

**UNIVERSITY OF NAIROBI
INSTITUTE OF DIPLOMACY AND INTERNATIONAL STUDIES (IDIS)**

**FACTORS INFLUENCING SUSTAINABILITY IN INTERNATIONAL
HUMANITARIAN ASSISTANCE IN KENYA**

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DECEMBER, 2018

DECLARATION

Declaration by the Student

This project is my original work and has not been presented to any other examination body. No part of this work should be reproduced without my consent or that of The University of Nairobi.

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Declaration by Supervisor

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DEDICATION

I dedicate my work to my family with special emphasis to my Husband, daughter, mother and father. You all allowed me time off from the family in order to concentrate in my Master of Degree Programme.

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I am grateful to God for enabling me to find time to embark on my research work. My family has all along supported me through their timely encouragement and challenge, which enabled me to do this task. The Kenya Red Cross Society, Lower Eastern Region staff who overwhelmingly supported me and provided all information and material that I needed in this project. My Supervisor has tirelessly and selflessly guided me on how to approach my thesis. To all I am indeed eternally grateful. Thank you all very much.

ABSTRACT

This research was carried out to take a critical look at factors influencing sustainability in international humanitarian assistance in Kenya. The study was conducted at regional and country headquarters' of the Kenya Red Cross Society offices. The specific objectives of this study were to find out the level of adherence of the humanitarian organizations to the humanitarian assistance core principles, to analyse the value-for-money in the projects implemented by the humanitarian organizations, to examine the attitude of the humanitarian organization staff towards their day to day tasks as well as to scrutinize the sustainability of the assistance given to the beneficiaries. Research questions based on the research objectives were established. The beneficiaries of the research include: future researchers, the institution, the researcher and the academic fraternity as a whole. Descriptive research design was used to collect the data. A population of 200 respondents was targeted. The researcher used stratified random sampling procedure as the preferred sampling technique to select a sample size of 50 respondents. Interviews and questionnaires were used for collecting data which was analysed using statistical tools and presented using pie charts and tables. This was complemented by secondary sources mostly books, journals and legal documents. Data was analysed using both qualitative and quantitative methods.

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LIST OF ACRONYMS AND ABBREVIATIONS

UN	United Nations
OCHA	The UN Office for the Coordination of Humanitarian Affairs
IRCRC	International Red Cross and Red Crescent Movement
IFRC	The International Federation of the Red Cross and Red Crescent
NGO	Non-Governmental Organizations
KRCS	Kenya Red Cross Society
IDPs	Internally Displaced People
USAID	The United States Agency for International Development
UNHCR	The United Nations High Commissioner for Refugees
FATA	Federally Administered Tribal Areas
EU	European Union
CSO	Civil Society Organization
DRR	Disaster Risk Reduction
IHRC	Interim Haiti Recovery Commission
ILO	International Labour Organization
IMC	International Medical Council
IMF	International Monetary Fund
INGO	International Non-Governmental Organisation
IOM	International Organisation for Migration
IRC	International Rescue Committee
IRD	International Relief and Development

CHAPTER ONE

INTRODUCTION

1.1 Introduction

This chapter outlines the introduction to the study, statement of the problem, the research objectives and research questions, as well as the literature review, theoretical framework and research methodology to be applied in the study.

1.2 Background of the Study

Humanitarian assistance is intended for saving lives, alleviating suffering and maintaining human dignity during and after man-made catastrophes and disasters caused by natural perils, as well as to prevent and reinforce preparedness in the event of such situations. It is engrained in the universal behaviour to aid other human beings in distress. It has been encapsulated in all religions, from Dana, one of Hinduism's and Buddhism's important practices, to Islam's Zakat, and Christian charity¹. It is no happenstance that local religious establishments are always at the front when it comes to providing reprieve in times of need.

The origin of sustainability as a strategy concept can be traced to the Brundtland Report of 1987. This document was concerned with the tension between the ambitions of humankind towards a better life on the one hand and the limitations levied by nature on the other hand. The concept has however been re-interpreted in time, as encompassing three scopes, namely economic, environmental and social². This concept of sustainability was originally thought up in forestry, where it meant 'never reaping more than what the forest produces in new growth'³. In the case of this paper, sustainability is defined as upholding well-being over a lengthy, perhaps even an indefinite period of time; long after the humanitarian assistance has been offered to the people in need.

¹ The Oxfam Briefing Paper. 7th February 2012. Crises in a New World Order: Challenging the humanitarian project

² World Commission on Environment and Development (WCED). 1987. *Our Common Future*; Oxford University Press: New York. USA.

³ Wiersum, K.F. 200 Years of Sustainability in Forestry: Lessons from History. *Environ. Manage.* **1995**, *19*, 321–329.

The distinguishing characteristic of humanitarian response from the 20th century was that it advanced from an ad hoc emergency response to an institutionalised regime with worldwide coverage, several actors, rules and philosophies of action, government and private sources of finance, and structures for identifying needs and plotting stratagems of response. By the end of the 20th century, a wide range of humanitarian activities had come together in a recognisable international regime, this being as a result of an open meeting held by the UN Security Council in September 1999 to discuss “Human Security”, the protection of civilians in armed conflict⁴.

According to Encyclopaedia Britannica, a regime is “an institution with clear substantive and geographical limits, bound by explicit rules, and agreed on by governments.” A regime is usually preceded by a spatial adjective, that is, to the area over which it has jurisdiction and can be used to refer to all manner of substantive remits over which it has control and in this case, the regime referred to is the International regime. This is because, the actors operate internationally, with worldwide coverage, though held together by a set of rules, norms and principles.

Humanitarian assistance refers to the provision of material goods and services (medical aid, food, shelter and water) for certain categories of disadvantaged persons. However, in many instances, these persons have additional need for protection against physical violence and the loss of their legal rights. In this instance, humanitarian action is the term that covers both protection and assistance⁵.

Over the past decade, the number of people affected by humanitarian crises has almost doubled. The United Nations and its partners continue to respond to humanitarian needs and emergencies resulting from conflict and/or global challenges such as climate change and environmental degradation. The UN Office

⁴ Kathina M. J. and Suhrke A. 2002. Eroding Local Capacity; International Humanitarian Action in Africa. 19 Pp

⁵ Kathina M. J. and Suhrke A. 2002. Eroding Local Capacity; International Humanitarian Action in Africa. 21 Pp

for the Coordination of Humanitarian Affairs (OCHA), brings together humanitarian actors to ensure articulate response to emergencies, by mobilizing and coordinating effective and principled humanitarian action, advocating the rights of people in need, promoting preparedness and prevention, and facilitating sustainable solutions⁶.

The key humanitarian principles of: humanity, impartiality, neutrality and independence govern International humanitarian assistance. These are the fundamental principles of the International Red Cross and Red Crescent Movement (IRCRC), which are reiterated in UN General Assembly resolutions and enshrined in numerous humanitarian standards and guidelines⁷.

The work conducted by international humanitarian organizations, is normally guided by universal guiding principles and all organizations affiliated to it are bound by the same principles. The International Federation of the Red Cross and Red Crescent (IFRC), and its 187 members, the Red Cross Red Crescent National Societies, is guided by the IFRC Strategy 2020, whose three strategic aims are; to save lives, protect livelihoods, and strengthen recovery from disasters and crises; enable healthy and safe living; and to promote social inclusion and a culture of non-violence and peace⁸.

The IFRC implements its activities through a respected network of tens of millions of volunteers and members. They are organized through their National Red Cross or Red Crescent Societies that have special status by national laws to function as auxiliary partners enjoying a specific and distinctive partnership in the humanitarian service of their own public authorities. National Societies come together globally in the International Federation of Red Cross and Red Crescent Societies (IFRC) to represent shared beliefs and joint efforts, knowing that the

⁶ United Nations Website <http://www.un.org/en/sections/priorities/humanitarian-assistance/index.html>
Accessed on 23rd March, 2017

⁷ Global Humanitarian Assistance newsletter 2016 <http://www.globalhumanitarianassistance.org/data-guides/defining-humanitarian-aid>

chances of improving the lives of vulnerable people are increasingly influenced by the globalizing forces of an interconnected and interdependent world.

There is an urgent need to help states and communities to better adapt and quickly recover when such tragedies occur. 2015 marked the launch of post-2015 global agreements on sustainable development, disaster risk reduction and climate change. In 2016, the World Humanitarian Summit will develop the outcomes of these processes, exploring how humanitarian needs can be tackled in a fast-changing world.

1.3 Statement of the Problem

In October 1995, the United States Institute of Peace organized a day-long conference to discuss the assertion that humanitarian assistance on occasion aggravates human suffering and conflict rather than contributing to peace and well-being. The conference participants identified eight major steps Humanitarian organizations around the world can take to abate or eliminate the undesirable impact of humanitarian aid. The steps included: improving on planning; assessing need more precisely; analyzing the consequences of agreements negotiated to gain access to needy populations and obtain security for NGO personnel⁹.

The steps also included: providing assistance that will be beneficial to the particular targeted groups in the long term; contracting for autonomous monitoring and evaluation of assistance programs to diminish mismanagement and the diversion of supplies; making the empowerment of local institutions top priority; coordinating closely with other assistance organizations operating in a particular crisis situation; and deploying human rights monitors to help protect local populaces from being taken advantage of and repression by the warring factions¹⁰.

⁹ David R. S. 1995. Humanitarian Assistance and Conflict in Africa; United States Institute Of Peace. 30 Pp.

¹⁰ David R. S. 1995. Humanitarian Assistance and Conflict in Africa; United States Institute Of Peace. 31 Pp

It is on this background that an investigation on the factors that influence the sustainability of humanitarian assistance is prompted. To ensure that the billions of cash spent each year on humanitarian assistance are not wasted, closer coordination among relief agencies, a bigger dose of humility while working in unfamiliar cultures and better-trained relief workers would be of great help.

The propagation of disastrous situations which call for humanitarian assistance has since the 1990s encouraged aid agencies to reconsider the costs of humanitarian aid and contemplate structural reforms. Creating local capacity, popularly referred to as Sustainable development, has been promoted as the more cost effective approach to the delivery of humanitarian assistance, rather than the reliance and dependency created on the people in need through these international NGOs¹¹.

1.4 Objectives of the Study

The following objectives will guide the study.

1.4.1 General Objectives

The main objective of the study was to take a critical look at factors influencing sustainability in international humanitarian assistance in Kenya, with a bias towards the International Federation of the Red Cross and the Red Crescent (IFRC), whose country chapter is the Kenya Red Cross Society (KRCS).

1.4.2 Specific Objectives

- a) To measure the level of adherence of the humanitarian organizations to the humanitarian assistance core principles.
- b) To analyse the value-for-money in the projects implemented by the humanitarian organizations.
- c) To examine the attitude of the humanitarian organization staff towards their day to day tasks.
- d) To scrutinize the sustainability of the assistance given to the beneficiaries

¹¹ Kathina M. J. and Suhrke A. 2002. Eroding Local Capacity; International Humanitarian Action in Africa.

1.5 Research Questions

These research questions will guide the study;

- a) Do humanitarian organizations adhere to the core principles in the practice of offering humanitarian assistance?
- b) Do the humanitarian organizations ensure value-for-money when planning and giving assistance to their beneficiaries?
- c) Do the humanitarian organization staff view their job as routine or a call to serve humanity?
- d) How sustainable is the assistance offered by the international humanitarian organizations?

1.6 Study Hypotheses

The following are the study hypotheses and assumptions

- a) Humanitarian organizations adhere to the core principles of humanitarian assistance
- b) The value-for-money being a new concept in humanitarian assistance, most humanitarian organizations have started taking it into consideration when planning and implementing humanitarian assistance activities
- c) A higher percentage of volunteers view their work as a call to serve, compared to the fully employed staff, a majority of who view their work as routine
- d) The assistance offered by humanitarian organizations is not sustainable. Building resilience which will involve strategic planning and strict adherence to the strategic plans is vital.

1.7 Literature Review

According to the 2016 Global Humanitarian Assistance Report, 76% of people in great poverty, that is approximately 677 million people, live in countries that are environmentally vulnerable or politically delicate or both. People living in poverty are hardest hit by disasters and insecurity, which in turn make them more vulnerable to future shocks and more profound poverty. Nonetheless, the actual figure is probably higher than

what was captured, since it is often the most vulnerable who are missing from poverty data¹².

The top five most common disasters globally between 2005-2014 were Floods with 1753 occurrences, Earthquakes at 1,254, Storms at 988 occurrences, Heat waves at 262 and Drought at 223 occurrences globally. 48% of all disasters happened in Asia in 2014. Over 85% of those killed and 86% those affected worldwide were also in Asia. The higher attribution of deaths in Asia comes in a year, which also saw a lower mortality rate in the Americas where 8% were killed compared to the 25% average, with Asia recording 2,556 deaths, followed by Africa with 1,522 deaths, Americas with 1,242, Europe with 846 and Oceania at 147 deaths¹³.

A curious pattern emerges from the voluminous statistics that trace the financial appeals of the International Red Cross Movement during the last century. In the 1920s, the graph jumps wildly from one year to another. The Red Cross appeals in 1921 for 180million Swiss francs for victims of famine and civil war in Russia. In 1922, it appeals only for 72,000 francs, this time for earthquake victims in Chile. The next year, the graph shoots up again, to a total appeal of 366 Million to assist victims of the earthquakes in Japan, and social arrest and famine in Germany. This trend carried on until World War II until the 1950s¹⁴.

According to the IFRC, the crises appeared to occur with greater unpredictability, one year demanding very large expenditures, while the other years requiring only a minor appeal or none at all. By the 1970s, a new pattern emerges that by the end of the century has solidified to date. The appeals no longer vary sharply from one year to the next, instead, they have stabilized into an almost straight line, the Red Cross appeals almost every year for about the same amount of assistance to meet humanitarian emergencies.

¹² Global Humanitarian Assistance Report 2016

¹³ IFRC Website <http://www.ifrc.org/Global/Documents/Secretariat/201510/WDR%202015.pdf>. Accessed on 23rd April, 2017

¹⁴ *Ibid*

As a response to these crises, new actors have taken a larger part in humanitarian action and various partnership models have arisen, including cash-transfer programmes (CTP) and remote management of operations by using local organizations and partners to provide aid. The increasing scale of needs, the persistence of protracted crises and the interplay of new risks have led to a continued global deficit in the capacity of Governments and humanitarian organizations to respond, suggesting a need for a shift in the way in which Member States and the United Nations and its partners prepare for and respond to humanitarian crises towards a more anticipatory approach.¹⁵

As reported in the Global Humanitarian Assistance Report, 2016, as conflicts continued in 2015, including in South Sudan, Yemen, Syria and Iraq those living in forced displacement reached another record high of over 65 million people, with most displaced people remaining in middle or low-income countries in their own regions. In the same year, disasters caused by natural hazards affected an estimated 89 million people. This included those affected by large-scale, sudden-onset emergencies such as the Nepal earthquake, though less high-profile and localised events undoubtedly affected many more.

According to the 2005 World Disaster Report, a number of ‘Neglected crises’ and ‘Neglected emergencies’ were a common occurrence, as some crises in different parts of the globe appeared to get more attention compared to others. These partial response perpetuated suffering among the neglected vulnerable communities in unprecedented ways. The disregard presents itself in many forms such as: some unreported crises, unfunded, uncounted, or triggered by a secondary, unexpected event. Other crises are ignored because governments keep them secret, or aid organizations find it awkward to operate, or decision-makers misunderstand appropriate responses. Beneath all such crises is a deeper disregard of social vulnerability to disaster.

¹⁵ www.ifrc.org/where/appeals/index.asp Accessed 23rd April, 2017

A good example is the 2005 hunger in Malawi. Malawi, one of the poorest countries in the world, faced a severe food crisis in 2005 and 2006, with 40 per cent of the population, nearly 5 million people, in need of food aid as a result of poor rains and insufficient access to food, seeds and fertilizers. Many poor households had not been able to rebuild their reserves after previous food crises. They coped by selling belongings, cutting meals, eating leaves, taking children out of school, engaging in sex work and stealing. When a state of emergency was finally declared, food aid flooded in but appeals for the seeds and fertilizers needed to boost recovery were neglected. The best way to avoid future food crises in the region is to help governments invest in sustainable agriculture and rural livelihoods. Otherwise the cycle of recurrent hunger and short-term response will continue.¹⁶

As the worldwide community adopted the post-2015 development and disaster risk reduction frameworks, it acknowledged that development cannot be sustainable without the risk of crises being addressed proactively as a joint priority. Global challenges, such as climate change, environmental degradation, rapid population growth and unplanned urbanization, are all contributing to people's increasing vulnerability to natural disasters. These trends will alter the landscape of future environmental disasters and humanitarian crises.

