in the capacity building and make them feel as part of the process.

All these people need in the first time psychological aid because maybe they have lost a lot of personal and material things. But once they can be part of the society again, they have the knowledge and they are willing to reconstruct and help the other people. Why don’t engage them and work all together to grow faster? We have seen many examples in this case where participation, in each of its aspects, can help keep more cohesive and united group.

5.2.2 MONITORING

The effectiveness of the program in responding to problems is identified and changes depending how the things can change in the months later. Monitoring is essential to redirect these changes and improve the actions taken. (Sphere, 2004).

During the actions carried out by Red Cross in Peru the following case notes were released:

Case Note	Date
Information Bulletin	15/08/2007
Emergency Appeal-	17/08/2007

Operation update n°1	19/08/2007
Emergency Appeal (updated)	20/08/2007
Operation update n°2	25/08/2007
Operation update n°3	04/09/2007
Operation update n°4	15/09/2007
Operation update n°5	23/10/2007
Emergency Appeal (updated)	3/12/2007
Operation update n°6	6/02/2008
Operation update n°7	15/08/2008
Operation update n°8	25/3/2008
Operation update n°9	12/8/2009
Final report	30/12/2009

SOURCE: WWW.CRUZROJA.ORG/EMERGENCIAS

In any project that takes place in a private company there are some important processes. Monitoring and evaluation are two of the most important, so in a project of vital importance as this is the follow-up is vital part of it.

There are several objectives to be achieved by tracking the activities constantly and continuously within the project. The information on this type of disaster is still very dynamic, sometimes completely opposite from one day to another. This implies that decisions you are taking in some moment are the best ones at the beginning and two days later may be insufficient and almost impossible. At first the situation of many infrastructure (bridges, roads) in rural areas are completely unknown, so we set goals of delivering aid in a way that can lead to failure. Monitoring and evaluating what you are doing can decrease the percentage of fail projects.

"The constant monitoring to determine priorities, identify emerging problems, track trends, determine the effect of their answers and to guide revisions to their programs

Sphere Handbook, 2004, p.44

IFRC kept informed the society. The first three months were issued half the notes. Besides all these notes have the same structure and are continuously updating information. Each of these notes includes the budget available, the objectives achieved, changes from one to another when problems have arisen. Also, especially in the first notes released, references to relations with the various organizations and NGOs in the area, is included.

It is also important when a project of this nature are being carried out with donations from individuals, companies, organizations, to track and informed all those groups of interest who want to know first hand the action taken.

Another point to note is that the published information should be useful information. Information that helps the reader to understand at which stage the project is, what the difficulties are, monitoring of the objectives, relations with other organizations and expenditure of the different budget items.

In addition to the briefing notes 10 press releases were issued.

5.2.3 EVALUATION

Following the previous section and reflecting what has been discussed above, the project evaluation is considered of vital importance.

A document was issued in December 2009 that could be considered as the final report. It consists of 14 pages and an overview of the objectives, alliances carried out, updated budget. It is considered that for a disaster of this nature a more comprehensive report should be issued. For example, it details the original budget, the revised one and the corresponding differences, but there is no explanation on the different items.

Another comment, also included in the Sphere manual, is that the information and the evaluation report should be independent and impartial. In this case, taking this report as the final evaluation, it was conducted by Red Cross staff and it is very difficult to identify the failures of programs and projects identified by the same organization. If it was developed by personnel working in the field, it implies they are so involved in the tasks described, that probably they have not been able to identify improvements or mistakes; otherwise they would have implemented them before.

We cannot consider this document as evaluation of the project because doesn't include the minimum data necessary included in the Sphere Manual and because as we said before there is no explanation about the achievements, problems, workers, etc.

As mentioned above, the evaluation is completely necessary in improving the practices and policies and to enhance accountability as part of the technical activities carried out. It is important to check accountability at the administrative level and expenditure in the field.

