

EU AND THE ASIA PACIFIC:

Measuring the effectiveness of
disaster risk reduction programming
in relation to child protection.

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LIST OF ACRONYMS

AICHR	ASEAN Intergovernmental Commission for Human Rights
ACP	Africa Caribbean Pacific Group of States
AFET	European Parliament Committee for Foreign Affairs
ASEAN	Association of Southeast Asian Nations
CBDRM	Community-based Disaster Risk Management
CBDRR	Community-based Disaster Risk Reduction
CDC	Community Disaster Committees
CRED	Centre for Research on the Epidemiology of Disasters
CFSP	Common Foreign and Security Policy
CCA	Climate Change Adaptation
CSR	Corporate Social Responsibility
DEVE	European Parliament Committee for Development
DFID	Department for International Development (UK)
DG	Directorate General
DG DEVCO	Directorate General for development and cooperation (DEVCO)
DG ECHO	Directorate General for Humanitarian Aid and Civil Protection
DIPECHO	Disaster Preparedness ECHO
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EC	European Community
ECHO	European Community Humanitarian Office
ECHR	European Court of Human Rights
EEAS	European External Action Service
ENVI	European Parliament Committee for the Environment, Public Health and Safety
EU	European Union
FPA	Framework Partnership Agreements
FTS	Financial Tracking Service

GHD	Good Humanitarian Donorship
HFA	Hyogo Framework Agreement
NDMO	National Disaster Management Office
NGO	Non-government Organisation
ODA	Official Development Aid
PIF	Pacific Island Forum
SOPAC	Secretariat of the Pacific Community Applied Geoscience and Technology Division
SPC	Secretariat of the Pacific Community
TA	Technical Assistance
UN	United Nations
UNCRC	United Nations Convention on the Rights of the Child
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNISDR	United Nations International Strategy for Disaster Reduction (Disaster Risk Reduction)
UN OCHA	United Nations Office for Coordination for Humanitarian Affairs (OCHA)
VHT	Vanuatu Humanitarian Team

ABSTRACT

This thesis employs a rights-based approach to evaluate the effectiveness of European Union (EU) external action policy formation and subsequent measures to protect children in a disaster risk context, in the Asia Pacific. Advances in human rights discourse and humanitarian responsibilities have led to a review of the concept of protection, and how it is applied in humanitarian and development assistance. Indeed, a rights-based approach to donorship centres on the obligations of duty bearers to uphold the rights of those at risk when carrying out humanitarian and development assistance, while ensuring implementation practices are accountable and transparent, to maximise donorship effectiveness.

The fundamental components of upholding human rights, and reducing vulnerability, are intrinsic to the model of human security. Human security therefore assists in the analysis of protectionism through the embedded methodology of *lexis-praxis* where humanitarian and development policy formation, or *lexis*, and subsequent implementation channels, or *praxis*, contribute towards the measurement of the effectiveness of donor partnerships to implement disaster risk reduction programming (DRR), as a foreign policy objective.

The EU is an excellent case study for the analysis of cohesion in policy implementation and an evaluation of the potential need for the harmonisation of *lexis* in policy formation. *Harmonisation* of policy *lexis* and policy formation will lead to *coherence* in *praxis*, or the implementation measures of the EU and Member States to enact policy obligations. To explore this notion further, this research employs a rights-based approach to analyse EU and Member State policy and practice, in the goal of upholding child rights, and reducing child risks, as part of donorship responsibilities. In addition, partner roles, responsibilities, and actions in the Asia Pacific, add another layer of analysis to review DRR policy and practice both regionally and in-country.

CHAPTER I

INTRODUCTION

1.1 A PREAMBLE ON PROTECTIONISM

“You’ll find that by the definition of protection...is making a protective environment. That is the definition we use, and we are focussed on that, and within that protective environment, disaster risk is enframed in there – it may not be: ‘when a disaster happens - this, this,’ but the legal systems which you provide are meant to reduce the vulnerability and the risk to anything, including disasters.”¹

The concept of protectionism has rapidly expanded over the last century. Representations of protectionism have shifted from the realms of warfare to embrace the need to protect vulnerable populations in other spheres of vulnerability, including health, technology, humanitarianism, development, and environment. The broadening of the scope of protectionism has been triggered by the expansion of international human rights law. An individual or group can now enjoy not only political and civil rights but also cultural, social and economic rights,² shifting human rights discourse from a domestic to an international arena.