Humanitarian assistance has at all times been a highly politicized activity. This is so because, the funds given out go a long way in influencing the partisan economy of the beneficiary nations, and the funding has always been swayed by the political considerations of the contributor governments¹⁷. Despite the contentions and practices of humanitarian actors seeking to ensure that their actions confer no military advantage, and are driven solely on the basis of need, the humanitarian principles of neutrality and impartiality are under constant assault. Blatant differences between the amount and type of humanitarian assistance given to various countries facing acute crises show that humanitarian aid has never been disbursed solely on the basis of need.

¹⁶ IFRC Website. World Disasters Report 2006. <http://www.ifrc.org/en/publications-and-reports/world-disasters-report/wdr2006/>. Accessed 23rd April, 2017

¹⁷ Devon Curtis. 2001. HPG Report. Politics and Humanitarian Aid: Debates, Dilemmas and Dissension.

Essential to the improvement of the efficiency, effectiveness and accountability of crisis prevention and response is transparency of funding. Getting to know how much funding is offered; specifically so, how much of that assistance is received by the people affected, is a prerequisite for highlighting reforms in humanitarian financing and monitoring their advancement, as well as ensuring better value for money and accountability to donors and recipients. Reporting to the IATI Standard provides the opportunity to strengthen the transparency of humanitarian assistance.

The post-2002 aid operation in Afghanistan clearly exemplified that those agencies who directed their action towards determining how Afghans should flourish undermined the neutrality of humanitarian action and found themselves unable to fulfil their primary purpose of helping those in need, regardless of the side of the conflict on which they were found¹⁸. It is a similar story in Somalia today, with those aid agencies seeming to be supporting one side rejected by the other to the disadvantage of all those in need.

Humanitarian Ethics should be read and well understood by everyone involved in humanitarian action in headquarters, in field capitals and on the ground. It does not offer answers to ethical dilemmas, but rather, provides the tools necessary to think through what an ethically sound response to dilemmas might be for individuals and organizations. If relief agencies do not make a clear choice about whether their aid should be neutral, impartial and independent, belligerents may well make the choice for them, considering them to be enemies and treating them accordingly.

The World Disaster Report 2015 reports that the spread of the Ebola virus in 2014 was unparalleled in its scope and magnitude in West Africa. As the epidemic erupted largely in Guinea, Sierra Leone and Liberia, it caused in the death of about 10,000 people and infected roughly around 25,000 people (Global Ebola Response 2015). Ebola reminded the West African region of the dangers and challenges to its political stability, economic integration and development, and generally the security of its populace¹⁹.

¹⁹ The International Federation of Red Cross and Red Crescent Societies. 2015. World Disasters Report. <http://reliefweb.int/report/world/world-disasters-report-2015> (accessed 25 March 2017).

More than 50 years after Ghana's independence, Kwame Nkrumah's plea to face the challenges to survival still holds true in the West African region. Not only pandemics, but especially the combination of the creeping and sudden effects of climate change as well as violent conflicts prompt and/or exacerbate food insecurity, mass displacement, poverty and insecurity. The number of both man-made and natural disasters has gone up in frequency, scope and severity during the past few decades.

As captured in the OCHA Status Report 2015²⁰, such violence is often directed against noncombatants and thus triggers large population displacements and shortages of food and water, which rapidly turn into humanitarian emergencies, for instance in refugee camps. The causes and effects of the humanitarian crises are inter-connected and transnational, such as those that led to and followed the surge of violence perpetrated by the Nigerian originating radical group Boko Haram.

As a result of the violent assaults against civilians, since May 2013 about 1.5 million people have been displaced and approximately 90% of the Internally Displaced People (IDPs) live in punitive conditions with no or difficult access to healthcare, water and sanitation facilities. Moreover, malnutrition and food insecurity affects 4.6 million people in the conflict-affected areas. The violence and severity of their consequences is a problem of regional concern, as about 157,000 refugees and 53,000 returnees have swept into Cameroon, Niger and Chad, placing an additional burden on the already defenseless communities²¹.

In Kenya, vulnerable populations across Kenya repetitively face several other challenges, including high food prices, periodic flooding, disease outbreaks, localized inter-communal clashes, and limited access to health and WASH services that contribute to unrelenting humanitarian needs in Kenya. Although recurrent drought has affected Kenya for years, droughts are becoming increasingly frequent. In late 2010 and early 2011, severe drought situations following unfavourable rainfall resulted in severely

²⁰ The OCHA Status Report. 2015. Global Humanitarian Overview Status Report 2015
<http://reliefweb.int/report/world/global-humanitarian-overview-statusreport-june-2015> (accessed 21 March 2017)

²¹ *Ibid*

deteriorating food security conditions among pastoralists in the northern part of Kenya and people in the rain-dependent marginal agricultural areas. Affected people experienced limited access to safe drinking water, lack of food and agricultural resources, and loss of livelihoods²².

The United States Agency for International Development (USAID), the Kenya Red Cross Society, World Vision, Care International and very many other humanitarian organizations channel millions of shillings to ensure that the dignity and quality of life among Kenyans is assured. Despite of the presence of these organizations in their hundreds, Kenya, just like its neighbour South Sudan (although in less magnitude) still continues to encounter many crises, many of which, had the humanitarian assistance given been sustainable enough, the country would not have to go through.

While funding from donor national societies contributed the largest share of KRCS's income in 2009 and 2010, 30.8% and 28.5% respectively, moneys from income generating activities (IGAs) were not far behind in the two years, consisting of 26.6% in 2009 and 28.0% in 2010. The KRCS acknowledges to not knowing the precise income for the whole Society, this is despite the fact that there is some income and expenditure detail in its annual report. This is mostly the case because locally raised income both at regional and county level remains uncounted for by the headquarters.

Moreover, there may be some duplication in counting when funds move between branches/counties and headquarters, as well as in the recording of costs recovered from projects. The Society through the KRCS strategy 2011-2015 aimed at being able to calculate the exact income made nationally when all channels of funds are consolidated. Whether this was achieved or the strategy timeline was extended is yet to be documented²³.

²² <https://www.usaid.gov/crisis/kenya> Accessed on 8th April, 2017

²³ A global Humnitarian Assistance report on KRCS

<http://www.globalhumanitarianassistance.org/report/kenya-red-cross-resource-flows-and-the-humanitarian-contribution/> Accessed on 4th April, 2017

1.8 Significance of the Study

The study may be important to among others; The Government of Kenya, who can utilize the findings of this study for effective formulation of policies that will help strengthen the role of international humanitarian organizations based in the country and their national societies as auxiliary partners in alleviating human suffering, improvement of lives and livelihoods as well as in the achievement of national development goals as the Kenya Vision 2030.

The study may be of help to KRCS, as it may help the society to critically look at its progress and image among its beneficiaries and general public, thus draw points on how best to improve the organization's performance while at the same time enhancing organizational productivity while being true to their core principles.

Future researchers may possibly use the outcomes of this study to enable concentrate their attention on the inadequacies of this study and critically analyse and identify any gaps. The findings of the study may contribute to the vast pool of knowledge; while the recommendations will help the academicians to do further researches hence acquiring more knowledge on the topic and other related researches.

1.9 Justification of the Study

Over the recent past, the world has seen an increase in disasters, conflicts and calamities, both man-made and natural. This has consequently marked a rise in the number and type of humanitarian relief organizations which ran to the affected population to offer help and reprieve from what ails them. In a large majority of the instances, this help is welcome, necessary and serves its intended purpose of alleviating human suffering, restoring dignity and livelihood to the affected people. This study however aims at investigating the sustainability of such assistance and uncovering the factors that influence these sustainability.

1.10 Theoretical Framework

The research was guided by the Constructivism theory, a theory of international relations proposed and developed by Nicholas Onuf by 1989 who thought up the term. It became

widely accepted among scholars with a series of significant articles and books written by among other scholars Alexander Wendt, whose core argument was the refutation of the neorealist position, according to which anarchy must certainly lead to self-help²⁴.

In the Constructivist account, of significance are not necessarily the variables of interest to scholars; that is military power, international institutions, trade relations, or domestic inclinations because they are objective truths about the world as we know it, but rather because they have certain social connotations²⁵. This connotation is constructed from a complex and specific mix of norms, history, ideas, and beliefs which scholars must comprehend if they are to explain State conduct.

The role of non-State actors more than other approaches has also emphasized by this theory of Constructivism. For instance, scholars have come to appreciate the role of transnational actors like NGOs or transnational corporations in shifting State opinions about issues like international trade or even the use of land mines in war.

1.11 Research Methodology

This section provides a systematic depiction of the research methodology that was used to answer the questions raised in the first chapter. The methodologies to be used includes research design, target population, sampling design, data collection methods and instruments and finally the data analysis methods and procedures.

Research Design

The study employed descriptive research design to gather both quantitative and qualitative data. Descriptive survey counts a representative sample, which allows inferences to be made about the population as a whole. Descriptive surveys indicate how many members of a population have a certain characteristic. Descriptive designs statements within the survey have been designed to avoid double-barrelled statements, avoid double-negative statements, avoid prestige bias, avoid leading statements and avoid

²⁴ Jackson Sorensen. Introduction to international relations. https://e-edu.nbu.bg/pluginfile.php/147644/mod_resource/content/0/jackson_sorensen_Intro_in_IR_chap_6.pdf.

²⁵ A Wendt Social Theory of International Politics. 2000. Cambridge.

assumption of prior knowledge. Statements will also be formulated as to allow the respondents to respond on equal terms on factors influencing sustainability in international humanitarian assistance in Kenya, the case study of the Kenya Red Cross Society.

Target Population

The population for a study is the aggregate from which a sample is taken. It is that group (usually of people) from whom conclusions are drawn ²⁶. The target population comprised of stakeholders of international humanitarian organizations, drawn from the Kenya Red Cross Society (KRCS), who provided all the necessary information and give a multi-faceted view on the humanitarian assistance offered by the International Organization. The respondents included staff and management of KRCS, direct beneficiaries of KRCS projects and the indirect beneficiaries of the KRCS projects (relatives of the direct beneficiaries).

The target population were the project officers, county and country coordinating staff of Kenya Red Cross Society, as well as some direct beneficiaries of KRCS projects and programmes and few indirect beneficiaries of KRCS projects and programmes. This target population comprised of: forty KRCS staff, eighty direct beneficiaries and eighty indirect beneficiaries of KRCS projects and programmes. This information is summarized in the Table 1.1.

Table 1.1: Target Population

Category	Target Population	Percentage %
KRCS staff	20	10%
KRCS direct beneficiaries	66	33%
KRCS indirect beneficiaries	114	57%
Total	200	100%

Source: Author (2017)

²⁶ Khan J. A. 2008. Research Methodology. APH Publishing Corporation. New Delhi.

Sampling Procedure

The sample is any group of measurement selected from a population; it is a sufficient or adequate part of the total population of the study drawn in such a way that the sample statistics was representation of the study²⁷. The population target was found to be very high in comparison with the actual sample size. This prompted to the alteration and modification to the actual sample size. The researcher used Stratified random sampling method. The reason for this is because the target population is big enough for the application of the method and the method will enable the researcher source information from different people across the population under investigation. The researcher will obtain a sample size by taking a certain percentage of the target population from each category. The sample size was as below:

Table 1.2: Sample Population

Category	Target Population	Sample Size	Percentage %
KRCS staff	20	5	10%
KRCS direct beneficiaries	66	17	33%
KRCS indirect beneficiaries'	114	28	57%
Total	200	50	100%

Source: Author (2017)

Data Collection Methods and Instruments

The data collection was by use of questionnaires and interviews. Questionnaires were adapted since they enabled data collection over a wide population, it saved on time and the data obtained was easy to analyse. The researcher used both structured and unstructured questions avoiding being inflexible and to quantify data especially where structured items was used.

²⁷ Khan J. A. 2008. Research Methodology. APH Publishing Corporation. New Delhi.

The questionnaire was personally served to the respondents, during which, they was asked to fill out the questionnaires in their own time, thus overcoming the possible challenge of personal biases. The questionnaires was individually distributed to the sample population. In the cases where the researcher notes that the respondent cannot read or write, the researcher will conduct interviews, aimed at capturing the same information to be captured by the respondents using the questionnaires. Thereafter, the information/data/response was collected from the respondents without any influence whatsoever.

Reliability and Validity

Validity is also ascertained being defined here as the precision and meaningfulness of interpretations that are based on research results. It is a degree to which results obtained from the analysis of the data essentially represent the phenomena under study. Validity has to do with how precisely data obtained in the study represents the variables of the study²⁸. The quality of research study can be affected by validity of measurements obtained. The data collecting instruments was subjected to validity and reliability testing by giving the three questionnaires to my supervisors for scrutiny and objective comments. Validity and reliability also was ascertained through a pilot study.

For effective qualitative and quantitative data collection I used two categories of data. They include:

- a) **Primary data.** This included data collected by the participants of this research project. As earlier stated, my data was collected by two main methods namely, questionnaires and interviews. The researcher used a hybrid of closed and open-ended questionnaires, as well as the use of structured interviews. The interviews will consist of questions covering the research objectives to ensure effective coverage of the research topic. Questionnaires are a cheap method of data collection and easy to use. They are also easy to analyse and interpret because the answers are standardized.

²⁸ Khan J. A. (2008). *Research Methodology*, New Delhi, APH Publishing Corporation

- b) **Secondary data.** This includes relevant data collected by other parties other than the researcher. It is the already documented data. These include: Internet Sources, organization periodicals, Journals, Newspaper Articles, Books, Government documents for example, The Kenyan Constitution, vision 2030, and data from government departments for example, the Kenya National Bureau of Statistics (KNBS) among others.

Data Analysis Methods and Procedures

Data analysis is the process of systematically searching and arranging field findings for presentation²⁹. Data was analysed using qualitative and quantitative methods. Quantitative data from questionnaires was analysed using descriptive statistics such as frequency distribution, mean and percentages. The qualitative data collected was methodically arranged into topics consistent with the research objectives from which conclusions and generalizations was made. Data was presented using tables, pie charts and graphs.

1.12 Scope and limitation of the Study

The study was carried out at the National Society of the IFRC, which is the Kenya Red Cross Society (KRCS). The focus of the study is to take a critical look at the factors influencing sustainability in international humanitarian assistance in Kenya, the case study of the Kenya Red Cross Society. The target population of the study will comprise of 200 respondents drawn from the different categories of stakeholders in humanitarian assistance. The study comprised of staff and management of KRCS, direct beneficiaries of KRCS projects and the indirect beneficiaries of the KRCS projects, that is, the relatives of the direct beneficiaries. The study was take a period of three months to complete.

²⁹ Khan J. A. (2008). *Research Methodology*, New Delhi, APH Publishing Corporation

1.13 Chapter Outline

The study paper is arranged in the following format:

Chapter one outlines the introduction to the study, statement of the problem, the research objectives and research questions, as well as the literature review, theoretical framework and research methodology to be used in the study.

Chapter two discusses the current status of international humanitarian assistance, encompassing the politicization and commercialization of the humanitarian action, an interference which may possibly deter the humanitarian organizations from adhering to their core principles and consequently affect humanitarian assistance efforts.

Chapter three provides keen investigations and discussions on the Issue of building resilience among the people in need of humanitarian assistance, vis-à-vis Sustainable development

Chapter four provides an exhaustive look at the ‘value for money’ concept among the international organizations, with a view of looking at whether the cost per beneficiary is sustainable and realistic and if it is put into consideration during humanitarian assistance programme implementations, looking also at the organization staff attitude at work that may affect the achievement of this end.

Chapter five provides discussions, conclusions, recommendations and study areas for further research.

CHAPTER TWO

THE CURRENT STATUS OF INTERNATIONAL HUMANITARIAN ASSISTANCE

2.1 Introduction

This chapter discusses the current status of international humanitarian assistance, encompassing the politicization and commercialization of the humanitarian action, an interference which may possibly deter the humanitarian organizations from adhering to their core principles and consequently affect humanitarian assistance efforts.

2.2 Status of Humanitarian Assistance

As lingering disasters and internal conflicts become more common and more deadly, the impact on citizens has swelled greatly. The Post-Cold War conflicts caused over five million casualties, and 95 percent of these have been civilians (non-combatants). An estimated 35 million people were affected in different ways by conflict worldwide in the year 2001. As argued by the former Secretary-General of the United Nations Mr. Kofi Annan, it is increasingly true that "the main aim of conflicts is the destruction not of armies but of citizens and entire ethnic groups³⁰."

USD 24.5 billion was received in 2014³¹ as global humanitarian aid, marking an increase of over 11 percent from the year 2013. This gigantic jump, especially on the backdrop of the 1970s figure of USD 1 billion³², signifying that ways for supporting disaster and conflict prevention must be increasingly sought, as complex emergencies continue becoming increasingly more obstinate.