But, some of the items added by Sphere manual as important to take into account when you are doing an assessment are covered in the information available. For example, each of the monitored notes includes the goals set at the beginning of the emergency and a quantification of them. This measurement is very useful if you want to know the efficiency, coverage, coherence and impact on the affected population.

It's noticed that in this chapter things could have been done better.

5.2.4 BENEFICIARIES SELECTION

This point is considered the most complicated bearing in mind when a disaster like this happens. The beneficiaries should be all people affected and not have to choose between one another. But we also know that in all societies these vulnerable people exist, and if they have real difficulties to go ahead in "normal" situations, in an event like this is even worse for them. What the organizations want to achieve is to make them as independent as possible and engage them to be part of the process

In these vulnerable groups, as discussed above, would be women, children, elderly, disabled people, sick people, etc.

The selection of the beneficiaries can range from self-assignment by the agency staff, administrative choice, community-based beneficiaries, or combination of them all. There are many problems when these assignments are done because if they are not done with sufficient care it's possible that, without intending to do so, they generate collateral problems. For example, typically households with malnourished children are chosen and it might happen that the parents keep that situation in the children in order to continue receiving aid. Or if you work with SHIV patients, they lose the confidentiality and there is a rejection by the community towards them. (Sphere, 2004).

To do this it is better to create groups with a high participation where decisions, beneficiaries, activities are taken. In these meetings all people, vulnerable or not, should be represented to keep them informed and to take the right decisions, taking them all into account. We don't have to forget that the real knowledge of the area is in the local people living there. We cannot arrive there as the experts and obviate that they have been living there for many time. We need them.

Red Cross knows the importance to involve everybody in the actions taken. Some example about the actions of IFRC during the emergency relief,

"PRC provider weekly distributions of approximately 315.000 liters of water to 25 vulnerable Communities and selected camps "(IFRC, 2008, p.4)

"... The PRC is distributing still-needed relief items to the most vulnerable groups (rural inhabitants, female-headed households and families with multiple children) in selected regions." (IFRC, 2008, p.4)

"... have reached 74 Percent of their goal of 2,000 temporary shelter units for vulnerable Families in Ica. (IFRC, 2008, p.7)

At first the children were a priority because they knew they were the ones that could first understand what happened and that could lead to adults see things differently. The counseling focused on them at first by for example, play activities that kept them away from the despair and chaos.

Although at all times it's clear that the objectives and programs are directed towards vulnerable groups and that they are children, household women and large families, it does not explain what criteria were used for the selection of these beneficiaries, why other groups just as vulnerable are left out, etc ... and it's important in order to know the differences between one and others. This is really important to encourage them in the capacity building and make them feel as part of the process.

6 CASE STUDY: PERU EARTHQUAKE 2007. PERFORMANCE OF UN OFFICE FOR THE COORDINATION OF HUMANITARIAN AFFAIRS (OCHA)

The Peruvian Government declared a state of emergency across the affected regions, and officially requested international support. The National Institute of Civil Defence (INDECI) led the Government's response, but the severity of the disaster overwhelmed its capacity. As Peru is not a country with an ongoing humanitarian crisis, there was no OCHA presence at that time of the disaster. By the second day of the disaster, OCHA deployed a senior operations officer from its regional office in Panama to support the UN Resident Coordinator (RC) and an UNDAC team of 12 experts was also deployed before the end of the first week. The UN Resident Coordinator activated the Emergency Operations Centre on a 24-hour basis and regularly convened a rolling meeting of the UN Disaster Management Team, which is coordinating the numerous requests for help that UN Agencies are receiving independently. (Barber, M. et al, 2008)