“All are equal before the law and are entitled without any discrimination to equal protection of the law. All are entitled to equal protection against any discrimination in violation of this Declaration and against any incitement to such discrimination.”

Article VII, Universal Declaration of Human Rights.³

¹ Interview excerpt, UN Agency, 16/10/2012.

² Elizabeth G. Ferris, *The politics of protection: the limits of humanitarian action* (Washington, D.C: Brookings Institute Press, 2011), 3.

³ United Nations, *Universal Declaration of Human Right*, 10 December 1948, 217A (III), Article VII.

In turn, there is a duty of states and organisations within the international community to protect and support the fulfilment of individual rights if they are able to do so.⁴ In recognition of their responsibilities as part of the international community, 192 leaders at the 2005 United Nations (UN) World Summit acknowledged that where state administrations were guilty of domestic human rights abuses, the international community were obligated to implement “collective action in a timely and decisive manner,”⁵ in order to protect those at risk, and provide assistance through humanitarian action.⁶ Cases of global human rights abuses have meant the rights of individuals to assistance and protection have become an obligation of the international community.⁷ Barkin points to the UN doctrine of the ‘Responsibility to Protect,’⁸ in modifying the roles of duty bearers from a national to global context,⁹ confirming the international obligations of donors to uphold the underlying principles of human security, where protectionism and empowerment support reduced vulnerability. To assist in avoiding human rights abuses, state-centric policy interests shift to a focus on human dignity, and the security of individuals as the primary objective.¹⁰ The human security model requires that duty bearers uphold their obligations, whether national or international, towards rights and reducing vulnerability, through policy and practice. In addition, human security identifies the responsibilities of donors to protect individuals and their rights in international assistance.¹¹

In foreign policy, advances in human rights discourse and humanitarian responsibilities have led to a review of the concept of protection and how it is applied in humanitarian and

⁴ See A Woodiwiss, “Taking the sociology of human rights seriously,” in *Interpreting human rights – social science perspective*, eds. R Morgan and B S Turner (London; New York: Routledge, 2009), 117; A Kuper, *Global Responsibilities: who must deliver on human rights?* (Hoboken: Taylor and Francis, 2005); O O’Neill, *Towards Justice and Virtue: A constructive account of practical reasoning*, (Cambridge: Cambridge University Press, 1996).

⁵ 2005 World Summit Outcome, United Nations General Assembly Resolution, A/RES/60/1, 24 October 2005, Paragraph 139, as cited in Roberta Cohen, 2012. “From Sovereign responsibility to R2P,” in *The Routledge Handbook on R2P*, eds. W Andy Knight and Frazer Egerton, (London; New York: Routledge, 2012), 8.

⁶ Roberta Cohen, 2012. “From Sovereign responsibility to R2P,” in *The Routledge Handbook on R2P*, eds. W Andy Knight and Frazer Egerton, (London; New York: Routledge, 2012), 8.

⁷ Roberta Cohen, 2012. “From Sovereign responsibility to R2P,” in *The Routledge Handbook on R2P*, eds. W Andy Knight and Frazer Egerton, (London; New York: Routledge, 2012), 7.

⁸ United Nations, *2005 World Summit Outcome [A/60/L.1]*, (United Nations: New York, 2005).

⁹ Barkin, J. Samuel, *International Organization: Theories and Institutions*, (New York: Palgrave Macmillan, 2013), 71.

¹⁰ Barkin, J. Samuel, *International Organization: Theories and Institutions*, (New York: Palgrave Macmillan, 2013), 70.

¹¹ Eric A. Belgrad, “The Politics of Humanitarian Aid,” in *The Politics of international humanitarian aid operations*, eds. Eric A. Belgrad and Nitza Nachmias, (Westport, Connecticut; London: Praeger, 1997), 3.

development assistance. Indeed, protection and empowerment of those at risk are central to a rights-based approach to donorship.