According to the World Disaster Report of 2015, the IFRC reported that there were 317 natural disasters in 2014 globally, affecting 94 countries. These led to 8,186 Deaths caused by these disasters, 5,884 being people killed by technological disasters. In China

³⁰ <http://www.beyondintractability.org/essay/humanitarian-aid> Accessed on 20th June 2017

³¹ This is according to the 2015 Global Humanitarian Assistance Report

³² Cahill, K. (2013). *History and Hope*, New York.

alone, 58 million people were affected by droughts, floods and storms, a number that contributed to an average of 107 million people worldwide.³³

By the end of 2015, 65.3 million People were forcibly displaced, compared to 59.5 Million people at the end of 2014, easily making this is the highest figure ever recorded by UNHCR. Additionally, as a result of conflict and violence, there were 40.8 million internally displaced People worldwide at the end of 2015. The rate at which people were fleeing war and harassment soared from 6 people per minute in 2005 to 24 people per minute in 2015. Measuring these numbers against the global population of 7.4 billion people, one in every 113 people globally is now either an asylum-seeker, internally displaced or a refugee. 22.5 million People each year since 2008 which is the equivalent of 62,000 people every day are displaced as a result of weather-related disasters³⁴.

Contrary to the time-honored principle of political neutrality most faithfully observed by the International Committee of the Red Cross, a number of humanitarian workers and volunteers assert that some conflicts in Africa require political involvement by NGOs. Some also argue that NGOs should provide humanitarian assistance only when local populations and factions agree to conditions that will ensure the most effective use of relief supplies³⁵.

2.3 Factors Influencing Sustainability of International Humanitarian Assistance

There are several the factors that influence sustainability of International Humanitarian Assistance operations in Kenya. Scholars in the humanitarian world have long been fascinated by this subject. In this section, a review of some of the available literature on these factors is presented.

2.4 Availability of Funding

Adequate resources are “absolutely fundamental” in order to provide satisfactory responses. According to existing literature, since the beginning of the year 2010,

³³IFRC 2015. <http://www.ifrc.org/Global/Documents/Secretariat/201510/WDR%202015.pdf> Accessed on 23rd April, 2017

³⁴ UNHCR, 2016.

³⁵ David R. S. 1995. Humanitarian Assistance and Conflict in Africa. United States Institute of Peace. USA

humanitarian funding requirements have amplified by \$1.5 billion, bringing the total target to \$>5 billion. Donors' response to appeals for funding in 2009 was the best ever, at \$4.6 billion, constituting 49 per cent of requirements. Despite that affirmative response, unmet humanitarian requests were also at their peak levels at around \$4.8 billion³⁶.

Literature review from many sources provides worrying trends of reduced humanitarian aid. The influx of resources for 2010 only slightly lagged behind that of previous years, despite earlier uncertainties that the global downturn would sap resources set aside for calamities. Diminishing contributions from the international community, who had pledged less than a third of the funds needed for the first half of 2010 forced humanitarian organizations to close essential lifesaving programs in Pakistan's Swat valley and surrounding areas, as well as in the Federally Administered Tribal Areas (FATA). The Pakistan Humanitarian Forum³⁷ opines that for the people benefiting from these programs, this means less access to basic services such as water, sanitation and healthcare, insufficient funds or lack of it has devastating impact on the lives of people affected by disasters.

Mr. John Holmes, the Under-Secretary-general for Humanitarian Affairs, requested donors to continue with their efforts to ensure that people struck by disaster or conflict receive the help they require. Significant decline of humanitarian assistance would not only cause a serious humanitarian crisis affecting human rights to food, health and adequate shelter, but it would also pose a grave threat that it would trigger instability in a brittle peace situation.

Unavailability of funding is equally life threatening if people displaced by conflict are forced to return to their previous residence for lack of humanitarian assistance. In Pakistan, the cease fire between government and Houthis in February 2010 made it possible for humanitarian agencies to finally gain access to Sa'da. But the funding is reduced their abilities to deliver assistance to an estimated a quarter of a million of internally displaced people.

³⁶ Economic and Social Council .2010.

³⁷ Oxfam. 2010.

A survey conducted by the UNHCR in February 2010 found that the main concerns of IDPs regarding their return home are the security conditions in Arcus of return, risks of renewed fighting, and the presence of mines³⁸.

According to the Ministry of Special Programmes in Kenya, the participating organizations mandated with handling disasters in Kenya are faced with insufficient budgetary allocation and restrictive donor support; such that the amount of money made available for Disaster Management is much less than the realistic amount actually needed to manage successfully.

Additionally, there are other interconnected problems such as the excessive turn-around time for proposals to realise money in the non-food sub-sectors. This is as a result of the inadequate technical handling capabilities. Five percent of the community development land and development fund had been set aside in all the districts by the government for disaster management purposes. Resultant to poor funding and reallocation of development funds during times of emergencies, development priorities and Disaster Risk Reduction initiatives were always undermined.

With increased Disaster occurrences, the available funds have been too thinly spread out to be effective. This rising demand for funding has made the Government of Kenya increasingly dependent on development partners to fund Disaster Management initiatives, in the on-going crisis involving international financial downturn and global recession, which is of course a precarious funding position to be in.

A significant decrease in humanitarian aid would not only cause a severe humanitarian crisis affecting human rights to food, health and adequate shelter, but there is also a serious risk that it would trigger instability in a still very fragile peace situation. Unavailability of funding is equally threatening if people displaced as a result of conflict are forced to return to their previous residence for lack of humanitarian aid. In Pakistan for instance, the cease fire between government and Houthis in February 2010 made it

³⁸ Yemen Times. 2010.

possible for humanitarian agencies to finally gain access to Sa'da. Funding crises however reduced their abilities to deliver assistance to an estimated a 250,000 of internally displaced people³⁹.

The Government of Kenya has increasingly become dependent on development partners to fund Disaster Management initiatives, and this is especially as a result of the rising demand for funding. This is a dangerous funding position to be in, especially with the continuing crisis involving international financial depression and global recession; compounding to these problems of potential National earnings, owing to reduced exports, diminished tourist arrivals, incessant inflation and other complicating trade relations⁴⁰.

2.5 Personnel Training

The humanitarian aid sector faces a growing skills shortage, at a time when it aspires to expand the scale, quality, and impact of its response to humanitarian needs. Rapid staff turnover has been identified as one of the major constraints on both stall capacity building and organisational learning. A study undertaken for Oxfam GB supports previous findings that traditional human-resource practices in the humanitarian field, with many staff employed on short-term contracts, have inhibited skills development and constrained programme and organizational learning⁴¹.

Shortage of Logistics Experts in the field is a major challenge of humanitarian organizations. Humanitarian organizations were impacted by the scarcity of trained and experienced logisticians in the field. The Oxfam survey found that 88% of the organizations had to reallocate their most experienced logisticians from other assignments, such as Darfur, to staff the Tsunami relief efforts⁴².

³⁹ A survey conducted by the UNHCR in February 2010 found that the main concerns of IDPs regarding their return home are the security conditions in areas of return, risks of renewed fighting, and the presence of famine 'Yemen Times (2010).

⁴⁰ Ministry of Special Programmes, February 2009

⁴¹ Frances R. et al, 2006.

⁴² Mohamed et al. July, 2006.

The Tsunami and Darfur relief effort illustrated the need to create a pool of trained and experienced logistics professionals at the international and national levels who can be deployed on short notice. Training, particularly at the field level, will help build competency and skills, and enable logisticians to create common processes, standardization and vocabulary across organizations promoting professionalism and collaboration Fritz Institute.

Another challenge faced by humanitarian agencies is high staff turnover. As trained and highly skilled international and local staff move between agencies or leave the sector, invaluable expertise and experience is lost and programmes suffer. It has sometimes been presented as a reality that humanitarian agencies have to live with, but it has also been blamed for reducing the effectiveness of programmes as a result of discontinuity in staffing and loss of institutional memory. Yet, no one has attempted an in-depth study offering a detailed consideration of the causes and consequences of staff turnover in the humanitarian sector⁴³.

The impact of turnover extends to the humanitarian sector as a whole. At the individual level, humanitarian professionals are forced to carry the burden of high turnover among colleagues. At programme level, excessive management turnover creates considerable disruption, undermining quality, causing inefficiencies, weakening stakeholder relations and limiting organisational memory. Agencies can find themselves trapped in a perpetual cycle of hiring and deploying new staff, with the risk that avoidable mistakes are repeated and staff become disheartened or eventually quit⁴⁴.

Agencies also suffer financial costs and loss of productivity each time an individual leaves a project and moves to a new one or the sector as a whole, the current shortage of mid-level and senior field managers, which is to some extent related to excessive turnover, encourages unhealthy competition for international staff, even though the pool

⁴³ A paper produced by the Overseas Development Institute (ODI) aims to fill this gap by providing guidance and ideas for further action at agency and sector level. It is based on research by People in Aid and the Emergency Capacity Building Project and on over 200 interviews with aid workers, humanitarian organisations, think-tanks and donor agencies

⁴⁴ Loquerico, D et al., (2006).

of local staff remains largely untapped for the development of senior managers. When staff turnover itself becomes one of the causes of turnover, then an investment to reverse the tide will have double value⁴⁵.

Also related to personnel training is competence. Staff competence is the most significant weak point in current humanitarian agencies. Although many humanitarian organizations have excellent and dedicated people within their staff, senior managers have not always committed the human and financial resources necessary for responsible disaster management. A systemic weakness in the humanitarian sector is its failure to recruit, train, and retain high quality managers. Field based managers, often do not have the competence to manage security reliably and well. Training is widely recognized to be one of the most effective means of improving staff competence, but the majority of field staff is not trained⁴⁶.

2.6 Community Participation

One of the most important paradigm innovations called for in the humanitarian assistance sector is towards the assistance recipient as an active consumer rather than a passive victim. While many agencies might support this in principle, the practice still appears to lag some way behind the accepted ideal. There is far more work in this field at the conceptual level than in practice. Recent publications on the Tsunami highlighted that it was not always easy to ensure community participation, especially as some agencies and organizations sometimes tended to approach the issue with only limited enthusiasm.

Many, it appears, lacked on consultations as a programmatic afterthought, and did not approach it as a key component of the project's success. Indeed, several NGOs have acknowledged that mistakes could have been avoided if a more participatory approach had been used earlier on. Many have had to readjust along the way to respond to realities and needs on the ground⁴⁷.

⁴⁵ *ibid*

⁴⁶ European commission report, (2004).

⁴⁷ UNDP. 2009. p. 12

Promoting community participation in managing social services is a new orthodoxy among governments and international organizations. It has circumnavigated the globe, appearing in countries as varied as the United States and Malawi, Nicaragua and Bosnia* Herzegovina. It is a buzzword in international development work, edging out the "poverty alleviation" and "human capital" themes that came before it⁴⁸. And it has emerged recently in programs that promote international humanitarian assistance for countries or regions at war or in conflict, thus establishing itself in the new relief paradigm⁴⁹

Even though it is an essential ingredient of quality relief operations, participation is not simple; it requires:

1. Means, which are rarely available, especially during the early phases of diagnosis and programme design⁵⁰. The cost of appropriate design is however much lower than that of maintenance and redress after the failure of a programme designed and implemented with limited involvement of those it aims to serve.
2. Expertise in social sciences which is not often included in the technical package mobilized by NGOs and other actors. Donors should support agencies that carry out studies in social anthropology, as these improve understanding of social and power structures within affected populations and ensure that the right voices, and not always the voices of the most powerful, are heard.
3. A high level of openness from both donors and assistance agencies: Participation implies listening to a population's needs and demands and therefore being ready to do things that neither the agency nor the donor was thinking of doing. Agencies and donors that engage in participatory policies and who adopt the values related to participation have to be ready to accept many challenges and change their processes and methods.

⁴⁸ Botchway, 2000; Cornwall, 2003; Ackerman; 2003

⁴⁹ Dana Burde et al., (2004).

⁵⁰ https://eedu.nbu.bg/pluginfile.php/147644/mod_resource/content/0/jackson_sorensen_Intro_in_IR_chap06.pdf Accessed on 10th June, 2017

4. Commitment to gender-balanced participation: The importance of empowering women is widely recognised. Yet it requires courage, an appropriate cultural approach and, in certain contexts such as Afghanistan, a good communications strategy.
5. Serious commitment to transparency and downward accountability: If participation is to make sense, it has to be based on confidence which is difficult to build, and easy to damage. Transparency and being genuinely accountable to the affected population can contribute to establishing confidence in a sustainable way.
6. A more concerted approach to reporting by donors: Too often, humanitarian assistance workers spend more time in front of their computer screens responding to incoherent reporting requirements than in the field, engaging with the populations and improving diagnoses. Developing an orderly reporting system would probably go a long way to encouraging participatory approaches.

Some of these recommendations require commitment from aid agencies and adequate resources. By creating the conditions which would allow agencies to follow these recommendations, donors would make it possible for agencies to improve the way they engage with affected populations, their social structures and their institutions. Thus agencies would not only listen to disaster victims, but also give them some control over their fate and their future⁵¹.

Yet in international development and humanitarian assistance, the beauty of participation is often in the eye of the donor or facilitator, and less frequently in the eye of those who participate. This is not to say that participation should not be promoted, but rather, to note that it is a complex tool that can be manipulated in multiple ways to varying effect. Supporting community associations to deliver social services when a state remains weak can significantly revise the relationship of the state to its citizens. To the extent that it works to increase the efficiency and quality of social services, participation may provide a patchwork solution to systemic problems, veiling more profound and contentious issues of structural change and political representation⁵².

⁵¹ Francois and Veronique G. (2008).

⁵² Dana Burde et al. (2004).

2.7 Mismanagement of Funds

Corruption and bribery are a huge, albeit unacknowledged, cause of ineffectiveness and inefficiency in humanitarian response. Of course, there are some genuine NGOs and faith-based organisations, and government policy and the operations manual have recognised the capacity of NGOs and the private sector to do a fair job. But some watchdog and security institutions become compromised and irrelevant in the face of corruption. In the Zambian disaster response, community and political leaders short-changed the people of what rightly belongs to them.

Corruption in the humanitarian business takes place at all levels, the loser is the disaster victim, who cannot pay for eligibility, and very few genuine disaster victims can offer anything as a bribe. Thus, genuine disaster victims usually do not benefit as much as they deserve to from humanitarian assistance, which itself is becoming difficult to come by Humanitarian practice network.

The worst impact of corruption is the diversion of life-saving resources from the most vulnerable people, caught up in natural disasters and civil conflicts. That this occurs is hardly surprising: many countries in which humanitarian emergencies occur suffer high levels of perceived corruption. According to a report by the Feinstein International Center and Tufts University, and the Humanitarian Policy Group at the UK's Overseas Development Institute in 2009, "there remains little knowledge about the extent or consequences of corruption in humanitarian assistance, little shared knowledge about preventing corruption under emergency circumstances beyond a few standard practices, and a degree of taboo about confronting it publicly," noted the report, which is based on research involving seven major international NGO's.

The report explains that, contrary to widespread perception, corrupt practices extend well beyond financial misappropriation and include many forms of "abuse of power", such as cronyism, nepotism, sexual exploitation and coercion and intimidation of humanitarian staff or aid recipients for personal, social or political gain, manipulation of assessments, targeting and registration to favour particular groups and diversion of assistance to non-target groups. Corruption damages staff 'morale and an agency's reputation. In short, it

undermines the humanitarian mission that is the raison d'etre of emergency relief operations Transparency International.

2.8 Management of Logistics

The word 'logistics' comes literally from the medieval Latin word 'logisticus' of calculation; from the Greek word 'logistikos' meaning skilled in calculating; from 'Logizesthai', to calculate and also from 'logos', reckoning, reason. It means many things to many people. To the military, it is 'the science of planning and carrying out the movement and maintenance of forces, that is, those aspects of military operations that deal with the design and development, acquisition, storage, movement, distribution, maintenance, evacuation and disposition of material'⁵³.

Logistics in this domain dates back to the Napoleonic era when the Marc'chal de logis, the military officer, was responsible for organizing the camp facilities or troops at war⁵⁴. In business, it is defined as, a planning framework for the management of material, service, information and capital flows and includes the increasingly complex information, material, communication and control systems required in today's business environment.

To many humanitarians, the definition of logistics is open to loose interpretation. Senior logistics representatives working together in an advisory committee for humanitarian logistics set up by the Fritz Institute recently define it as 'the process of planning, implementing and controlling the efficient, cost-effective flow of and storage of goods and materials as well as related information, from point of origin to point of consumption for the purpose of meeting the end beneficiary's requirements'⁵⁵. Essentially for humanitarians, logistics is the processes and systems involved in mobilizing people, resources, skills and knowledge to help vulnerable people affected by disaster.

Inadequate and short-term financing, connected to the risk of diversion of donor agency investments in conflict areas, restricts agencies' ability to invest in adequate context

⁵³ DoD. 2002.

⁵⁴ Leindorfer K. and Wassenhove V, (2004).