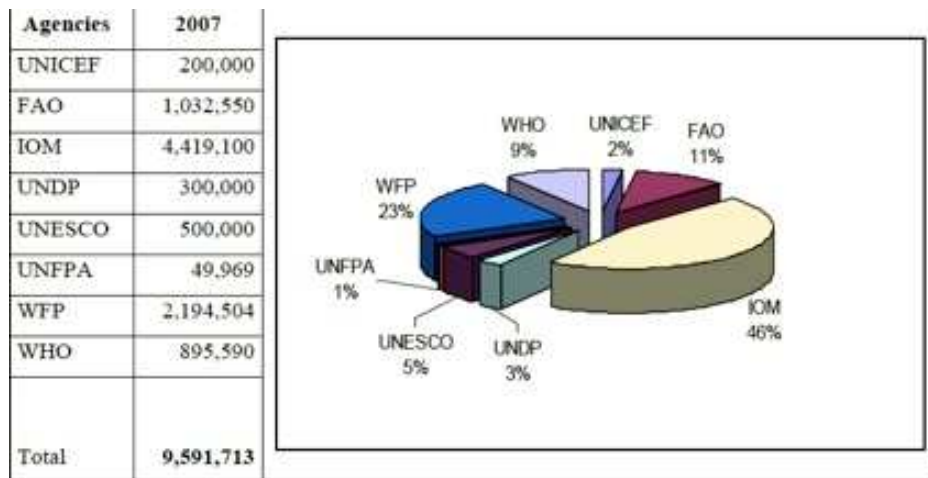
According to the "Two year evaluation of the CERF Peru" (Barber, M. et al, 2008), the Resident Coordinator acted quickly in bringing all the UN agencies together and began the dialogue with the government to develop an appropriate response. The preparation of the Flash Appeal was inside the timeline suggested by OCHA guidelines to be, an early strategic response plan and specific projects within 5-7 days of the emergency's onset.

(http://www.who.int/hac/network/interagency/news/flash_appeal_guidelines/en/index.html), the 22nd of August the UN Agencies had received the letter of approval for the CERF projects.

The guidelines of the Flash Appeal remarks that they are supposed to be a consultation process with the humanitarian country team and the affected government, it should be issued within a week of the event, be concise and based on available information and reasonable inference, focusing on urgent humanitarian needs. The Flash Appeal should include projects from all key humanitarian organizations (UN and non-UN) on the ground and take into account the action and plans of entities not included in the appeal. The Central Emergency Response Fund (CERF), as a funding instrument, does not replace the need for a Flash Appeal, which is a planning tool. The Flash Appeal and funding application to CERF are developed simultaneously as parts of the same process (Revised Guidelines for Flash Appeals, 2009).

After looking at how a Flash Appeal should be done, it is necessary the comparison with what have been done in Peru. The Flash Appeal of Peru was prepared with the support of the UN emergency technical team (UNETE), the UNDAC and with the consultation of the Government and some international NGOs. The decision of the CERF contribution to the Flash Appeal was based on a consideration of the challenges of raising humanitarian resources in the country (Barber, M. et al, 2008).

In the evaluation of the CERF Peru, is declared that the project formulation and fund allocation was corresponding to the capacity of UN agencies to mobilize additional funds. An example of this is UNICEF, agency who had the capacity to mobilize additional funds but needed the CERF aid to begin the intervention in the country, the grant requested by UNICEF represented a 7% of its total contribution. On the other hand we have the IOM who had a grant from the CERF of the 90% of its contribution, accounting for the 47% of the total CERF funding for Peru. (Barber, M. et al, 2008). In the chart below there is a detailed description of the percentage given to each organization. So it is possible to say that the guidelines of the Flash Appeal have been followed in the case of Peru.



Source: CERF Database 06 March 2008

FIGURE 6-1 CERF FUND ALLOCATION

SOURCE: BARBER, M. ET AL, 2008

6.1 COORDINATION

As it has been said, the UNDAC Handbook states the importance of the coordination on emergency situation, and in the process being participatory, impartial, transparent and useful, being OCHA's mandate to ensure that the relief provided is effective, not to provide effective relief.