According to the international discourse on human security, the obligations of duty bearers to uphold the rights of individuals and groups surround the protection and empowerment of those most vulnerable, such as children. What can differ, however, are duty bearers' perceptions of child protection and empowerment as facets of child rights. Perceptions of protectionism and empowerment from actors at the various levels of governance, whether donors, partner agencies, state administrations, non-state actors, community actors, and individuals themselves, can influence a child's general wellbeing and prospects, regardless of their country's level of development. In addition to the context within which children reside, variations exist of what protection represents to policy makers and stakeholders, and the responsibilities of actors towards upholding child rights. This variation in policy will ultimately lead to discrepancies in practice across countries, donors, and partner agencies.

The underlying concept of protectionism denotes the responsibilities of international actors to respond to existing vulnerability, but often with a focus on victimhood, and a limited understanding of the autonomy individuals command in their actions and wellbeing. A rights-based approach to donorship can incorporate protection and the empowerment of those at risk, particularly children,¹² as supported by the model of human security. This research is informed by the theoretical fundamentals of the human security model, which assumes a rights-based approach to policy formation and subsequent implementation, as promoted by Ogata and Cels.¹³ The model of human security provides a theoretical framework for analysing protectionism and empowerment as part of humanitarian and development assistance in donorship. However as Merry suggests, it could be argued the focus on the responsibility of humanitarian actors to facilitate the empowerment of the most vulnerable through educational means deviates from encouraging the agency of vulnerable groups to

¹² Hart et al., "A new age for child protection – general comment 13: why it is important, how it was constructed and what it intends?" *Child Abuse and neglect* 35, (2011): 970-978.

¹³ Sadako Ogata and Johan Cels, "Human Security – Protecting and Empowering the People," *Global Governance* 9, no. 3 (2003): 273.

engage in decision-making processes.¹⁴ Indeed, Sen looks to the capabilities of individuals to act where capabilities complement a rights-based approach, highlighting the need to recognise capabilities as one of the obligations of upholding human rights.¹⁵ Nussbaum builds on Sen's perspective on human rights and capabilities, through the exploration of the capabilities approach, drawing on a person's agency and the relationship between agency, freedom and wellbeing.¹⁶ To explore this notion further, this research analyses views on child protectionism and agency of children, in upholding child rights through donorship practices. By underpinning foreign policy practices with the model of human security, Kaldor et al. allude to the effective use of multilateral, regional and national channels in donorship.¹⁷ In doing so, use of these channels assists in reducing individual and collective vulnerability.¹⁸ While the inclusion of social aspects and protection in humanitarian policy formation renders cohesive policy formation and implementation of practice amongst donors more demanding, in the long-term, a comprehensive approach to vulnerability leads to more effective policy implementation. This is particularly applicable to donorship in the reduction of disaster risk within the spheres of humanitarian and development assistance.

This thesis evaluates child protection measures as part of EU donorship in the Asia Pacific from a rights-based approach, to measure the effectiveness of its disaster risk reduction (DRR) programming. The concept and practice of DRR has yet to be evaluated in depth through the lens of human security. In doing so, there is an evaluation of whether lexis used in policy formation assists in foreign policy praxis, or practical applications of policy. More specifically, a rights-based approach to the formation of policy and implementation practices focusses on child rights, and specific measures of child protectionism in order to achieve the goal of reducing the vulnerability of children surrounding a natural disaster through DRR programming. By placing a focus on the protection of children and the rights of children in

¹⁴ Sally E Merry, "Conditions of Vulnerability," in *The practice of Human rights*, eds. Mark Goodale and Sally Engle Merry (Cambridge; New York: Cambridge University Press, 2007), 202.

¹⁵ Amartya Sen, "Human Rights and Capabilities," *Journal of Human Development* 6, no. 2 (2005): 152.

¹⁶ Martha C. Nussbaum, *Creating Capabilities*, (Cambridge, Mass.: Belknap Press of Harvard University Press, 2011), 201.

¹⁷ Mary Kaldor, M Martin, and S Selchow, "Human Security: a new strategic narrative for Europe," *International affairs* 83, no. 2 (2007): 281.

¹⁸ See Astrid Suhrke, "Human Security and the interests of states," *Security Dialogue* 30 (1999), 265-76, as cited in Amitav Acharya, "Human Security: East versus West," *International Journal* 56, no. 3, (2001), 447.

policy formation and practice, this study enables an insight into the EU and Member State approaches to protectionism and human rights in foreign policy, and specific foreign policy mechanisms such as DRR programming.