⁵⁵ Thomas and Mizushima, (2005)

analysis and to adapt their planning accordingly. In terms of planning, inadequate needs-assessment or targeting and a lack of co-ordination of priorities among different agencies may limit their positive impact on the effectiveness of humanitarian aid in post-conflict settings.

During implementation, logistical problems such as delays, theft and sabotage as well as concerns for staff security, are often recurrent challenges that may be alleviated by continual analysis of the political, social and economic context of intervention. However, lack of co-ordination, mandate constraints and donors' distance from realities on the ground often diminish the positive impact of humanitarian response.

2.9 Overview of Some of the Corporate Crises in the World

In recent years humanitarian assistance provided in situations of war and disaster by donor governments, international organizations like the United Nations (UN), and, particularly, nongovernmental organizations (NGOs) in situations of war and disaster has saved hundreds of thousands, perhaps even millions, of lives. More than 20 million people in north-east Nigeria, Somalia, South Sudan and Yemen are facing famine or a credible risk of famine over the coming six months. With access to people in need and sufficient funding, the United Nations and its partners can avert famine and provide the necessary relief and support where famine already exists⁵⁶.

The provision of food and medical supplies to refugees, displaced persons, and those near the battlefields in Somalia, Rwanda, The Democratic Republic of Congo, Mozambique, Angola, Liberia, Sudan, and elsewhere constitutes one of the most heroic and life-preserving activities of our time⁵⁷. Major NGOs like IFRC, CARE, Save the Children, Catholic Relief Services, World Vision, and many less well known organizations have been on the front lines relieving desperate human suffering in disaster stricken parts of the world.

⁵⁶ <https://www.unocha.org/where-we-work/current-emergencies> Accessed 7th August 2017

⁵⁷ *Ibid.*

Without respect for the most fundamental idea that “we help you and you don’t harm us”, MSF felt that it was impossible to continue. After nearly two years of absence, however, and a serious deterioration in the state of the health sector, MSF is investigating ways to return at the strong behest of Somali leaders and communities, and of other aid agencies. But imbuing Somali leaders with a sense of responsibility for the safety of humanitarian workers and proper use of resources remains a major challenge.

After all, the head of an important Somali NGO that was found by a UN internal investigation⁵⁸ to have fraudulently claimed or was unable to substantiate spending of nearly 80% of \$2.9 million allocated to emergency food and water during the 2011 famine is today a senior adviser to the president of one of Somalia’s regional administrations. Somalis are aware of these accusations, yet no one seems prepared to hold him to account for depriving his compatriots of millions of dollars of emergency aid. While responding to many humanitarian crises, the UN and its humanitarian partners are also engaged in responding to three Level Three (L3) emergencies. This is the global humanitarian system's classification for the response to the most severe, large-scale humanitarian crises. The L3 emergencies currently are channelled towards Iraq, Yemen and Syria.⁵⁹

Other corporate crises are in the DRC (Kasai Crises), Ethiopia, Nigeria and Somalia,⁶⁰ where in Ethiopia for instance, back-to-back seasons of poor or non-existent rainfall in 2015, exacerbated by the strongest El Niño phenomenon on record in the same year, led to the worst drought in decades in Ethiopia in 2016. Together with the Government of Ethiopia, humanitarian partners assisted at least 10.2 million people with food, and the largest emergency seed response in the country was rolled out to at least 1.5 million households. International donors contributed close to US\$1 billion over the course of the response, while the Government of Ethiopia contributed more than \$700 million. The

⁵⁸ Confidential UN investigations into three Somali NGOs were leaked to Fox News and published in January 2015. See George Russell, “Millions in UN Somalia Aid Diverted; Hints that Some Went to Terrorists”, Fox News, 20 January 2015, available at: www.foxnews.com/world/2015/01/20/millions-in-un-somalia-aid-diverted-hints-that-some-went-to-terrorists/ (last accessed in June 2017).

⁵⁹ <https://www.unocha.org/where-we-work/current-emergencies> Accessed 7th August 2017

⁶⁰ Ibid

combined Government and partners' effort helped save countless people's lives and averted a major humanitarian catastrophe in Ethiopia⁶¹.

In Somalia, the number of people in need of assistance has increased from five million in September 2015 to over 6.2 million in February 2017 - more than half of the country's population. This includes a drastic increase in the number of people in "crisis" and "emergency" from 1.1 million six months ago to a projected 3 million between February and June this year. The situation for children is especially grave. Some 363,000 acutely malnourished children are in need of critical nutrition support, including life-saving treatment for more than 71,000 severely malnourished children. Some 1.9 million people may die of preventable diseases due to lack of access to primary health care services⁶².

The maternal mortality ratio for Somalia is among the highest in the world at 732 maternal deaths per 100,000 live births. Asylum seekers and returnees fleeing the Yemen crisis also continue to arrive in Somalia with almost 30,000 people received so far and more are expected in 2016, as well as Somali returnees from Kenya. This has significantly exacerbated the humanitarian situation, along with the El Niño phenomenon that intensified extensive flooding and severe drought, affecting an estimated 145,000 people⁶³.

The conflict in Nigeria's north-east provoked by Boko Haram has resulted in widespread displacement, violations of international humanitarian and human rights law, protection risks and a deepening humanitarian crisis. Coming into its eighth year, the crisis shows no sign of abating and is adding to the long history of marginalization and chronic underdevelopment as well as a higher rate of poverty, illiteracy and unemployment. Long standing environmental degradation contributes to eroding livelihoods for farmers in the north-east and fishermen in the Lake Chad region, while conflict has caused displacement and human suffering on a massive scale⁶⁴.

⁶¹ <https://www.unocha.org/ethiopia> Accessed 7th August 2017

⁶² <http://www.unocha.org/somalia/about-ocha-somalia/crisis-overview>. Accessed 7th August 2017

⁶³ Ibid

⁶⁴ <http://www.unocha.org/nigeria/about-ocha-nigeria/about-crisis>. Accessed 7th August 2017

Since the start of this conflict in 2009, more than 20,000 people have been killed, thousands of women and girls abducted and children drafted as so-called "suicide" bombers into the insurgency. Up to 2.1 million people fled their homes at the height of the conflict, 1.9 million of whom were, as of June 2017, internally displaced and over 200, 000 people are still in Cameroon, Chad and Niger, after having been forced to flee⁶⁵. These alarming developments have necessitated extensive humanitarian relief efforts and development assistance to rebuild disaster-stricken countries after disasters strike.

2.9.1 Conceptual Framework

The conceptual framework shows the relationship between the research variables of the study. The conceptual framework shows the identified variables and their interrelatedness that mitigate in the research framework.

A conceptual framework developed for this study shows the relationship of the factors that influence sustainability of International humanitarian assistance in Kenya. The dependent variable in this study is implementation of humanitarian assistance programs. The independent variables in this study are the four identified factors which are implementing agency capacity, cultural factors, and security concerns and funding. Another factor that can affect the implementation of humanitarian assistance is government policy.

Availability of funds: When a disaster strikes, humanitarian aid agencies have to respond as fast as possible to save lives. If no funds are available, the initial response may not be Practicable or at best, may not have any meaningful impact on the lives of the victims of the disaster. Even organizations which rely on volunteers need some funds to mobilize and sustain the volunteer workers in operation.

Personnel training: Technical skills are needed in most areas of humanitarian intervention such as first aid, rescue operation, tracing, and distribution of food and nonfood items, conflict resolution and peace building. These skills should always be

⁶⁵ Ibid

readily available and on standby even in the absence of disasters because most disasters are unpredictable. Training of personnel in various skills may present a challenge to most organizations and the organizations are almost always caught unaware during times of crisis.

Community Participation: The importance of community participation ingredient in the effectiveness of humanitarian aid delivery presents itself in the need to harness local resources to solve local problems. Experience shows that incorporation of local participation leads to more durable solutions to local problems. This applies mainly to crisis related to post conflict situations.

Mismanagement of funds: Mismanagement of funds is directly related to availability of funds. Even if funds are available initially, it was of no value to the intended recipients if it is diverted to unintended use or embezzled. Worse still is if the custodians of the funds are bribed to favor a section of less deserving beneficiaries leaving out the most vulnerable groups.

Management of logistics: The Planning and mobilization of material, non-material and human resources is necessary to ensure that the target groups benefit from a humanitarian aid delivery. If a humanitarian aid organization plans and implements its activities poorly, the whole process becomes ineffective.

2.10 Summary of Literature

The provision of International humanitarian assistance or humanitarian response consists of the provision of vital services such as food aid to prevent starvation by aid agencies, and the provision of funding or in-kind services like logistics or transport usually through aid agencies or the governments affected by the disaster. Available literature is rich on the factors influencing sustainability of international humanitarian assistance. The central themes of the literature are efficiency and effectiveness of the delivery process. Some of the factors outlined by the various researchers that influence the effective sustainability of humanitarian assistance include corruption or mismanagement of funds, community participation, availability of experts or trained personnel, availability of funding and

logistics planning in aid delivery. Some researchers further advocate for proper planning, adequate needs assessment and proper coordination of priorities among agencies as tools to enhance effective aid delivery.

CHAPTER THREE

BUILDING RESILIENCE AMONG THE PEOPLE IN NEED OF HUMANITARIAN ASSISTANCE

3.1 Introduction

This chapter provides keen investigations and discussions on the Issue of building resilience among the people in need of humanitarian assistance, vis-à-vis Sustainable development. Is humanitarian action aimed at alleviating present suffering without considering the need for helping the affected people to not only recover fully and be prepared in case the disaster strikes again? This is the question to be delved into within this chapter. Building resilience among the people in need of humanitarian assistance.

3.1.1 What is Resilience?

The capability of a person, a household, a community, a nation or a region to endure, cope, adapt, and quickly recover from pressures and shocks such as drought, violence, skirmishes and other natural calamities without compromising long-term development is what is known as resilience.

3.1.2 The EU Approach to Resilience

The expenses that arise from humanitarian crises are ever-increasing day by day, as climate change brings about more severe weather-related disasters. Rapid population growth, land and eco-systems' degradation, scarcity of natural resources, urbanisation, fragility of states and complex conflicts also contributes to the global pressures, consequently contributing to more expenses in helping the people survive, adapt and thrive.⁶⁶ There is an urgent need to help people and communities build their resilience, that is, help them to endure and recover from increasing shocks and stresses.

⁶⁶<https://www.hsph.harvard.edu/news/magazine/spr12-humanitarian-aid-leaningvanrooyen/> Accessed on 3rd April, 2017
<http://www.ifrc.org/Global/Documents/Secretariat/201510/WDR%202015.pdf> Accessed on 23rd April, 2017

Achieving resilience in the developing countries requires all EU actors (humanitarian, development and political) to work together differently and more effectively. This entails more concerted actions and efforts between humanitarian assistance and development cooperation, from the beginning of a crisis to the aftermath of a disaster or crisis. This involves the development of shared valuations, strategies and implementation plans to build resilience.

The EU Commission presented its Communication in October 2012, titled, 'The EU Approach to Resilience - Learning from Food Security Crises' to confirm its strong commitment to fostering resilience in crisis-prone nations. The Communication is operationalized by the 'Action Plan for Resilience in Crisis Prone Countries 2013-2020', which sets the ways forward for a more effective EU collaborative action on building resilience, bringing together humanitarian action, long-term development cooperation and on-going political engagement. This approach incorporates earlier EU commitments to risk management, including initiatives on disaster risk reduction, social protection, climate change adaptation, and nutrition and food security.

In all EU development and humanitarian assistance, resilience has to be factored. Coordinated planning and programming between EU and Member States humanitarian and development actors, based on joint analyses and identification of risks and vulnerabilities, are applied in more and more nations (for example: Kenya, Bangladesh, Ethiopia, Jordan, Mali, Senegal, Nepal, Central African Republic, Haiti,).

The European Union Emergency Trust Fund, which was announced at the Valletta Summit on Migration in November 2015, is a good example of drawing on all EU strengths to address the sources of destabilisation, forced displacement and irregular migration by encouraging economic and equal opportunities, strengthening the resilience of vulnerable people, and enhancing security and development.

3.1.3 The EU Action Plan for Resilience

In the European Union's Action Plan for Resilience, the steps to be taken for delivering early results are well defined and support provided for collecting best practices on

effective support for populations in need. Priority is given to the most at risk countries that face persistent crises and that are highly susceptible to peril.

To ensure success in implementation of the Action Plan, strong collaboration among EU Member States, other partner countries, the affected communities themselves as well as international organisations, NGOs, the private sector and the research community is highly recommended and required.

PRIORITIES:

Supporting the development and implementation of national resilience capacities

Early priority in the action plan is given to the most at risk countries and regions where both EU humanitarian and development assistance are existing. The goal is to develop shared assessments, strategies and implementation plans to build resilience. The EU is already incorporating resilience into an increasing number of national indicative programmes and multi annual indicative programmes, especially in fragile and crises-prone countries, mostly where the European Commission's Humanitarian Aid and Civil Protection department (ECHO) has been present for a longer period and where development is seen as the best way of building resilience.

Improving methodologies and tools

Effective mechanisms and guidance are being established to support the European Commission, the European External Action Service and the EU Delegations, as well as all relevant stakeholders in implementing their resilience commitments. In partnership with the United Nations and other partners the European Union developed InfoRM (Global Open Source Risk Management for Humanitarian Crises and Disasters), the first global tool to assess the risk of humanitarian crises and help better prevent, mitigate and prepare for them.

Promoting innovation, learning and advocacy

A common understanding of what works and what does not work, and why, is required. The European Union and partners are working on new approaches and systems of monitoring and research, to establish better practice and to increase or to further advocate

for resilience. In Haiti and the Caribbean, for example, the EU has been at the front in developing tragedy insurance for quick pay-outs when a disaster strikes, both at the national and local level.

MAIN INITIATIVES:

The most vital initiatives now are the Global Alliance for Resilience Initiative (AGIR) in the Sahel and West African Region and the Supporting Horn of Africa Resilience (SHARE) in East Africa. In addition, the European Commission is working in a disaster reduction programme in Africa, the Caribbean and the Pacific, as well as in Global Climate Change Alliance programme.

The European Commission will increasingly incorporate flexibility and preparedness for early action in its development programmes. In December 2015, the EU mobilised €25 million in support of countries affected by 'El Niño' in Africa, Central America and the Caribbean. The main aim of this initiative is to counter to the drought situation while building early anticipatory actions and preparedness capabilities at the same time.

The EU also introduced a "Resilience Marker" to track activities in humanitarian projects to decrease risks and to reinforce coping capacities to avoid or reduce future humanitarian needs. In 2015, the EU launched the Resilience Compendium: 29 practical examples of DRR and Resilience by the EU, by governments, other donors, agencies, civil society organisations (CSOs) and vulnerable communities.

The 2016 EU Resilience Forum, which is also Europe's leading forum on development and international co-operation, is bringing together representatives from donors, civil society organisations, think-tanks,⁶⁷ and partner countries highlighting the importance of local action to address instability and protracted displacement.

⁶⁷ <http://tiny.cc/Onr9k>; Guidelines on the Use of Military and Civil Defense Assets to Support United Nations Humanitarian Activities in Complex Emergencies (2003): <http://tiny.cc/KS3uo> Accessed on 13th July, 2017

3.1.4 Examples of Projects Contributing to Resilience

West Africa

In West Africa, the European Union is collaborating through AGIR with regional and national authorities who are setting up a food security reserve system in case of food crisis. The programme brings together farmers, local authorities, national governments and regional institutions. Effective coordination allows the mobilisation of the most appropriate response to specific food crises reducing the negative side effects often produced by traditional emergency food distributions.

Ethiopia

In Ethiopia, selected areas that have previously regularly been affected by drought and where humanitarian aid has been provided occasionally are the main areas where resilience is being built. EU assistance there includes support to productive activities, water, sanitation and hygiene, nutrition and health. A longer-term presence in these areas is anticipated, whereby a rapid change from a predominantly humanitarian to a development mode and vice versa was possible if the situation so requires.

Vietnam

School-based disaster preparedness sessions funded by the European Union have taught approximately 500 000 school children and over 15 000 primary school teachers how to prepare for and cope with disasters involving all concerned people in drafting child-friendly safe-school plans. This is mainly because Vietnam is recurrently hit by tropical storms, causing floods and landslides. This program uses state-of-the-art and child-friendly methods, such as the simulation exercises and drills.

Senegal

In Senegal, EU development cooperation contributes to building resilience through several ways: by supporting producer organisations in the development of agricultural insurance and health insurance for producers so they can cope better with individual or external shocks; by supporting NGO projects at local level in areas of highest vulnerability; and by supporting the government with an ambitious sector reform

contract. Resilience activities focus predominantly on the lowliest populace, which is highly vulnerable to food crises.

Nepal

In Nepal, early warning systems have decreased losses of life and property. When flood levels on the Rapt River breached the warning level, communities downstream were informed through a radio and telephone network. They had time to shift their indispensable and movable assets to higher and safer places. When the flood reached the villages, all potentially affected people in those locations had already reached safety.