The government institution responsible for coordination in the emergency response was the INDECI (Instituto Nacional de Defensa Civil), but because of the scale of the disaster, they were overwhelmed, specially the local institution, being this a challenge for the efficient coordination. INDECI established two Operational Centres, one National and another Local in the Pisco airbase. The National one was the main reference point for NGOs and coordination among various government agencies, but the Local one did not lead to coordinated action amongst humanitarian actors but was a point for sharing information. In the relationship between the UN and the government what happened was that the agencies that had long-standing relationships with them were able to implement projects in close coordination but not the other ones. (Barber, M. et al, 2008)



SOURCE:
[HTTP://CONTENT.UNDP.ORG/GO/NEWSROOM/2009/AUGUST/TWO-YEARS-AFTER-THE-2007-PERU-EARTHQUAKE.EN](http://content.undp.org/go/newsroom/2009/AUGUST/TWO-YEARS-AFTER-THE-2007-PERU-EARTHQUAKE.EN)

As the same time as the INDECI group, United Nations established a 24hrs Operations Centre under the leadership of the RC, the UNETE (UN Emergency Team) and the UNDMT (UN Disaster Management Team) and with the participation of the different UN agencies. As Barber, M. et al, 2008 say, this group was quite effective in getting the UN agencies to coordinate actions and also was a point of reference for the government officials. As it was said before, the UN deployed a UNDAC team of 12 experts who played a critical role and improved the coordination and were the interface between UN and INDECI.

The UNDAC team stayed in Peru until approximately mid-September, and after they left the UNDP established a Coordination Centre in Pisco and requested additional coordination staff from OCHA, who sent another two members for the establishment of two additional coordination centres in Chincha and Ica in November. (Barber, M. et al, 2008) As it is possible to see there were a lack of coordination especially between the UNDAC left the country and the arrival of the additional members, which was about 2 months and a half, coinciding with the end of the relief and beginning of the recovery. An



example of the lack of coordination is that there were some places where there were plenty of food but very little done in water and sanitation, but what continued to arrive to those villages was food from government and NGOs.

SOURCE:
[HTTP://CONTENT.UNEP.ORG/GO/NEWSROOM/2009/AUGUST/TWO-YEARS-AFTER-THE-2007-PERU-EARTHQUAKE.EN](http://content.unep.org/go/newsroom/2009/august/two-years-after-the-2007-peru-earthquake.en)

The UN or IOM implemented most of the CERF-funded projects because of the limited presence of NGOs in the affected area (which has grown a lot in the last years so it was a prosperous zone in the country). Even they shared information through the forums, their coordination was weak.

So, to conclude, we can say that analyzing the previous information, the coordination inside the United Nations was well done, but their coordination with the government and other NGOs can be considered as weak, being the most vulnerable period the one after UNDAC left and more extra personnel arrived.

6.2 THE CLUSTER APPROACH

Another important thing of the organization during an emergency situation is the Cluster Approach, which has the aim to improve the effectiveness of humanitarian response by ensuring greater predictability, accountability and partnership, and to be more comprehensive needs-based relief and protection, in a more effective and timely manner. But in the case of Peru this approach was not activate, because the UN Resident Coordinator decided that it wouldn't bring any added value, and the country team said that the cluster approach would bring a lot of bureaucracy and would undermine the leadership role that the government agencies were supposed to be playing. (Barber, M. et al, 2008)

According to what Elhawary, S. and Castillo, G., 2008 say in their report, there have been two main reasons for not applying the cluster approach: government opposition and reluctance from lead agencies from a lack of knowledge and understanding of what implementing the cluster approach in practice actually entails. Even though the UN suggested to the government to apply the cluster approach, they were not interested because it would mean that the government did not have the

capacity to respond in an adequate way to the earthquake, and also it was their responsibility as outlined in the constitution. Also the government wanted to use the response as an opportunity to demonstrate its capacity and its solidarity with affected people. As they had developed a response procedure and they had the INDECI to organize the work and the efforts they did not want to show any weaknesses.