DRR can be a part of humanitarian assistance following an emergency, or undertaken as general development aid. In a March 2012 report on the realities of disaster risk reduction aid as a portion of ODA, Kellet and Sparks analysed statistical data surrounding DRR as a facet of ODA worldwide.¹⁹ To discover to what extent global ODA embraced DRR programming, Kellet and Sparks' reported the realities of DRR aid as a portion of ODA worldwide. Their analysis depicted that of the US\$363 billion of development aid, only US\$3.7 billion was allocated to DRR programming in the top 40 recipients, which represents barely 1% of the total global development aid.²⁰ Moreover, DRR funding does not appear to be spread across many countries, or many projects. According to the report, the majority of expenditure from the period 2000-2009 was afforded to four of the top recipient countries (Bangladesh, India, Indonesia, and Pakistan), and in the period following the 2004 tsunami spending was dominated by large individual projects:

“There is further concern, looking beyond overall annual volumes of DRR financing, as those volumes hide not just variability but also very high concentrations of investments in just a few contexts. The aid trends over the decade do not show a sudden increase in expenditures from 2005 through to 2007, such as may be influenced by the lessons learned after the Indian Ocean tsunami of 2004. There is no sudden general increase in the amount of funding going to countries in need. Rather, the increases are much more about single large projects that dominate overall spending.”²¹

¹⁹ Jan Kellett, and Dan Sparks, *Disaster Risk Reduction: Spending Where It Should Count.* edited by Global Humanitarian Assistance (Wells: Development Initiatives, 2012).

²⁰ Ibid.

²¹ Ibid, 10, 15.

While an important statistical disclosure in terms of the minimal amount spent on DRR within ODA, the report did not elucidate further the categories of DRR programming. It would be applicable to examine the general orientation of global aid given to DRR projects whether for community capacity building, technical assistance, policy development, or vulnerability focussed projects – such as disability or child centred programming- in order to distinguish between popular aid choices, and those areas disregarded.

Efforts to reduce the risks of those found in areas such as the Asia Pacific are increasing through DRR programming in foreign policies and actions of donors and humanitarian and development organisations. Yet these DRR activities can overlook the human aspect necessary to foreign policies, and focus on reducing risks to administrative structures, or simply the construction of buildings. Given the very recent development of the EU's own DRR policy, there is very little available literature exploring whether ECHO's policies and partnerships in DRR programming have been effective.²²

The primary investigation of this research relates to DRR policy implementation and programming as a component of EU foreign policy. Overarching international relations theories such as neo-liberalism, constructivism and realism apply to the foreign policy aspects of this research, yet remain broad and fail to address the focal points of this research. Moreover, general EU foreign policy literature is often presented as a narrative of EU policy formation, rather than a theoretical insight into the application of current and future policies.²³ Certain EU scholars look to normative power to examine EU values in external action, such as democratic conditionality and human rights. Normative power theory considers that states and other international actors formulate estimations of the EU based on what it stands for, rather than its civilian and military capabilities, paying attention to what it says or does.²⁴ The European Union exists in a different manner than any other political body in the international

²² See I Wilderspin et al., "Evaluation of Disaster Risk Reduction Mainstreaming in DG ECHO's humanitarian actions: Final Report," 20 June 2008, <http://www.ec.europa.eu/echo/files/policies/evaluation/2008/DRRMmainstreaming.pdf> Accessed: 15 July 2011; Nigel Taylor and Sarah La Trobe, *Transforming the Commitment into Action: EU progress with mainstreaming disaster risk reduction*. (Middlesex: Tearfund, 2006).

²³ Michèle Knodt and Sebastiaan Princen, *Understanding the European Union's External Relations* (London: Routledge, 2003), 2.