Haiti

In Haiti, an initiative supported by the EU has provided low-income micro-entrepreneurs with affordable insurance against weather-related risks. Thousands are now better protected against losses resultant from natural calamities, preventing them from default on debts and/or problems to get loans when they need funding to recover from a crisis. Despite being a highly disaster-prone country, Haiti has one of the world's lowest insurance rates, so efforts are being made to scale up these endeavours.

Mali

In Mali, a joint humanitarian and development framework addressing the structural causes of food and nutrition insecurity in northern Mali was developed under the AGIR programme. The framework allows a better articulation and complementarity between the different humanitarian and development aid instruments towards greater resilience, as well as a better alignment of their interventions with the priorities identified under AGIR.

3.2 Contribution of the International Red Cross and Red Crescent Movement in Building Resilience

Originally the principles of humanitarian action only applied during war times; however, it is now a common position, laid out for instance in the Codes of Conduct of the

International Red Cross and Red Crescent Movement⁶⁸ and the Oslo Guidelines⁶⁹ that humanitarian aid must be provided to all crisis-affected people. At the end of the 20th century, the increasing complexity of humanitarian crises provoked a paradigm shift in the discourse and practice of humanitarian assistance.⁷⁰

The multiple and long-term consequences of violent conflicts, natural disasters and poverty-related issues such as malnutrition also demanded a change in focus and scope of humanitarian assistance: immediate relief for survival was no longer enough to alleviate current and future suffering, and strategies of donors and receiving countries required the inclusion of long-range disaster risk reduction and peace building activities⁷¹.

The IFRC for example stipulates in its 1994 revised Code of Conduct that emergency relief ‘shall attempt to build disaster response on local capacities’ (para. 6) and ‘must strive to reduce future vulnerabilities to disaster as well as meeting basic needs’ (para. 8). Thus there have been an increasing number of links between humanitarian assistance and long-term development cooperation with the goal to decrease poverty and foster peace and security, by empowering local institutions through capacity development, fostering participation and promoting human rights. The merging of humanitarian, security and development principles and objectives gave rise to a new paradigm of humanitarian action and thereby further blurred the lines between humanitarian and development engagement⁷²

The reappearance of humanitarian disasters, notwithstanding remarkable investments in relief and development efforts, is a major factor leading to uncertainties about the effectiveness of aid. An inadequate synchronization and strategy configuration between

⁶⁸ IFRC, International Red Cross and Red Crescent Movement (1994): Code of Conduct <http://www.ifrc.org/en/publications-and-reports/code-of-conduct/> (accessed 20th July, 2017)

⁶⁹ Oslo Guidelines (2007): Guidelines on the Use of Foreign Military and Civil Defense Assets in Disaster Relief, Rev. <http://www.refworld.org/pdfid/47da87822.pdf>.

⁷⁰ Guidelines on the Use of Foreign Military and Civil Defense Assets in Disaster Relief (2007) <http://tiny.cc/Onr9k> ; Guidelines on the Use of Military and Civil Defense Assets to Support United Nations Humanitarian Activities in Complex Emergencies (2003): <http://tiny.cc/KS3uo>

⁷¹ Nascimento, Daniela (2015). *One step forward, two steps back?* Humanitarian Challenges and Dilemmas in Crisis Settings, The Journal of Humanitarian Assistance <http://sites.tufts.edu/jha/archives/2126> (Accessed 11 July 2017)

⁷² *Ibid*

actors of humanitarian aid and international development cooperation has blamed on lack of sustainability of humanitarian efforts and ineffective preventative disaster management in development initiatives.⁷³

In Kenya, the existing techniques of disaster management are being challenged by other factors such as environmental degradation demographic changes, and climate change, which have resulted to upsurge in chronic vulnerabilities, the frequency, and severity of disasters, while enhancing the reduction of the level of predictability.⁷⁴

Despite these challenges, the concept of building resilience has become a novel approach that promises to provide solutions to many of these issues by uniting the efforts of humanitarian and development actors. This will lead to strengthened capacities of the vulnerable population to develop effective measures of managing disasters. Accordingly, humanitarian organizations such as Red Cross are currently developing measures aimed at mainstreaming resilience. However, existing literature show that for those participating in projects and programs there is no clarity of the meaning of resilience or the techniques that should be employed to enhance its building and promotion (Humanitarian Policy Group, 2012: 1).

“We see resilience as the ability of individuals, communities, organizations or countries exposed to disasters, crises and underlying vulnerabilities to anticipate, reduce the impact of, cope with, and recover from the effects of adversity without compromising their long term prospects.”⁷⁵

This definition highlights four major characteristics of resilience: (i) Resilience is a concept applicable to a range of levels from individuals to the global human society. (ii) There is an outlined technique on the abilities, existing within a system that can manage shocks and changes. (iii) The essence adaptation, during the continuum of a stressful event, is being highlighted. (iv) Any given plan for dealing with a misfortune must be

⁷³ USAID. (2012). *Building resilience to recurrent crises: USAID policy and program guidance*. U.S. Agency for International Development. Washington, DC

⁷⁴ SIDA. (2012). *Resilience, risk and vulnerability at Sida*. Swedish International Development Cooperation Agency. Stockholm

⁷⁵ IFRC. (2012). *The road to resilience: Bridging relief and development for a more sustainable future*. International Federation of Red Cross and Red Crescent Societies. Geneva

sustainable to enhance resilience. This is an indication that efforts directed towards resilience must safeguard progress advancements on the long term and enhance the reduction of the negative effects of disasters and crises on development while harvesting their potential of promoting transformation.

The stated “shocks and stresses” can take any given form. For example, rapid onset shocks, which include earthquakes, volcanic eruptions, tsunamis, hurricanes and terrorist attacks, are the most outstanding considering that they attract most media attention. There are also gradual onset stresses, such as droughts, political and economic crises, or environmental depletion. These are not any less disastrous to the development of a society considering that they are associated with poverty and vulnerability. The concept of resilience is applicable to virtually all settings yet in Kenya it is most commonly used while focusing on climate change adaptation and disaster risk reduction (DRR).⁷⁶

From the definition, in resilient system, in which a community has the capacity of anticipating any given crisis, they can develop preventative steps to ensure effective response in cases where disasters strike and afterwards “build back better than before”. Inasmuch as this assumption may sound perfectly fine and logical, it is rather difficult to clearly point out what that means in humanitarian assistance. To avert the ambiguity of this abstract concept of resilience, the IFRC has considered the need to enlighten humanitarian workers and communities by publishing a list of six major attributes of resilient communities based on an extensive investigation undertaken in the aftermath of the 2004 Tsunami:

“A safe and resilient community...

- 1. ...is knowledgeable and healthy. It has the ability to assess, manage, and monitor its risks. It can learn new skills and build on experiences.*
- 2. ...is organized. It has the capacity to identify problems, establish priorities and act.*
- 3. ...is connected. It has relationships with external actors who provide a wider supportive environment, and supply goods and services when needed.*

⁷⁶ USAID. (2012). *Building resilience to recurrent crises: USAID policy and program guidance*. U.S. Agency for International Development. Washington, DC

4. *...has infrastructure and services. It has strong housing, transport, power, water and sanitation systems. It has the ability to maintain, repair, and renovate them.*
5. *...has economic opportunities, It has a diverse range of employment opportunities, income and financial services. It is flexible, resourceful and has the capacity to accept uncertainty and respond (proactively) to change.*
6. *...can manage its natural assets. It recognizes their value and has the ability to protect, enhance and maintain them.*”⁷⁷

3.3 The Cyclical Nature of Disasters

3.3.1 Natural Disaster

‘Disaster’ can be defined as ‘a serious disruption of the functioning of a community or society causing wide-spread human, material, economic and environmental losses, which exceed the ability of the effected community or society to cope using its own resources’ (ISDR 2008).

Since 1996, the number of disasters felt globally has been growing, with the incidence of geophysical disasters (that is, earthquakes, tsunamis) remaining steady; weather-related disasters have doubled⁷⁸. This major increase is further threatened by urbanisation, with ever increasing numbers of people living in towns and cities. Many urban centers lack the capacity to equip its residents adequately, exposing vulnerable populations to substantial disaster risk.

With large populations living in heavily crowded, ill-serviced accommodation, amounting to extremely vulnerable urban slums and the increasing prevalence of disaster, the need for disaster preparedness, effective emergency response and the consideration of adequate and sustainable recovery needs to be at the forefront of government and the humanitarian community. Disaster Risk Reduction (DRR) and resilience is a human rights imperative.

⁷⁷ IFRC. (2011). Characteristics of a safe and resilient community: Community based disaster risk reduction study. International Federation of Red Cross and Red Crescent Societies. Geneva

⁷⁸ DFID (2005) Disaster Risk Reduction: A Development Concern. Department for International Development (DFID) and Overseas Development Group (ODG) Publication.

3.3.2 Vulnerability and Resilience in Society

The resulting impact of a disaster is determined by the level of resilience and preparedness within a society, its infrastructure and its government⁷⁹. When a population is left vulnerable without access to critical provisions needed to withstand and recover from a disaster, in which population will suffer impacts that go far beyond a natural cause⁸⁰. The consequential effect on that population significantly increases their risk to future impacts, which could see that population entering a cycle of disaster that could cost millions of lives unless it can be broken.

To break this cycle, there is a need to recognise the hazards facing a society and their associated vulnerabilities, in order to mitigate them and build-in a level of resilience. There is a multi-faceted relationship that exists between development and disaster, which in part determines people's vulnerability⁸¹. The ability of a society to withstand adverse impacts, to which they are exposed, deems this state of vulnerability. This state is due in part to social and political networks, economic capital and access to key socio-economic resources⁸².

Strengthening and increasing access to these resources will reduce vulnerability by increasing resilience, where resilience is the ability of an individual or community to return to a previous (and good) condition after experiencing a crisis; high resilience in a community means it was less vulnerable⁸³.

Key factors that can determine a society's vulnerability to hazards include:

- Exposure to hazard: people who have limited access to resources will often have limited access to safe land and accommodation, therefore ending up in undesirable hazard prone areas, such as flood plains, steep hill sides and low lying coastal areas⁸⁴.

⁷⁹ Boshier and Dainty 2011.

⁸⁰ Boshier 2008.

⁸¹ Wisner et al. 2004; Wamsler 2008.

⁸² Boshier 2007.

⁸³ Bahadur 2010.

⁸⁴ Smith 1996; Boshier 2008; Oxfam 2011.

- Exclusion and marginalisation: people who have limited access to socio-economic resources, such as employment, credit, improved basic services, i.e. water and sanitation and health, and legal representation can be expected to have less capacity to manage and control decisions and events affecting them⁸⁵.
- Poverty: in terms of asset ownership, if a person has access to assets they can be a resource in a time of need reducing vulnerability⁸⁶
- Magnitude and temporal elements of natural events: seasonality of events can disrupt essential times for crop harvests and labour recruitment periods, which can severely hinder annual income and food security increasing vulnerability⁸⁷.
- Social connections: the level and strength of connections a person has to family and friends, as well as institutional connections, such as community leaders and civil society affects their level of vulnerability as these connections offer support and a safety net in times of need⁸⁸.

Building resilient societies is key to ensuring hazards do not hinder development progression and foster a continual degrading cycle of poverty. In low resilience societies disaster impacts was experienced at a greater scale and these societies will also have less tools for recovery. If an international humanitarian operation is launched within this affected country, ensuring that that society has the ability to survive and recover rapidly is fundamental. If resilience measures are not set in motion at crucial points in the ‘relief phase’ then recovery was prolonged, leading to a fragile state that is prone to future impacts of disasters, costing many lives and a huge unnecessary financial burden⁸⁹.

3.4 The Disaster Management Cycle

Many current models of humanitarian intervention, unfortunately, do not employ an approach that encompasses resilience building at the crucial time within a response, as noted in the previous section. Instead, current models are set up institutionally to respond solely to basic survival needs, that is, shelter, food and water. In some instances, this one-

⁸⁵ Blaikie et al. 1994; UNISDR 2008; Pasteur 2011.

⁸⁶ Sen 1981; Swift 1989; World Bank 1990 and Putnam 1993.

⁸⁷ Chambers 1983.

⁸⁸ Tobin 1999; Wisner et al. 2004; Boshier 2007.

⁸⁹ O'Donnell et al. 2009.

dimensional approach has the adverse effect on ‘potential recovery’ and the building of resilience within an affected society, for example, aid dependency, market disruption and weakened national entities⁹⁰.

The approach fundamental to the humanitarian intervention actually divides responsibility for survival and recovery sectorally and within a phased approach. This two-dimensional model presupposes that relief needs, that is, shelter, food, water etc., and recovery dynamics operate at distinct stages along a post disaster timeline. Presenting a model that does not conceptualise the idea that relief and recovery needs both begin simultaneously from day one. The immediacy of survival basics, such as shelter, food and water is fundamental and has shaped the thinking which humanitarian operations are built around. However, it does not represent the whole picture within emergency contexts and, consequently, has narrowed the view of the humanitarian sector to some of the basic realities in different post-disaster contexts.

The 2005 Indian Ocean Tsunami officially took 225,000 lives and made 2.5 million people homeless⁹¹. A year and a half after the disaster, most of the people who lost their homes were without permanent shelter and this was despite a well-funded and successful immediate humanitarian relief effort⁹². According to Oxfam, a year after the tsunami only 20% of people made homeless were in satisfactory permanent accommodation⁹³.

In September 2005, the Office of the UNs Special Envoy for Tsunami Recovery reported, it would take at least another 12-18 months to provide adequate temporary housing to all the displaced persons in Aceh alone, deeming this ‘an unacceptable situation that needs to be urgently addressed’⁹⁴. Similar inability to amount sufficient recovery was seen in Myanmar when Cyclone Giri hit in October 2010. Substantial emergency relief was distributed by the local authority, International and local Non-Governmental Organisations (INGO), the United Nations (UN) and others to provide basic needs, such

⁹⁰ HPN 2001; PAHO 2011.

⁹¹ According to the UN Office of the Secretary-General’s special Envoy for Tsunami Recovery 2005

⁹² Lloyd-Jones 2006

⁹³ Oxfam International 2005.

⁹⁴ According to the UN Office of the Secretary-General’s special Envoy for Tsunami Recovery 2005

as food, livelihood support, health services, reconstruction of schools, health services and temporary shelter. However, a year later there were still over a 100,000-people living with host families in the 4 worst affected townships.

Without additional support 60% of affected houses could not be repaired or rebuilt before the rainy season, increasing the risk of another humanitarian disaster. Even with the initial contributions by donors and ongoing government support, a significant financial gap threatened to hamper early to medium term recovery in Myanmar. These funding constraints have left the population extremely vulnerable. The slowing of support echoed the response after Cyclone Nargis hit in 2008, which left 140,000 dead and affected 2.4 million (UN 2011a). Only 1/3 of the US\$690 million needed for post-Nargis recovery covering to the end of 2011 was received.

These examples clearly demonstrate an inability to ensure strategy and programmes that are able to support recovery under a system of humanitarian relief, has often resulted in the creation of protracted crises. Unnecessary protracted relief situations can actually increase vulnerability within the affected population, as it extends their weakened state of resilience. This is further compounded through the negative side effects of humanitarian intervention that can occur, such as the distortion of markets, weakening of the private sector and aid dependency. These current relief approaches can often leave a society⁹⁵ highly exposed to future disaster. A clear example of this was seen in the case of the 2010 earthquake in Haiti and the resulting humanitarian intervention.

The epicentre of the 2010 earthquake in Haiti struck some of the most highly dense urban centers on the island, including the capital Port-au-Prince (PaP), where a quarter of the 10.2 million population live⁹⁶. Over 220,000 people were killed (UNDESA 2010) and 1.5 million made homeless. Thousands of INGOs flooded the country in the following weeks. With an immense emergency response and substantial funding received many of

⁹⁵ <http://reliefweb.int/report/world/world-disasters-report-2015> (accessed 25 March 2017).

⁹⁶ (Government of Haiti 2010).

the 1.5 million homeless were stuck in thousands of tent cities in and around PaP until 2012⁹⁷.

With the lack of government capacity, security issues, political upheaval and a severe lack of coordination and strategy within the humanitarian community, a transition from the relief phase was incredibly problematic. This situation resulted in a prolonged relief situation that carried on for over 2 years, which significantly hindered effective and sustainable recovery (DEC 2011a). The increased vulnerability of the affected population saw them exposed to a major cholera outbreak, which hit 9 months after the earthquake, where over 7000 people died and over 300,000 were hospitalised⁹⁸. This was followed by an annual hurricane season, causing severe flooding, death and the spread of disease.