The second reason was the lack of understanding of the cluster approach at field. When the earthquake occurred, only the IFRC (cluster lead for emergency shelter) seemed to have understood what this meant and had their staff ready to take on that role. The staff from the other agencies did not have clear their roles or actions. (Elhawary and Castillo, 2008)

At the end, because of all of this lack of coordination and reluctance of the government, the UN formed working groups, which were led by the Ministries in coordination with leading UN agencies or IOM. The working groups were the next ones:

Working Group	Leading Agency
Shelter and Camp Management	IOM
Food Assistance	WFP
Health	WHO
Water and Sanitation	WHO & UNICEF
Education	UNESCO
Protection	UNICEF
Early Recovery	UNDP
IT/Telecommunications	WFP
Temporary Employment	ILO
Safety and Security	UNDSS
Coordination	UNDP

Source: Barber, M. et al, 2008

The workload of these working groups was different from one to another. For example the group of IT/Telecommunications was almost not activated because the country had a reasonable

communication infrastructure, while in other groups there was duplication and a fragmented approach as for example in the shelter and camp management. In this group apart from IOM leading the UN response, there were working the government in one side and IFRC and Care International leading the NGOs, so there were three different groups working without coordination, fact that probably could have been improved if the cluster approach had been applied, because there would be just one group leading everyone's actions (Barber, M. et al, 2008).

6.2.1 WATER AND SANITATION:

As it has been said before, the sector of water and sanitation is the one which is going to be developed. According to the data of the Flash appeal 2007 and based on the first assessment carried out by the United Nations Children's Fund (UNICEF) and WHO, the main areas needing urgent attention after the earthquake included:

- Improvement in the quality of drinking water, sanitation and solid waste management, with a focus on the needs of women and children;
- Provision of water, hygiene and sanitary blocks for temporary schools;
- Promotion of hygienic practices;
- Assessment of the rural WASH situation;
- Provision of latrines and washing facilities.



SOURCE: WWW.WORLDDIVISION.ORG

To handle this priorities the UN developed the response plans, where the leading agencies are UNICEF with WHO, Pan-American Centre for Sanitary Engineering and Environmental Sciences (CEPIS) and other partners. Their main objectives are to assess the situation in rural and peri-urban affected areas, provide clean drinking water to the population and ensure the access to sanitation facilities, which obviously coincide with the previous urgent areas which have been identified. (Flash Appeal Peru Earthquake 2007)

Right after the earthquake the situation of the water and sanitation can be obtained from the UN situation reports where, in some of them, it is explained:

- OCHA Situation Report 6, 21 August 2007

According to SUNASS (National Sanitation Authority), the water supply status in Pisco is that the network supplies 5% of population, while 95% of the supply is channelized through tankers

- OCHA Situation Report 11, 27 August 2007

SUNASS, the National Water and Sanitation Authority, announced that drinkable water supply is available at 15% in Pisco, 65% in Chincha, 85% in Cañete and 100% in Ica, Parcona and Palpa.

➤ OCHA Situation Report 12, 29 August 2007

The National Water and Sanitation Authority (SUNASS) informed on Monday 27 August that water service through regular pipeline networks in Ica has been totally repaired and now works at 100% of its capacity. In Chincha and Cañete water is supplied through the network is 80% and 15% in Pisco.

➤ OCHA Situation Report 13, 31 Aug 2007

On Thursday, 30 August, the National Water and Sanitation Authority informed that water network service will increase to 45% of its full capacity in Pisco and 100% in San Andrés once leaks are repaired in the next few days.