²⁴ *Ibid.*

arena in that, as Manners and Whitman explain, the upholding of EU values, as requirements for membership and the amalgamation of national sovereignty, have become ‘constitutive norms’ of EU polity.²⁵ The manifestation of EU Member States uniting through common values is not a new initiative, given the very foundations of the Community are based on unity through trade. Smith suggests that the fulfilment of Member States’ priorities in exchange for compliance on other issues is common place in EU engagements, yet despite this, when it comes to EU external action, ‘common interests’ and political cooperation are encouraged.²⁶ As the EU strives to be further recognised as an influential actor in global affairs,²⁷ there have been examinations of the EU as a ‘normative power,’ such as through the work of Manners and Whitman in examining EU foreign policy, and the interaction with member states’ foreign policies.²⁸ Given the EU’s dissimilarity from other states or global actors vis-à-vis its existence, values and subsequent legislation, the EU is able to contradict what has been typically considered as ‘normal’ when influencing global politics.²⁹ This gives the EU potentially a great deal of power when it wishes to be taken seriously as an actor in international events, and also through its external actions, whether on a multilateral, regional or on a bilateral basis, as promoted by the human security model.

Over recent years, there has also been scrutiny over the translation of the supranational entity’s stance on human rights in an international context.³⁰ Holland and Doidge examine the cohesion of Member States’ domestic policies with EU policies, in addition to an exploration

²⁵ Ian Manners and Richard Whitman, “The “Difference Engine”: Constructing and Representing the International Identity of the European Union,” *Journal of European Public Policy* vol. 10, no. 3 (2003): 389.

²⁶ Michael E. Smith, “Conforming to Europe: the domestic impact of EU foreign policy cooperation,” *Journal of European Public Policy* 7, no. 4. (2000): 615.

²⁷ See Christopher Hill, “The Future of the European Union as a Global Actor’, in eds. Paolo Foradori, Paolo Rosa, and Riccardo Scartezzini, *Managing a Multilevel Foreign Policy: The EU in International Affairs* (Lanham, MD: Lexington, 2007); Hanns W. Maull, “Europe and the new balance of global order,” *International Affairs* 18, no. 4 (2005): 775-799; Michele Knodt and Sebastiaan Princen, “Puzzles and prospects in theorizing the EU’s External Relations,” in *Understanding the European Union’s External Relations*, eds. M Knodt and S Princen, (London; New York: Routledge, 2003).

²⁸ Ian Manners, and Richard Whitman, “The “Difference Engine”: Constructing and Representing the International Identity of the European Union,” *Journal of European Public Policy* vol. 10, no. 3 (2003): 380-404; Ian Manners and Richard G. Whitman, *The Foreign Policies of European Union Member States*, (Manchester, Manchester University Press, 2000); S Lucarelli and I Manners, *Values and Principles in European Union foreign policy*, (London; New York, Routledge, 2006).

²⁹ *Ibid*, 389-390.

³⁰ Laura C. Ferreira-Pereira, “Human Rights, Peace and Democracy: Is ‘Model Power Europe’ a contradiction in terms?” in F Bindi *The foreign policy of the European Union: Assessing Europe’s role in the world*, (Washington: Brookings Institution Press, 2010).

of the institutional organisation for EU external action, and the role of EU principles in subsequent action, including a brief discussion on the role of human rights in the EU's implementation of its development policy.³¹ Analysis of humanitarian policy and practice to reduce the vulnerability of individuals, therefore, leads to an improved understanding of how the EU is promoting itself as a global player and the principle of respecting human rights.³²

This research shifts the focus of values in EU foreign policy from normative theory,³³ by looking to reinforce EU values, specifically human rights, within practical examples of human security policy implementation and external strategies to influence change.³⁴ Kaldor et al. maintain that human security when based on enhanced human rights, can translate from a political concept into proactive measures by states.³⁵ The aim of this study is to assess the influence of those values, namely human rights, in the effectiveness of partnerships between various actors involved in humanitarian, development and disaster programming in reducing human rights abuses surrounding a disaster. These partners aim to generate enhanced resilience both to disasters and human rights abuses, transcending dialogue at the international level to real-time coordination at a local level. Consequently, normative EU theory is

³¹ Martin Holland and Matthew Doidge, *Development Policy of the European Union*, (Basingstoke: Palgrave Macmillan, 2012).

³² Laura C. Ferreira-Pereira, "Human Rights, Peace and Democracy: Is 'Model Power Europe' a contradiction in terms?" in F Bindi *The foreign policy of the European Union: Assessing Europe's role in the world*. Washington: Brookings Institution Press, 2010), 290; M Kaldor, "The EU as a New Form of Political Authority: An Example of the Common Security and Defence Policy," *Global Policy* 3, no. 1 (2010): 80.