With this incidence being experienced year on year by the 100,000s of whom were stuck in the temporary shelter until adequate recovery solutions were conceptualised and implemented⁹⁹. Funds will run out and Haiti needs to ensure that the thousands of tented cities do not turn into permanent slums that are not provisioned with even the most basic of facilities. A result that would further increase the vulnerability of the urban poor to future disasters¹⁰⁰.

It is fundamental to understand whether there were opportunities within these disaster responses to proactively stimulate recovery and if there were, why were they not utilised? Understanding the humanitarian mind-set, framework and resulting operations is key to ascertaining what is causing the ‘gap’ so often seen between relief, recovery and development and understanding what would be needed to link these currently separated sectors.

⁹⁷ IFRC. (2012). *The road to resilience: Bridging relief and development for a more sustainable future*. International Federation of Red Cross and Red Crescent Societies. Geneva

⁹⁸ Humanitarian Response 2012

⁹⁹ IFRC 2011; Davis 2012

¹⁰⁰ Oxfam 2011

3.5 Humanitarian Principles

Humanitarian principles provide the foundations for humanitarian action. The 4 key humanitarian principles are: humanity, neutrality, impartiality and operational independence. The United Nations humanitarian work is formally enshrined in two resolutions by the General Assembly. The first 3 principles are endorsed in General Assembly Resolution 46/182, which was passed in 1991. The fourth principle was added in 2004 under Resolution 58/114. The General Assembly Resolution 46/182 created a framework for humanitarian assistance and a set of guiding principles. Commitment to these humanitarian principles are also expressed at an institutional level by the vast majority of humanitarian organisations.¹⁰¹

Table 3.1: Humanitarian Principles

Humanity	Neutrality	Impartiality	Operational independence
Human suffering has to be dealt with wherever it is found. The purpose of humanitarian action is to protect life and well-being and ensure reverence is upheld for human beings.	Humanitarian actors ought not to take sides in aggressions or get involved in controversies of a political, racial, religious or ideological nature.	Humanitarian action should be carried out on the basis of need alone, prioritizing the most pressing cases of suffering and not discriminating on the basis of nationality, religious belief, race, gender, class or political sentiments.	Humanitarian action must be sovereign, receiving no influence from the political, economic, military or other ideas that any actor may hold with respect to areas where humanitarian action is being executed.

¹⁰¹ <https://www.usaid.gov/crisis/kenya> Accessed on 8th April, 2017

To add onto these four fundamental humanitarian principles, 481 institutions globally are party to the Red Cross/NGO Code of Conduct for operations in tragedies, which includes a commitment to adhere to these humanitarian principles¹⁰². According to the code, there are ten points of principle, which all humanitarian actors should observe in their disaster response undertakings. The code also lays out the relationships that organizations working in tragedies out to seek with donor governments, host governments and the UN system.

The International Federation of the Red Cross and Red Crescent uses this code to monitor its own standards of relieve conveyance and to reassure other agencies to set standards of the same quality¹⁰³. These principles and code of conduct are self-regulatory. To date, there is no global association for disaster response that holds any authority to sanction its members¹⁰⁴.

3.6 Principles of Conduct for the Kenya Red Cross and Non-State Actors in Disaster Response Programmes

- The humanitarian imperative is prime.
- Relief is given notwithstanding the race, faith or nationality of the beneficiaries and without adverse distinction of any kind. Relief priorities are arrived at by calculations and considerations made solely on need-basis.
- Aid will not be used to advance a certain political or religious position.
- We endeavour not to act as instruments of government foreign policy.
- We esteem culture and custom.
- We attempt to build disaster response on local capacities.
- Ways shall be found to integrate programme beneficiaries in the management of relief aid.
- Relief aid must endeavour to bring down future susceptibilities to disaster and thus meet populaces' basic needs.

¹⁰²IFRC. (2012). *The road to resilience: Bridging relief and development for a more sustainable future*. International Federation of Red Cross and Red Crescent Societies. Geneva

¹⁰³IFRC. (2012). *The road to resilience: Bridging relief and development for a more sustainable future*. International Federation of Red Cross and Red Crescent Societies. Geneva

¹⁰⁴ ibid

- We hold ourselves responsible to both those we seek to offer assistance to and those from whom we receive resources from.
- In our information, publicity and advertising activities, we shall recognise disaster victims as dignified human beings, not desperate objects¹⁰⁵.

OCHA works to encourage compliance from the entire humanitarian community in each humanitarian response. To do this, it promotes practical compliance measures within the Humanitarian Country Team through its engagement with government and non-state actors at all levels and through contribution in policy development in the United Nations Secretariat¹⁰⁶.

In 1997, the humanitarian charter and standards (the Sphere project) was established to improve the quality of humanitarian assistance and the accountability of humanitarian actors to their constituents, donors and affected populations¹⁰⁷. The Sphere project was started by a group of humanitarian INGOs together with the International Red Cross and Red Crescent Movement. Their goal was to improve the quality of their actions during disaster response and to be held accountable for them. From the project came a handbook for humanitarian practitioners which is frequently updated, that outlines the humanitarian charter and minimum standards to be applied in a response.

The Humanitarian Charter is a declaration of laid out legal rights and responsibilities, providing the legal and ethical framework to the protection principles and the fundamental and minimum standards that follow in the handbook. The standards are reflected in the handbook's four technical chapters: water supply, shelter, settlement and non-food items; sanitation and hygiene promotion; food security and ¹⁰⁸nutrition; and health action¹⁰⁹.

¹⁰⁵ Source: www.ifrc.org

¹⁰⁶ OCHA 2010a.

¹⁰⁷ The Sphere project 2012.

¹⁰⁸ Disaster Risk Reduction: A Development Concern. Department for International Development (DFID) and Overseas Development Group (ODG) Publication.

¹⁰⁹ The Sphere project 2012.

The Organisation for Economic Cooperation and Development (OECD) further advanced good working practice by laying down Principles for Good International Engagement in Fragile nations and circumstances¹¹⁰. These principles include: recognising the links between political, security and development objectives, taking context as a starting point, prioritising prevention, doing no harm, focusing on state-building as the central objective, promoting non-discrimination as a base for all-encompassing and steady societies, aligning with local priorities in different ways and contexts, acting fast, agreeing on practical coordination mechanisms between international actors, but stay engaged long enough to give success a chance and avoiding pockets of exclusion¹¹¹.

These philosophies having been developed provide support for humanitarian agencies as they carry out their function within the realms of humanitarian law, as well as offering guidance to help them realise effective response in operations.

3.7 Finance and Donors

At all stages in humanitarian response, decisions constantly have to be made about how, where and when to spend the limited financial resources. These decisions determine the types of parties that are supported, the support to be given and the type of needs that are met. Some of the mechanisms used in the allocation of financial resources to a disaster response include:

- The Common Appeals Process (CAP). This is a tool used by relief organisations to plan, coordinate, fund, implement and monitor their activities. It undertakes a process where agencies publish projects in the CAP document in a cohesive and uncompetitive manner, merging their efforts. It is the overall obligation of the Emergency Response Coordinator (ERC) to oversee this process, where the humanitarian state teams, who are headed by the Humanitarian Coordinator (HC), carry out the CAP process. The humanitarian state teams refer to cluster lead agencies, who authenticate the proposals to be included in the process¹¹².

¹¹⁰ OECD 2007.

¹¹¹ *ibid*

¹¹² OCHA Status Report (2015). Global Humanitarian Overview Status Report 2015 <http://reliefweb.int/report/world/global-humanitarian-overview-statusreport-june-2015> (accessed 21 March 2017)

Being the planning and programming instrument, the CAP contributes greatly to developing a more strategic approach to humanitarian action. As a coordination mechanism, the CAP nurtures closer cooperation between host governments, donors, aid agencies, and in particular, between NGOs, the Red Cross movement, IOM and UN agencies. Working together in the world's crisis regions, they produce a Common Humanitarian Action Plan (CHAP).

The CAP is more than just an appeal for money, as it includes coordination programme cycle elements, such as strategic planning, leading to CHAP (Common Humanitarian Action Plan), resource mobilisation, coordinating programme implementation, joint monitoring and evaluation (M&E) and reporting on results¹¹³.

- The Common Humanitarian Action Plan (CHAP) is a strategic plan for humanitarian response in a given nation or region. It provides: an assessment of needs, a common analysis of the context in which humanitarian assistance takes place, best, worst, and most likely scenarios, identifies roles and responsibilities, that is, who does what and where, offers a clear statement of longer-term objectives and goals and a framework for monitoring the strategy and revising it if necessary. The CHAP is the foundation for coming up with a Consolidated Appeal, and is as such part of the Coordinated Appeals Process (CAP)¹¹⁴.

- The Flash Appeal is a tool for structuring a synchronized humanitarian response for the first 3-6 months of an emergency. The Humanitarian Coordinator (HC) prompts it in consultation with all stakeholders. The Flash Appeal is issued within one week of an emergency and provides a brief overview of urgent life-saving needs, and may include recovery projects that can be executed within the timeframe of the appeal. Information required from agencies in flash appeals is less comprehensive than the CAP¹¹⁵.

¹¹³ *ibid*

¹¹⁴ OCHA Status Report (2015). Global Humanitarian Overview Status Report 2015 <http://reliefweb.int/report/world/global-humanitarian-overview-statusreport-june-2015> (accessed 21 March 2017)

¹¹⁵ *ibid*

- Central Emergency Response Fund (CERF) is a financial mechanism to offer agencies with monies to cover immediate expenditure in the aftermath of a crisis, while waiting for donor pledges to be transferred. The CERF was set up in 2006 with a total to date of US\$2.1 billion in contributions from 150 donors (Global Humanitarian Assistance 2011). Qualified beneficiaries include UN and IOM, but NGOs may indirectly benefit as well. The HC approves projects¹¹⁶.
- The Emergency Response Fund (ERF) is an un-earmarked pool of funds for unforeseen humanitarian need. The HC apportions these funds. However, the HC doesn't consult with national authorities¹¹⁷.
- The Common Humanitarian Fund (CHF) is an in-country collective mechanism, with the aim of making funding more flexible and predictable in accordance with the Good Humanitarian Donorship (GHD) principles. CHFs provide government donors with an opportunity to pool their un-earmarked contributions to a specific country, to enable¹¹⁸ timely and reliable humanitarian assistance. CHFs support cluster coordination and stronger humanitarian leadership as promoted by the humanitarian reform process that began in 2005. They allow the HC to fund in country. Disbursements from the CHFs are made available to UN agencies and INGOs that participate in the country's consolidated appeals process (CAP). A small proportion of a fund's budget, usually around 10%, is reserved for emergency response¹¹⁹
- The Disaster Response Emergency Relief Fund (DREF) is managed by IFRC to ensure that immediate financial support is available for Red Cross and Red Crescent emergency response to disasters. Money can be authorised and released within 24 hours¹²⁰

¹¹⁶ *ibid*

¹¹⁷ *ibid*

¹¹⁸ Characteristics of a safe and resilient community: Community based disaster risk reduction study. International Federation of Red Cross and Red Crescent Societies. Geneva

¹¹⁹ Global Humanitarian Assistance 2011

¹²⁰ IFRC 2012

- The Recovery and Reconstruction Fund is managed by the World Bank and the UN offers pooled funding for medium and large-scale disasters, within this mechanism there is the CHF¹²¹

The Financial Tracking Service (FTS), which is a real-time database, records the majority of aid flowing through these mechanisms. The FTS is used to track international humanitarian aid flows. The service is operated by OCHA and it records all reported international humanitarian aid (including that for INGOs and the Red Cross / Red Crescent Movement, bilateral aid, in-kind aid, and private donations).

This service helps to comprehend how financial resources are channelled through the humanitarian system, type of activities of focus, how well individual crises are resourced, that is, Shelter, WASH, protection, and the type of implementation partners used (government ministries, private sector, agencies, among others). The evaluation of the effectiveness and efficiency of a response in response to the context and the necessity is aided by tracking the humanitarian monies through the system, particularly project apportionment and dissemination¹²².

This is currently hindered however, by the lack of central repository of information indicating how relief has been expended, as well as the lack of a feedback mechanism that is meant to enable people affected by calamity to report on what has been given to them and when. The effectiveness and efficiency of the response is definitely hard to evaluate in the absence of this feedback which should capture what commodities and services are being given to the beneficiaries. In response to this need, an initiative has been agreed on amongst donors, aid recipient, national governments and civil society organisations called the 'International Aid Transparency Initiative'. This is an initiative that purposes to make information about aid-spending easier to access, use and understand¹²³.

¹²¹ Global Humanitarian Assistance 2011

¹²² <http://www.oecd.org/development/effectiveness/49652541.pdf> Accessed 16th August 2017

¹²³ IATI 2012.

Some funding mechanisms have been found useful by many donors, who opine that such mechanisms as; pooled funding mechanisms and common humanitarian funds, are useful in facilitating and coordination through government bodies. Some of these mechanisms however do not always involve government counterparts in their processes and dealings¹²⁴. There is a lack of objectives for donors to coordinate around and the only available guidance can be found in the GHD.

In 2003, the GHD initiative was developed detailing 23 principles and best practice guidelines to offer both a mechanism for encouraging greater donor accountability and a framework to guide official humanitarian assistance. The principles and guidelines were drawn up to enhance the effectiveness and unity of donor action, as well as their accountability to beneficiaries, implementing partners and local communities, with regard to the funding, coordination, follow-up and assessment of such actions¹²⁵.

Current financial mechanisms, donor government's aid architecture, that is that separate different types of financial assistance (relief, recovery, development) and donor basic requirements all have major influences on programmes carried out, as well as the overall success of a response. The case study below is an example from emergency responses embark on in the Indian Ocean tsunami of 2005, highlighting some key issues related to funding.

Indian Ocean Tsunami of 2005

After the Indian Ocean Tsunami, the US\$10 billion reconstruction estimate was met with US\$13.6 billion of committed funds for post-tsunami recovery¹²⁶. The Tsunami response was not the case of a lack of financial resources, but the lack of capacity and political will to spend it effectively, thus thwarting the recovery process¹²⁷.

¹²⁴ Global Humanitarian Assistance 2012.

¹²⁵ GHD 2012.

¹²⁶ According to the UN Office of the Secretary General's Special Envoy for Tsunami Recovery 2005.

¹²⁷ Lloyd-Jones 2006.

3.8 Key Players and Coordination

When a disaster strikes, it is only a formal request for assistance from the affected government¹²⁸ that can activate a response for International assistance from the international humanitarian community. When and if the government of that affected state feels they do not have the capacity and resources to respond to the needs of its people, they will initiate a ‘call’ to the humanitarian community for humanitarian assistance. Key players within the humanitarian community will then assess whether they wish to respond and if so, how. These main actors and their functions are discussed below:

Ñ **The host government** – This includes the central administration, ministerial branches as well as regional and local administration. The government of a disaster-affected country holds the power to allow access, set the regulatory and legal frameworks governing relief assistance, provide law and order, protection and technical assistance. They are also responsible for monitoring and coordinating external assistance (ALNAP 2010). It is therefore important to communicate, involve and partner with government in relief, recovery and rehabilitation activities, that is, if there are sufficient capacity.

Ñ **Donors** - Donor governments give the largest financial donations, such as USAID (United States), DFID (United Kingdom), AECID (Spain) and CIDA (Canada) and ECHO (European Union) among others.

- **The Inter Agency Standing Committee (IASC)** - Established in 1992, the IASC is the primary mechanism for inter-agency coordination of humanitarian assistance. It was established in response to United Nations General Assembly Resolution 46/182 on the strengthening of humanitarian assistance. It is a unique forum that involves 33 key UN and non-UN humanitarian partners¹²⁹. The committee designs policy concerning crisis response and reconstruction, they apportion tasks among agencies in humanitarian programmes and identify areas where gaps in mandates or deficiency of operational capacity are existent. They also, set a common ethical framework for all humanitarian

¹²⁸ IFRC 2012.

¹²⁹IASC. 2013. IASC Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response. An Inter-Agency Standing Committee Publication

activities and advocate for common humanitarian principles to parties outside the IASC¹³⁰.

Ñ **The Under-Secretary-General and Emergency Relief Coordinator (USG/ERC)** – The USG/ERC is responsible for the oversight of all emergencies requiring United Nations humanitarian assistance. They are the central focal point for governmental, intergovernmental and non-governmental aid undertakings. The ERC also heads the IASC and can appoint a Humanitarian Coordinator (HC) to make sure that all response efforts are well coordinated¹³¹. A Humanitarian Country Team (HCT) is under the leadership of the HC and it is comprised of organisations that undertake humanitarian action in country and that commit to participate in coordination arrangements. Its objective is to ensure that the activities of such organisations are coordinated, and that humanitarian action in country is principled, timely, effective and efficient, and contributes to longer-term recovery¹³².