Source: all the reports were obtained from <http://ochaonline2.un.org/Default.aspx?tabid=10293>

To mobilize the resources and to make sure that the most important issues are tackled, the UN propose some projects identifying the objectives, beneficiaries, partners and budget, an example of this can be seen below:

<p>UNICEF PER-07/WS04</p>	<p>Projects: Education and Hygiene Objectives: To promote hygienic practices among women and children women to prevent diseases. Beneficiaries: Children and families living in camps and shelters in two districts Partners: CEPIS, MoE</p>	<p>30,000 (less CERF allocation 20,000) Net requirements 10,000</p>
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Source: Peru Earthquake Flash Appeal 2007

The projects are focused in many different things such as improving the quality of the water and sanitation, providing clean water, making a rural water and sanitation hygiene assessment, but also in education to prevent diseases in the towns but also in the schools. There are some projects focused in the most affected families, to ensure the water and sanitation conditions to these high-risk groups. The partners of the projects are not only UN agencies, they partner with other NGOs and the government.

As we have seen before, the water and sanitation sector in Peru had some coordination problems, which affected the performance of the service providers, the coverage and the quality of the service. It seems that in the emergency many organizations (including UN) gave the water and sanitation sector a lot of importance so, the previous problems did not come into the process. For example, the UN projects were made in coordination with the government and other NGOs, and these NGOs had also another water and sanitation programs in the region. As the water and sanitation was a sector really tackled by many organizations it seem that the problems that it used to have did not were important in the emergency due to the fact that the government did not have the resources enough to work on that by their own so it was made by various organizations.

6.3 TRANSPARENCY/REPORTING:

The UN launched several reports during the emergency. OCHA made 14 reports from the 17th of August until the 6th of September, and the Office of the Resident Coordinator made also 21 situation reports from the 15th of August until the 28th of September. Apart from the situation reports there is also the Flash Appeal which was published the August 28, and the Central Emergency Response Fund approved the 22nd of August. (Detailed information can be seen in the Annex 8.4)

The reports made by OCHA and the Resident coordinator office are quite interesting. All of them are organized in a similar way. They begin with some highlights were the most important things of the moment are said, and then there is a section of situation, where the earthquake is explained and also the deaths and injuries that have been reported at the moment. Then it is explained the international response with the explanation of what each organization (either UN or non-UN) is doing. In the first reports there are two additional sections, one of the specifically UN response and another one of the Assistance and immediate needs, where there is a list of the things that are of immediate need for the victims, section which is really helpful, and it seems that other organizations look at these reports, because of the detailed list of the needs. At the end of each report there is also a list with the contact details of the people involved with their phone numbers and email.



Source: <http://ochaonline2.un.org/Default.aspx?tabid=102>

It is explained in detail what are the different organization doing, where is each NGO and what are the programs that are being taken, what is the situation of the different sectors and which are the priorities in each department. After looking at the reports an idea of what it is happening can be made, of which organization is working in each sector and what are the action that are being taken, so the transparency is quite good even though it finishes early, in September-October, so after this time is more difficult to make a general picture of what it is going on.