³³ See Ian Manners, "Normative Power Europe: a contradiction in terms?" *Journal of Common Market Studies* 40, no 2 (2002): 235-258; Ian Manners and Richard Whitman, "The "Difference Engine": Constructing and Representing the International Identity of the European Union," *Journal of European Public Policy* 10, no. 3, (2003): 380-404; Ian Manners, "The normative ethics of the European Union." *International Affairs* 84, no 1 (2008), 45-60.

³⁴ Ian Manners, a key scholar on EU normative power, has touched on child rights in an external context, particularly in his work, "The EU's international promotion of the rights of the child," in J Orbie and L Tortell, *The European Union and the Social Dimension of Globalization: How the EU Influences the World*, (London: Routledge, 2008), where Manners discusses universal child rights in an internal EU context, or externally in relation to manmade disasters. Manners also looks to the EU as a normative power in respect to rights and social features of EU external trade policies norms in Ian Manners, "The Social Dimension of EU Trade Policies: Reflections from a Normative Power Perspective," *European Foreign Affairs Review* 14 (2009):785-803, but the discussion on rights remains mainly at a principle and policy level. In Ian Manners, "European Union 'Normative Power' and the Security Challenge," *European Security* 15, no. 4 (2006): 405-421, Manners also provides his perspective on the model of human security – referencing the specific rights of 'freedom from fear,' and 'freedom from want,' but with a strong military context. In comparison, this research looks to human security to provide a holistic approach to rights and practical applications of rights surrounding diverse insecurities.

³⁵ Mary Kaldor, M Martin, and S Selchow, "Human Security: a new strategic narrative for Europe," *International affairs* 83, no. 2 (2007): 274.

considered unsuitable for this particular study, and is replaced with a more interactive theoretical model, human security.

To evaluate the effectiveness of policy formation and subsequent action of donors in a disaster risk context in reducing child risks, and acknowledging child rights, European Union (EU) external action is analysed. The EU is an excellent case study for the analysis of cohesion in policy implementation and an evaluation of the potential need for the harmonisation of lexis in policy formation, and coherence in external action. As a supranational power, the EU endeavours to harmonise the now 28 Member States' policy objectives into one common perspective, not least in international affairs, including the provision of humanitarian and development aid surrounding natural disasters.³⁶ *Harmonisation* of policy lexis and policy formation will lead to *coherence* in praxis, or the implementation measures of the EU and Member States to enact policy obligations.

The staunch stance of the EU's humanitarian arm as an independent and autonomous body also assists in disregarding national interests of Member States in order to express common values and through the pursuit of the common goal of providing third countries with humanitarian assistance. Sjørnsen supports this, stating the EU model for external action is gradually becoming more influential in the formation of national foreign policies.³⁷ Yet when considering the humanitarian and DRR policies of Member States, in spite of the influence of supranational foreign policies, the safeguarding of humanitarian values in national humanitarian and disaster-related policies is called into question. Regardless of the European foreign policy instruments compelling Member States to adhere to certain values or goals, often the corresponding national legislation do not outwardly depict those same principles. Rather than concentrating on the role of human rights, and specifically child rights, as an European norm to be represented in European foreign policy, this research centres on the EU's enactment of upholding human rights as a principle pivotal to its objectives in foreign

³⁶ The timeframe for data collection for this research is within the period of 2002-2012. Therefore, policy profiling does not include new Member State Croatia, but explores changes in policy by the former 27 Member States.

³⁷ Helene Sjørnsen, "Understanding the common foreign and security policy: Analytical building blocks," in *Understanding the European Union's External Relations*, eds. Michèle Knodt and Sebastiaan Princen. (London: Routledge, 2003): 50.

policy formation, and practical translations of that principle in the specific EU external action mechanisms. This is best reflected in the partnerships between the EU, its Member States, and external partners to implement DRR policies and subsequent programming.