Ñ **Cluster system** - In 2005, the Humanitarian Reform Agenda was introduced. It is a major reform in humanitarian coordination, whereby a number of new elements are set up to enhance predictability, accountability and partnership. The Cluster approach was one of these new elements. Clusters are sets of humanitarian organisations, both UN and non-UN, in each of the main sectors of humanitarian action, such as WASH (Water, Sanitation and Hygiene), Shelter, Protection, Logistics, Health and so on. They have clear responsibilities for coordination and are nominated by the IASC.

The HC and the HCT manage a humanitarian response through the clusters. All clusters have focal points, known as Cluster Lead Agencies, which function at the global and national level. Globally, Cluster Leads are mandated to strengthen system-wide preparedness and coordinate technical capacity to respond to humanitarian emergencies

¹³⁰ *ibid*

¹³¹ OCHA Status Report. 2015. Global Humanitarian Overview Status Report 2015 <http://reliefweb.int/report/world/global-humanitarian-overview-statusreport-june-2015> Accessed 21 March 2017

¹³² IASC. 2009. IASC Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response. An Inter-Agency Standing Committee Publication

in their respective sector. In specific countries, Cluster Leads serve as the focal persons for the state and the HC. They ensure that humanitarian activities are coordinated and effect change to the beneficiaries. They also provide last resort in their respective sector¹³³.

Ñ **UN agencies:**

- **OCHA** is the part of the United Nations Secretariat responsible for bringing together humanitarian actors to ensure a coherent response to emergencies. OCHA also ensures there is a framework, which each actor can contribute to the overall response effort.
 - In 1993, the **UN Disaster Assessment and Coordination (UNDAC)** which is a branch of OCHA was established so as to enable the UN and the states to coordinate incoming international assistance all over the country in the first phase of an emergency.
 - OCHA also established the **On-Site Operations Coordination Centre (OSOCC)** and the **International Search and Rescue Advisory Group network** to make available a link between international responders and the government of the affected country, as well as provide a platform for cooperation, coordination and information management among international humanitarian agencies¹³⁴.
- **UNOPS** is an operational arm of the United Nations, providing project management and procurement services, helping a range of partners carry out an array of relief and development programmes¹³⁵.
- In 1950, the **UN High Commission for Refugees (UNHCR)** was formed by the United Nations General Assembly. The agency is mandated to lead and coordinate international action to safeguard refugees and resolve refugee

¹³³ OCHA Status Report. 2015. Global Humanitarian Overview Status Report 2015
<http://reliefweb.int/report/world/global-humanitarian-overview-statusreport-june-2015> Accessed 21 March 2017

¹³⁴ *ibid*

¹³⁵ UNOPS 2012

problems globally. The main purpose of the commission is to safeguard the rights and welfare of refugees¹³⁶

- **The United Nations International Children's Emergency Fund (UNICEF)** works to protect and help children globally. UNICEF offers a multi-sectoral approach in its work, in the fields of protection, health, education, WASH¹³⁷.
- **The World Food Programme (WFP)** is the UN branch that deals with food assistance in its operations in response to disaster¹³⁸ together with its sister-agency FAO (Food and Agricultural Organisation) who's obligation is to raise levels of nutrition and increase agricultural productivity¹³⁹
- **UN-HABITAT** is the branch of the UN that is basically the United Nations Human Settlements Programme. It is tasked by the UN General Assembly to encourage the development and growth of socially and environmentally sustainable towns and cities with the aim of providing adequate shelter for all¹⁴⁰
- **The United Nations Development Programme (UNDP)** is the development arm of the UN, which is mandated to expedite Early Recovery for all beneficiaries¹⁴¹.
- **The International Organisation for Migration (IOM)** is mandated to make available reliable, flexible, secure and cost-effective services for individuals who are in need of international migration assistance, to expand the understanding of migration issues and encourage social and economic development through migration¹⁴².
- **The International Federation of the Red Cross and Red Crescent Societies movement** is the world's largest humanitarian network. The Movement is neutral and impartial, and provides protection and assistance to people affected by disasters and conflicts¹⁴³. The Movement has three main components:

¹³⁶UNHCR 2012

¹³⁷ UNICEF 2012

¹³⁸ WFP 2012

¹³⁹ FAO 2012

¹⁴⁰ UN-HABITAT 2012.

¹⁴¹ UNDP 2012

¹⁴² IOM 2012a

¹⁴³ IFRC 2012

- **The International committee of the Red Cross (ICRC)** - In times of conflict, the ICRC is responsible for coordinating and directing the Movement's international relief activities, meeting the needs of internally displaced persons, educating the masses on the threats posed by mines and explosive remnants of war, help locate people who have gone missing during conflicts and encourage the importance of international humanitarian law, drawing attention to universal humanitarian principles (IFRC 2012).
- **The International Federation of the Red Cross and Red Crescent Societies (IFRC)** synchronizes and directs international assistance following natural and man-made disasters in non-conflict situations. The IFRC works with National Societies in responding to calamities around the world. Its relief operations are combined with development work, including strengthening recovery, disaster preparedness programmes, as well as the promotion of humanitarian values¹⁴⁴.
- **187 member Red Cross and Red Crescent Societies** - These societies form the backbone of the International Red Cross and Red Crescent Movement. National Societies support the public authorities in their own countries as independent auxiliaries to the government in the humanitarian field. Their local knowledge and expertise, access to communities, and infrastructure enable the Movement to get the right kind of help where it's needed, fast (IFRC 2012).
- **International Non-Governmental Organisations (INGOs)** Include some prominent agencies, such as Save the Children, MSF, Mercy Corps, Oxfam, ACF, Merlin, ACTED, CARE, Concern worldwide, Cordaid, GOAL, CRS, Solidarités, IMC, Tearfund, Plan, and IRC.
- **Local civil society**- They include NGOs (Non-Governmental Organisations), community groups and committees. These groups represent the needs of the affected communities and can offer a treasure of contextual information.

¹⁴⁴ IFRC 2012

3.9 Contribution of the International Red Cross and Red Crescent Movement in Building Resilience

Initially the principles of humanitarian action were only useful during times of war; however, it is now a common position, laid out for instance in the Codes of Conduct of the International Red Cross and Red Crescent Movement¹⁴⁵ and the Oslo Guidelines¹⁴⁶ that humanitarian assistance must be made available to all crisis-affected people. At the end of the 20th century, the snowballing complexity of humanitarian crises triggered a paradigm shift in the dissertation and practice of humanitarian aid.¹⁴⁷

The numerous and enduring consequences of natural disasters, vicious conflicts and poverty-related problems such as malnourishment, also called for a change in focus and scope of humanitarian assistance: instantaneous relief for survival was no longer enough to alleviate current and future suffering, and strategies of donors and receiving nations required the inclusion of long-range disaster risk reduction and peace building activities¹⁴⁸.

In its 1994 revised Code of Conduct, The IFRC for example requires that emergency relief ‘shall attempt to build disaster response on local capacities’ (para. 6) and ‘must strive to diminish future vulnerabilities to disaster as well as meeting elementary needs’ (para. 8). There has therefore been a growing number of links between humanitarian aid and long-term development cooperation with the aim of decreasing poverty and fostering peace and security, by empowering local institutions through capacity development, promoting human rights and promoting participation.

¹⁴⁵ IFRC, International Red Cross and Red Crescent Movement (1994): Code of Conduct <http://www.ifrc.org/en/publications-and-reports/code-of-conduct/> (accessed 20th July, 2017)

¹⁴⁶ Oslo Guidelines. 2007. Guidelines on the Use of Foreign Military and Civil Defense Assets in Disaster Relief, Rev. <http://www.refworld.org/pdf/id/47da87822.pdf>.

¹⁴⁷ Guidelines on the Use of Foreign Military and Civil Defense Assets in Disaster Relief (2007) <http://tiny.cc/Onr9k> ; Guidelines on the Use of Military and Civil Defense Assets to Support United Nations Humanitarian Activities in Complex Emergencies (2003): <http://tiny.cc/KS3uo>

¹⁴⁸ Nascimento, Daniela. 2015. *One step forward, two steps back?* Humanitarian Challenges and Dilemmas in Crisis Settings, The Journal of Humanitarian Assistance <http://sites.tufts.edu/jha/archives/2126>. Accessed 11 July 2017

The amalgamation of humanitarian, security and development principles and objectives brought to life a new paradigm of humanitarian action and thereby further distorted the lines between humanitarian and development engagement¹⁴⁹

The reappearance of humanitarian disasters, notwithstanding remarkable investments in relief and development efforts, is a major factor leading to uncertainties about the effectiveness of aid. An inadequate synchronization and strategy configuration between actors of humanitarian relief and international development cooperation has blamed on lack of sustainability of humanitarian efforts and ineffective preventative disaster management in development initiatives.¹⁵⁰

In Kenya, the existing techniques of disaster management are being challenged by other factors such as environmental degradation demographic changes, and climate change, which have resulted to increase in chronic vulnerabilities, the frequency, and severity of disasters, while enhancing the reduction of the level of predictability.¹⁵¹

Despite these challenges, the concept of building resilience has become a novel approach that promises to provide solutions to many of these issues by uniting the efforts of humanitarian and development actors. This will lead to strengthened capacities of the vulnerable population to develop effective measures of managing disasters. Accordingly, humanitarian organizations such as Red Cross are currently developing measures aimed at mainstreaming resilience. However, existing literature show that for those participating in projects and programs there is no clarity of the meaning of resilience or the techniques that should be employed to enhance its building and promotion (Humanitarian Policy Group, 2012: 1).

“We see resilience as the ability of individuals, communities, organizations or countries exposed to disasters, crises and underlying vulnerabilities to anticipate, reduce the

¹⁴⁹ *Ibid*

¹⁵⁰ USAID. 2012. Building resilience to recurrent crises: USAID policy and program guidance. U.S. Agency for International Development. Washington, DC

¹⁵¹ SIDA. 2012. Resilience, risk and vulnerability at SIDA. Swedish International Development Cooperation Agency. Stockholm

impact of, cope with, and recover from the effects of adversity without compromising their long term prospects.”¹⁵²

This definition highlights four major characteristics of resilience: (i) Resilience is a concept applicable to a range of levels from individuals to the global human society. (ii) There is an outlined technique on the abilities, existing within a system that can manage shocks and changes. (iii) The essence adaptation, during the continuum of a stressful event, is being highlighted. (iv) Any given plan for dealing with a misfortune must be sustainable to enhance resilience. This is an indication that efforts directed towards resilience must protect advancement gains on the longer term and enhance the reduction of the negative effects of disasters and crises on development while harvesting their potential of promoting transformation.

The stated “shocks and stresses” can take any given form. For example, rapid onset shocks, which include earthquakes, volcanic eruptions, tsunamis, hurricanes and terrorist attacks, are the most outstanding considering that they attract most media attention. There are also gradual onset stresses, such as droughts, political and economic crises, or environmental depletion. These are not any less disastrous to the development of a society considering that they are associated with poverty and vulnerability. The concept of resilience is applicable to virtually all settings yet in Kenya it is most commonly used while focusing on climate change adaptation and disaster risk reduction (DRR).¹⁵³

From the definition, in resilient system, in which a community has the capacity of anticipating any given crisis, they can develop preventative steps to ensure effective response in cases where disasters strike and afterwards “build back better than before”. Inasmuch as this assumption may sound perfectly fine and logical, it is rather difficult to clearly point out what that means in humanitarian assistance. To avert the ambiguity of this abstract concept of resilience, the IFRC has considered the need to enlighten

¹⁵² IFRC. 2012. The road to resilience: Bridging relief and development for a more sustainable future. International Federation of Red Cross and Red Crescent Societies. Geneva

¹⁵³ USAID. 2012. Building resilience to recurrent crises: USAID policy and program guidance. U.S. Agency for International Development. Washington, DC

humanitarian workers and communities by publishing a list of six major attributes of resilient communities based on an extensive investigation undertaken in the aftermath of the 2004 Tsunami:

“A safe and resilient community...

- 1. ...is knowledgeable and healthy. It has the ability to assess, manage, and monitor its risks. It can learn new skills and build on experiences.*
- 2. ...is organized. It has the capacity to identify problems, establish priorities and act.*
- 3. ...is connected. It has relationships with external actors who provide a wider supportive environment, and supply goods and services when needed.*
- 4. ...has infrastructure and services. It has strong housing, transport, power, water and sanitation systems. It has the ability to maintain, repair, and renovate them.*
- 5. ...has economic opportunities, It has a diverse range of employment opportunities, income and financial services. It is flexible, resourceful and has the capacity to accept uncertainty and respond (proactively) to change.*
- 6. ...can manage its natural assets. It recognizes their value and has the ability to protect, enhance and maintain them.”¹⁵⁴*

¹⁵⁴ IFRC. 2011. Characteristics of a safe and resilient community: Community based disaster risk reduction study. International Federation of Red Cross and Red Crescent Societies. Geneva

CHAPTER FOUR

DATA ANALYSIS AND INTERPRETATIONS

4.1 Introduction

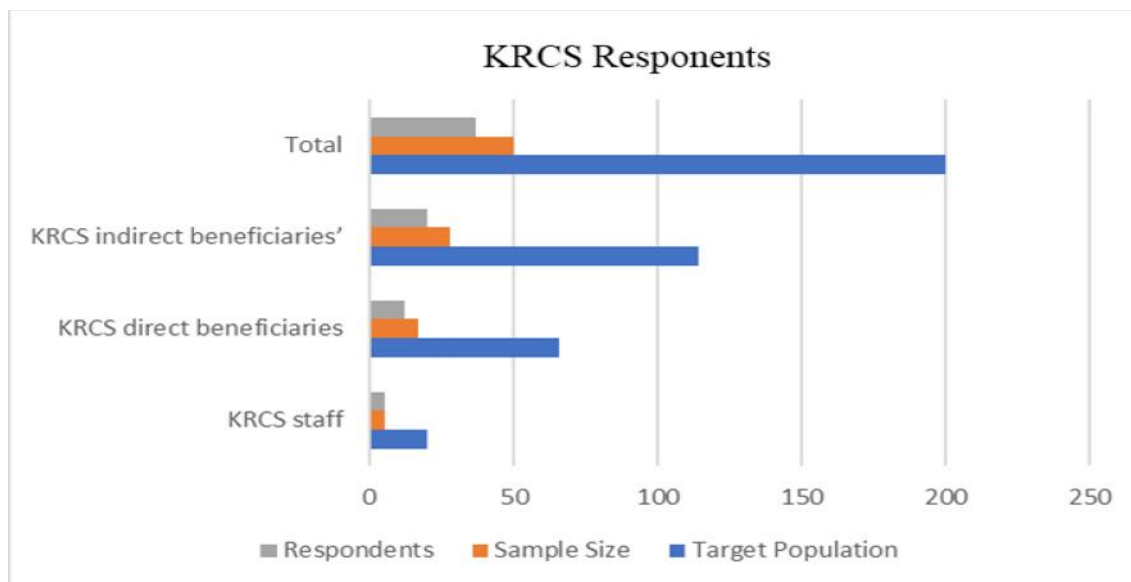
This chapter offers an in-depth look at the sustainability in international humanitarian assistance concept, with a view of looking at whether the cost per beneficiary is sustainable and realistic and if it is put into consideration during humanitarian assistance programme implementations, looking also at the organization staff attitude at work that may affect the achievement of this end.

4.2 Response Rate

The total population of Kenya Red Cross Society (KRCS) both the staff and the beneficiaries are 200. For the study 50 was our target group giving a 25% estimate response rate. However, 37 showed up for the research 18.5%, which was reliable. Therefore, the study's desirable response rate was credited to the data collection methods adopted.

The figure below gives a clear outline of the information given above.

Figure 4.1: KRSC Respondents

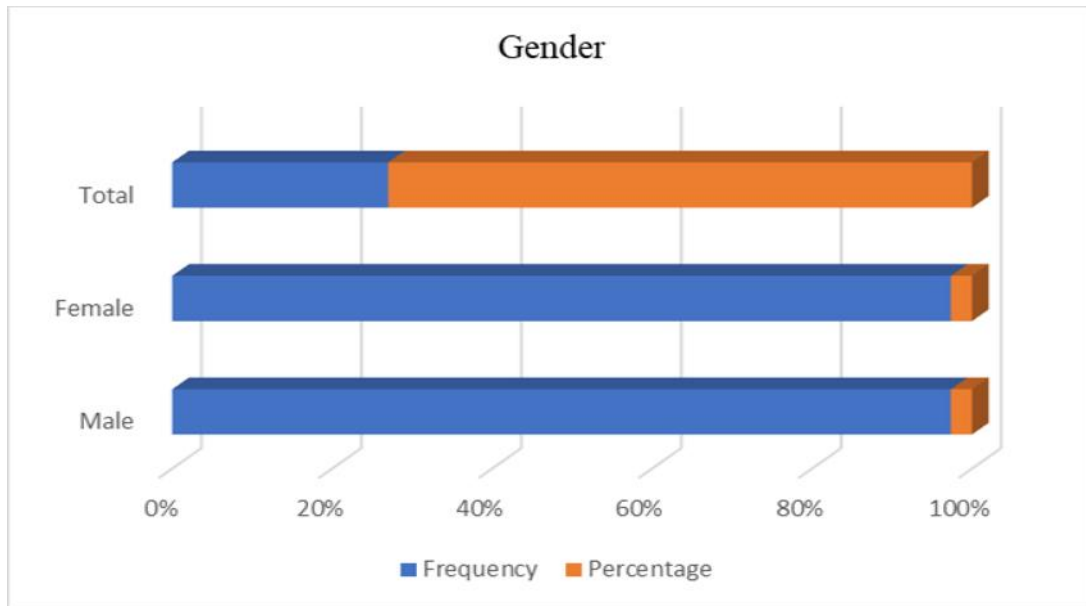


4.3 Demographic Information

As part of the general information, the research requested the respondents to indicate their gender, age bracket, education level and working experience.