7 CONCLUSIONS AND RECOMMENDATIONS

- In the case of the two organizations that we have studied, the transition from the emergency to the reconstruction phase has not been well defined or prepared for. Although this division is pointed out in the literature, the documents describing their work in the field hardly reflect these differences. For example the IFRC specifically say that the transition phase is after 4 months but in the case of Peru, it is impossible to find it differentiated in their budgets, objectives or reports.
- We can conclude that monitoring and evaluation are not really carried out during the emergency. The priority is the implementation of the relief activities while the monitoring and evaluation is a secondary task left to later on. However, when the emergency is over, in the majority of cases, the evaluation studies are not carried out. This is a contradiction with the recommendations of Sphere or ECHO, that emphasize the importance of the evaluation duties in emergency situations.
- The IFRC started to take into account the participation approach two months after their arrival to Peru, when the objectives had already been set. The participatory approach is vital for the emergency and reconstruction phases, to encourage the capacity building of the communities and to make them a part of the process, so an early development of this approach should have been expected from the IFRC.
- The deployment of OCHA staff and an UNDAC team within the first 4-5 days was critical to the development of the flash appeal and to early coordination in the field. It shaped the overall response because they established a coordination centre where the information could be shared and gathered. The flash appeal allowed a partnership between different organizations.
- After the earthquake the regional and local civil defence committees could not deal with the emergency. Many local authorities were affected and could not respond but also because many committees had not been formed yet so there was no capacity or preparedness to respond. Because of this lack of resources and institutional capacity, there was chaos and little or no coordination right after the earthquake. Additionally, it was not clear if the local and provincial authorities should be in charge, or if it was the role of the national government. This situation resulted in a power vacuum affecting the coordination in the field of the different actors
- In the case of OCHA, the literature notices that the coordination inside the United Nations was well done, but the coordination with the government and other NGOs should be considered as weak, being the most vulnerable period the one after UNDAC left and more extra personnel arrived, fact which had a damaging impact on overall coordination and response.
- If the Cluster Approach would have been implemented some lack of coordination could have been avoided. Although UN system and other agencies initially expected that the cluster approach would be implemented, the Government did not want to because it could show that they lacked of capacity and resources to respond. Another obstacle for its implementation was the lack of understanding at the field level of what it would entail and what responsibilities each lead agency would have.
- The water and sanitation sector was really tackled by many organizations, so the problems of coordination and low coverage and quality of the service that it used to have were not important in the emergency due to the fact that it was not only the Government the one who

worked on it because, as the previous state of the sector was not very good, they did not have the resources enough to work on it by their own. So, the recovery of a quality service, was a work made by many organizations working alone or in partners, and they did not show any additional disadvantage due to the previous state of the sector.

- The reporting system of United Nations was very helpful to increase the transparency of the situation. The UN report allow the general public to know what are the different organization doing, where is each NGO and what are the programs that are being taken, what is the situation of the different sectors and which are the priorities in each department.

7.1 RECOMMENDATIONS:

- Some indicators should be set from the first stages of the emergency relief. These indicators should be monitored periodically to know what the areas of improvement are.
- Participatory approach should be given more importance and should be implemented at the beginning of the emergency response. If it is applied two months later when the objectives and projects are set, it does not fulfill its goal. To be effective it has to be applied since the beginning of the actions.
- Independent and impartial evaluations should be done for each organization to know their real performance from the outside. From these evaluations they should be able to extract the lessons learned, as an opportunity to improve their future work and be more effective. The UN should pay more attention to the evaluation of its performance during the emergencies. Besides a little summary about the evaluation of the CERF in Peru, if there were any other evaluation reports we were not able to find them.
- Improve the response capacity of the regional civil defense system of the affected country, by ensuring civil defense committees are created with adequate financial and human resources to effectively carry out their responsibilities. There should be a big effort in next emergencies to clarify the roles of the different agencies (FORSUR, UN) in the reconstruction process and ensure regional government and civil society participation to avoid this lack of coordination and management.
- A monitoring system should be put in place to ensure that the regional system is adequately resourced and trained to fulfill its responsibilities and to react in an adequate way to another emergency. This monitoring system should ensure that all the staff needed in the field is in place, to avoid the situation of Peru, where during two months more extra personnel was needed, resulting in a damaging impact on overall coordination and response.
- The UN should train its staff on the implementation of the Cluster Approach to make sure that all the actors are involved and that the Government and the cluster leads know what their responsibilities are and what they are supposed to do.

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9 ANNEXES

9.1 MODIFIED MERCALLI INTENSITY

The following is an abbreviated description of the 12 levels of Modified Mercalli intensity.
I. Not felt except by a very few under especially favourable conditions.
II. Felt only by a few persons at rest, especially on upper floors of buildings.
III. Felt quite noticeably by persons indoors, especially on upper floors of buildings. Many people do not recognize it as an earthquake. Standing motorcars may rock slightly. Vibrations similar to the passing of a truck. Duration estimated.
IV. Felt indoors by many, outdoors by few during the day. At night, some awakened. Dishes, windows, doors disturbed; walls make cracking sound. Sensation like heavy truck striking building. Standing motorcars rocked noticeably.
V. Felt by nearly everyone; many awakened. Some dishes, windows broken. Unstable objects overturned. Pendulum clocks may stop.
VI. Felt by all, many frightened. Some heavy furniture moved; a few instances of fallen plaster. Damage slight.
VII. Damage negligible in buildings of good design and construction; slight to moderate in well-built ordinary structures; considerable damage in poorly built or badly designed structures; some chimneys broken.
VIII. Damage slight in specially designed structures; considerable damage in ordinary substantial buildings with partial collapse. Damage great in poorly built structures. Fall of chimneys, factory stacks, columns, monuments, walls. Heavy furniture overturned.
IX. Damage considerable in specially designed structures; well-designed frame structures thrown out of plumb. Damage great in substantial buildings, with partial collapse. Buildings shifted off foundations.
X. Some well-built wooden structures destroyed; most masonry and frame structures destroyed with foundations. Rails bent.
XI. Few, if any (masonry) structures remain standing. Bridges destroyed. Rails bent greatly.
XII. Damage total. Lines of sight and level are distorted. Objects thrown into the air.

SOURCE: [HTTP://EARTHQUAKE.USGS.GOV/LEARN/TOPICS/MERCALLI.PHP](http://earthquake.usgs.gov/learn/topics/mercalli.php)

9.2 OCHA REPORTS

OCHA Situation Reports	
Date	Report
06-09-2007	Peru Earthquake OCHA Situation Report No 14
03-09-2007	Peru Earthquake OCHA Situation Report No 13
30-08-2007	Peru Earthquake OCHA Situation Report No 12
28-08-2007	Peru Earthquake OCHA Situation Report No 11
25-08-2007	Peru Earthquake OCHA Situation Report No 10
24-08-2007	Peru Earthquake OCHA Situation Report No 9
23-08-2007	Peru Earthquake OCHA Situation Report No 8
27-08-2007	Peru Earthquake OCHA Situation Report No 7
21-08-2007	Peru Earthquake OCHA Situation Report No 6
20-08-2007	Peru Earthquake OCHA Situation Report No 5
19-08-2007	Peru Earthquake OCHA Situation Report No 4
18-08-2007	Peru Earthquake OCHA Situation Report No 3
17-08-2007	Peru Earthquake OCHA Situation Report No 2
17-08-2007	Peru Earthquake OCHA Situation Report No 1

Office of the Resident Coordinator Situation Reports	
Date	Report
28/09/2007	Situation Report N° 21
25/09/2007	Situation Report N° 20
21/09/2007	Situation Report N° 19

18/09/2007	Situation Report N° 18
14/09/2007	Situation Report N° 17
11/09/2007	Situation Report N° 16
07/09/2007	Situation Report N° 15
04/09/2007	Situation Report N° 14
31/08/2007	Situation Report N° 13
29/08/2007	Situation Report N° 12
27/08/2007	Situation Report N° 11
24/08/2007	Situation Report N° 10
23/08/2007	Situation Report N° 9
22/08/2007	Situation Report N° 8
21/08/2007	Situation Report N° 7
20/08/2007	Situation Report N° 6
19/08/2007	Situation Report N° 5
18/08/2007	Situation Report N° 4
17/08/2007	Situation Report N° 3
16/08/2007	Situation Report N° 2
15/08/2007	Situation Report N° 1

- Flash appeal: The United Nations and its humanitarian partners launched a Flash Appeal on August 28 for close to \$37 million to assist the affected population.
- CERF: On 22 August the Central Emergency Response Fund allocated almost \$10 million to assist the populations affected by the earthquake in Peru.