4.3.1 Gender of the Respondents

Figure 4.2: Gender



4.3.2 Age Bracket of the Respondents

On the gender of the respondents, the study found that females formed 62.2% of the respondents while 37.8% of the respondents were male.

Table 4.1: Gender

Age	Frequency	Percentage
25-30	8	21.6
31-34	12	32.4
35-40	4	10.8
41-44	6	16.2
45-50	5	13.5
50 and above	2	5.4
Total	37	100

According to the table above, 21.6% are aged 25 - 30 years, 32.4% of the respondents were aged between 31-34 years, 10.8% were aged between 35 - 40 years, those aged between 41 - 44 years being 16.2% and 45 - 50 years were 13.5% while those aged between and 50 and above years were 5.4%. From these findings we can deduce that majority of the managers were middle aged.

4.3.3 Highest Education Level

Table 4.2: Highest education level

Education level	Frequency	Percentage
Postgraduate	8	21.6
Graduate	21	56.8
Diploma/Certificate	8	21.6
Total	37	100

The researcher had also requested the respondents to indicate their highest level of education. From the findings, 21.6% had a postgraduate level as well as those of the diploma/ certificate level while, 56.8% had a bachelors/ graduate degree. This shows that the respondents are well-versed and can give appropriate information on the subject matter of the study.

4.3.4 Working Experience in the Organization

Table 4.3: Working Experience in the Organization

Time at organization	Frequency	Percentage
1 – 2 Years	4	10.8
2 – 4 Years	20	54.1
5 Years and above	13	35.1
Total	37	100

The study also sought to determine the period of time the respondents had been working in the organization. According to the findings, 54.1% of the respondents reported that they had been working in the organizations for 2-4 years, 10.8% indicated a period

between 1 and 2 years, while 35.1% indicated they had been employed with their current NGO for 5 years and above. These findings clearly confirm that a great number of the respondents have been working with KRCS for long enough to understand their operations.

4.4 Attitude of the Humanitarian Organization Staff Towards their Day to Day

Tasks

Table 4.4: Attitude of the staff

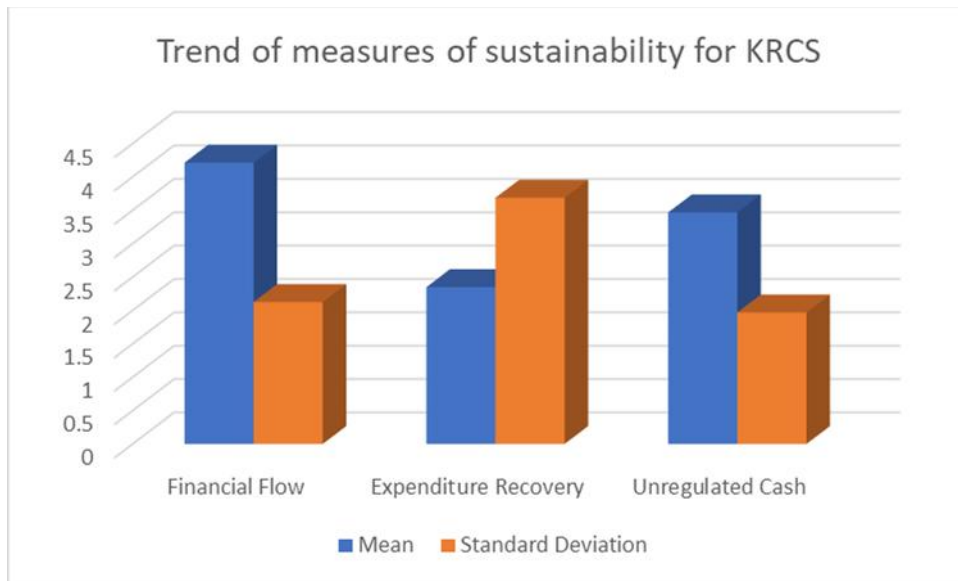
Attitude	Frequency	Percentage
Very Good	7	18.9
Good	13	35.2
Neutral	14	37.8
Bad	3	8.1
Total	37	100

The respondents were also requested to indicate the attitude of the humanitarian organization staff towards their day to day tasks of the organization. According to the finding, majority of the respondents 37.8% found the activities fair (neutral). 18.9% had a very good attitude towards their tasks, 8.1% has quite a bad attitude towards their duties. Finally, those who had a good attitude towards their duties were shown by 35.2%.

4.5 Scrutinize the Sustainability of the Assistance Given to the Beneficiaries

The study also sought to determine the trend of measures of sustainability for the KRCS in the last ten years. Despite the fact that projects/programs have duplicated exponentially, there is minimal demonstrated considerable effect on changing the lives of beneficiaries. This is a genuine feedback regardless of the way that it is harder to demonstrate projects effect on wellbeing and social issues than in other program regions. From the findings, a great number of the respondents felt that expenditure recovery rate was improving as shown by a mean score of 3.0175 while the financial flows and unregulated cash were as shown by a mean score of 3.1685 and 2.718 respectively.

Figure 4.3: Trend of measures of sustainability for KRCS



4.6 Level of Adherence of the Humanitarian Organizations to the Humanitarian Assistance Core Principles

The study also wanted to establish the level of adherence of the humanitarian organizations to the humanitarian assistance core principles. There are as of now no enforceable criteria illustrating who can shape an executing office. Subsequently it is vital for the benefactor to guarantee that contracted offices have the authenticity, proper foundation, encounter, and a comprehension of philanthropic standards and the host nation culture and setting.

The figure below attempts to outline the respondents' view on the level of adherence of the humanitarian organizations to the humanitarian assistance core principles. It displays the information depending on the number of people agree or disagreeing with the different aspects in figures.

Table 4.5: Level of adherence of the humanitarian organizations

Level of adherence	Good	Average	Below Average
Social enterprise involving the beneficiaries	14	20	3
Corporate contributors sourcing	16	16	5
Tapping worldwide subsidizing streams	20	17	0
Raising support and advancement design	22	10	5

4.7 Value for Money (VFM)

VFM is more of a way of thinking about proper resource use rather than a tool or a method. The respondents were requested to indicate the extent to which the value for money proved resourceful for the organisation. According to the findings 37.8% of the respondents reported that value for money affected the financial sustainability of KRCS to a great extent, 21.7% said to a little extent, those who said to a moderate extent or not at all were shown by a 16.2% while 8.1% said value for money affect the financial sustainability of KRCS to a very great extent.

Table 4.6: Extent to which the value for money proved resourceful for the organisation

Extent	Frequency	Percentage
Very great extent	3	8.1
Great extent	14	37.8
Moderate extent	6	16.2
Little extent	8	21.7
Not at all	6	16.2
Total	37	100

Table 4.6 Value for money proved resourceful for the organisation extent that factors influencing sustainability in international in Kenya affect financial sustainability.

Table 4.7: Factors influencing sustainability in international in Kenya affect financial sustainability

Financial Management	Mean	Std Deviation
Strategic planning	4.4082	0.75760
Financial analysis	3.6323	1.39930
Plan implementation	4.2653	0.96912
Asset selection	3.1837	0.85370
Stock selection	1.5633	1.39730
Investment monitoring	3.3503	1.36747

The study inquired on the extent that factors influencing sustainability in international in Kenya affect financial sustainability. From the findings, a huge number of the respondents felt that the aspects of tactical financial management affect the financial sustainability of the organisation to a great extent include strategic planning, plan implementation and financial analysis as shown by a mean score of 4.4082, 4.2653 and 3.6323 respectively. They also indicated that investment monitoring and asset selection affect the sustainability of the organisation to a moderate level as shown by a mean score of 3.3503 and 3.1837 respectively while stock selection affect the sustainability of the organisation to a little degree as shown by a mean score of 1.5633.

CHAPTER FIVE

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

The chapter presents study findings summary which was conducted as per the research objectives and questions. Study conclusion and recommendations were also done based on the study objectives.

5.2 Summary of Findings

This study wanted to assess factors influencing sustainability in international humanitarian assistance in Kenya. Specific aspects considered included the adherence of the humanitarian organizations to the humanitarian assistance core principles, value-for-money in the projects implemented by the humanitarian organizations, examine the attitude of the humanitarian organization staff towards their day to day tasks and scrutinize the sustainability of the assistance given to the beneficiaries.

5.2.1 Attitude of the Humanitarian Organization Staff towards their Day to Day Tasks

The general convictions that guide employees simply must be energetic and sympathetic, keeping in mind their end goal of being powerful as often as possible is an outcome in unseemly mobilization of staff that need appropriate learning, knowledge and aptitudes to make a positive commitment to extend/program exercises. A similarly disturbing circumstance is simply the enrolment of help specialists and volunteers with self-serving thought processes to encounter the world, form a lucrative vocation or lift prominence.

Newcomers who do not have the relevant experience and information experience issues in keeping up an adjusted perspective relating to the host nation's kin, societies, qualities, convictions and foundation which can bring about work environment stress, disappointment and outrage, a circumstance exacerbated by the worry of living and working in a nation with various esteems and frequently without the comforts found in the created world.

5.2.2 Sustainability of the Assistance Given to the Beneficiaries

Despite the fact that projects/programs have duplicated exponentially, there is minimal demonstrated considerable effect on changing the lives of individuals. This is a genuine feedback regardless of the way that it is harder to demonstrate projects effect on wellbeing and social issues than in other program regions. Actualizing organizations that are operational on the ground frequently contend that intercessions, yet ineffectively measured, still do have any kind of effect through the arrangement of fundamental life necessities and limit building which could somehow or another not be given. While this may be valid at times, stories demonstrate almost no and are frequently slighted by contributors who require dependable outcomes to keep financing.

5.2.3 Adherence of the Humanitarian Organizations to the Humanitarian Assistance Core Principles

The flow of subsidizing requires a prominent open picture most often than not powered by misuse of beneficiary vulnerabilities. Subsequently there is an disposition to stress shortcomings and dangers; the more genuine and numerous the issues, the more probable the proposition was supported. Once subsidizing is dispensed benefactors' desires are that positive reports with respect to advance was imminent. Tragically, this desire regularly urges implementers to take a shot at circumstances with positive attractive results to guarantee future financing, and makes a disincentive to handle troublesome, settled in issues.

5.2.4 Value for Money (VFM)

The most cited definition of VFM is that it is the best use of resources to achieve the envisioned outcomes. The concept of Value for Money takes as its starting point the broad agreement that development funds should be used as effectively as possible: donor agencies and governments, tax payers, partner country governments and citizens all want aid to work as well as it can and agree that limited aid budgets need to be well targeted and managed.

Value for money (VFM) is about striking the best balance between the “three E’s”; economy, efficiency and effectiveness. Economy: Bringing down the cost of resources

used for an activity, while aiming at maintaining quality. Efficiency: Growing output for a given input, or reducing the amount of input for a given output, while aiming at maintaining quality. Effectiveness: Successfully realizing the intended results from an activity. A fourth “E” equity, is now also sometimes used to ensure that value-for-money analysis accounts for the importance of reaching different groups.

5.3 Conclusion

Sustainability in International humanitarian assistance in Kenya has long been of interest to institution leaders, donors, and the societies in which they live. However, these institutions face a myriad of challenges in establishing and defining sustainability in the long term in the face of the recent economic recession and amplified expectations of mission accountability and impact. These challenges are particularly striking for serving vulnerable, high-need and low-income populaces because of the need to juggle a higher reliance on external funding streams (for example, grants and contracts) with a range of demands that surpass the social mission of the institution.

Understanding how the community framework affects community engagement, organizational operations and financial support is crucial to establishing financial sustainability for them when it comes to serving low-income communities. Understanding the existing literature on financial sustainability revealed quite a number of inferences and associated recommendations for humanitarian organisations serving the high-need and low-income populaces. Creating overall sustainability should be viewed as a continuous and ever-changing process. Coming up with a clear strategic plan that defines the social mission and builds programs, community support, and collaborative partnerships that closely align with the mission may help overcome the challenge of establishing sustainability in the short and long term.

5.4 Recommendations

1. In relation to VFM, the International Committee of the Red Cross (ICRC), just like many other charitable agencies, need to operate on the realization that it is important to encourage external stakeholders to put less emphasis on cost-

effectiveness but rather improve on their understanding the value that the agency adds to humanitarian operations.

2. To ensure sustainability of the assistance given to the beneficiaries, the least difficult approach to accomplish this is to plan an apparatus that will gather pertinent and dependable information in view of markers yet that staff can without much of a stretch comprehend and feel sure working with. It is this sort of sure adaptability inside the guide group that still should be additionally created with a specific end goal to get solid outcomes that prompt practical ventures/programs.
3. It is critical that there be an adjusted appraisal of the unbiased populace since there is confirmation that numerous recipients in spite of being presented with troublesome life circumstances have excellent flexibility and adapting abilities. This is to ensure adherence of the humanitarian organizations to the humanitarian assistance core principles.
4. In relation to the attitude of the humanitarian organization staff towards their day to day tasks, a typical way of dealing with stress is to stick to what is natural, viably removing the chance to get a full comprehension of the host nation and individuals inside it.

5.5 Recommendations for Further Research

First, this study analysed the factors influencing sustainability in international humanitarian assistance in Kenya using four key aspects. Future research should therefore focus on other international aspects that influence sustainability in humanitarian assistance as mediated by international law.

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APPENDICES

Appendix I: Introduction Letter

Evelyn K. Munyao
P.O Box 2515-90100
Machakos, Kenya

Dear Respondent,

RE: REQUEST TO PARTICIPATE IN RESEARCH

My Name is Evelyn K. Munyao. I am a student at the Institute of Diplomacy and International Studies, University of Nairobi. I am pursuing a Masters of Arts Degree in International Studies. I kindly request that you take a few minutes to complete this questionnaire to enable me complete by academic research project which is a requirement to enable me complete my studies. My research topic is **“Factors Influencing Sustainability in International Humanitarian Assistance in Kenya.”**

Paramount confidentiality is guaranteed in this study. I thank you in advance for willing to participate in this study.

Thank you very much.

Evelyn K. Munyao
Reg. No. R50/83405/2015
Tel. No.: 0722 948 298

Appendix II: Questionnaire

Section 1: Background Information

1. Gender: Female []
Male []
2. Age: 25-30 [] 31-34 [] 35-40 []
41-44 [] 45-50 [] 50 and above []
3. Highest Level of Education
- Postgraduate []
Graduate []
Diploma/ Certificate []
4. For how long have you worked in your department?
- Less than 1 – 2 years []
2 - 4 Years []
5 years and above []

Section 2: Attitude of the humanitarian organization staff towards their day to day tasks

Please indicate the attitude of the humanitarian organization staff towards their day to day tasks of the organization in Kenya. Use a scale of 1 to 4; Very good, Good, Neutral or Bad

	Very Good	Good	Neutral	Bad
Attitude of the staff towards their work.				

Section 3: Sustainability of the assistance given to the beneficiaries

Please indicate how you view the trend of measures of sustainability for the KRCS in the last ten years in Kenya. Use Good, Average or Below Average.

	Greatly Improving	Improving	Stable/ constant	Deteriorating	Greatly Deteriorating
Expenditure recovery					
Financial flow					
Unregulated cash					

Section 4: Adherence of the humanitarian organizations to the humanitarian assistance core principles

Please indicate your level of agreement with various statements on diaspora diplomacy pillar and foreign direct investment levels in Kenya. Use Good, Average or Below Average.

	Good	Average	Below Average
Social enterprise involving the beneficiaries			
Corporate contributors sourcing			
Tapping worldwide subsidizing streams			
Raising support and advancement design			

Section 5: Value for money

1. To what extent does value for money affect the financial sustainability of KRCS?

Very great extent []

Great extent []

Moderate extent []

Little extent []

Not at all []

2. To what extent do the following affect financial sustainability and the value or money of KRCS?

Financial management	Very great extent	Great extent	Moderate extent	Little extent	Not at all
Strategic planning					
Financial analysis					
Plan implementation					
Asset selection					
Stock selection					
Investment monitoring					

Thank you for taking part in this research!