This study therefore also adds to the field of European studies in practical terms by evaluating the effectiveness of partnerships between the EU and humanitarian actors through the investment and implementation of local DRR programming, an area yet to be fully explored in academic literature. To evaluate the effectiveness of partnerships exclusively, this study has accrued circumstantial, financial, and organisational data related to DRR programming in the Asia Pacific region. There are several FPAs partners indicating partner involvement through project outlines on their websites. Linkages primarily focus on UN agencies, other international organisations, or in several cases, corporate partners to assist in carrying out FPA activities. Throughout the FTS data, several projects indicate there are various partners involved, rather than having a primary organisation in charge of project implementation. In such cases, it is unsure which agencies are the partnering organisations, making it complex for project evaluation, and funding trails from EU mechanisms. Despite a limited recognition of partners assisting project implementation by child-centric FPA partners in the Asia Pacific region, data collation for this research has shown there is a multitude of local organisations carrying out activities in the region, with the capacity to assist these European-based organisations. Collaborations between international and locally-based organisations enhance the legitimacy of the project where resident organisations often have a better understanding of local milieu. This can be in terms of the physical hazards faced, the political environment, and the physical and social vulnerabilities adding to forthcoming risks surrounding a disaster. In turn, the support of local organisations assists in the administrative aspects of project implementation, in particular the assessments, monitoring, evaluation, and subsequent dissemination of the project outcomes.

This thesis therefore draws on the embedded methodology of lexis-praxis emphasised by the model of human security to measure the effectiveness of policy formation, by analysing the partnerships to implement foreign policy objectives. There has been limited recognition of

human rights-based approaches to disasters,³⁸ but with a lack of acknowledgement of the interrelationship between rights and risk, despite the need to recognise both throughout the disaster cycle. In its 2013 report, the United Nations International Strategy for Disaster Risk Reduction (UNISDR) stated the ‘modus operandi’ for building resilience was revolved around the strengthening of partnerships and empowerment of stakeholders.³⁹ While multi-stakeholder engagement and the utilisation of all channels of implementation are pivotal to a rights-based approach, the above objective from the UNISDR brings with it uncertainty over what ‘empowerment’ represents, and the roles of actors in the processes surrounding DRR for it to be effective, and contextually relevant. The responsibilities of actors, not least donors, involved in DRR programming centres also on the recognition of the rights of those at risk, whether in the protection or engagement of individuals and groups in DRR decision-making processes. In this study, the human security model is employed to assess whether there has been a filtration of rights from umbrella EU external action approaches through to its specific DRR mechanism. The thesis looks at applications of lexis in the content of EU DRR strategies, in conjunction with rights-based child protection measures through EU partnerships and DRR programming at a local level, to evaluate the effectiveness of EU policy implementation. The analysis discussed in this thesis thus assists in addressing a gap in literature on the EU and humanitarian assistance, and specific discussions of child protection in EU external action. Literature has previously been generated in peripheral fields of European development, humanitarian aid, and the protection of children and their rights in disaster risk reduction policies. However, little of the EU literature refers to the Asia-Pacific,⁴⁰ and more particularly, Pacific states in the region,⁴¹ and with a lack of focus on disasters, despite the susceptibility of the region to natural disasters, as this research has found

³⁸ See Jean Connolly Carmalt, and Claudine Haenni Dale. ‘Human Rights and Disaster,’ in *Routledge Handbook on Hazards and Disaster Risk Reduction*, eds. Wisner et al. (Abingdon; New York: Routledge, 2012), 67; Cheria Anita, Sriprapha Petcharamesree & Edwin, A Human Rights Approach to Development, Books for Change, (Bangalore, 2004).

³⁹ UNISDR, *Building resilience to disasters through partnerships: Lessons from the Hyogo Framework for Action*, (Geneva: UNISDR, 2013).

⁴⁰ Thomas Christiansen, et al., *The Palgrave Handbook of EU-Asia Relations*, (Basingstoke: Palgrave Macmillan, 2013).

⁴¹ Stephen J. H. Dearden, “EU Aid Policy towards the Pacific ACPs,” *Journal of International Development* 20, (2008): 205-217; Martin Holland and Malakai Koloamatangi, “Governance, Capacity and Legitimacy: EPAs, EBA and the European Union’s Pacific Regionalism after Cotonou,” In *Redefining the Pacific? Regionalism Past, Present and Future*, eds. Jenny Bryant-Tokalau and Ian Frazer (Aldershot; Burlington: Ashgate Publishing Limited, 2006), 101-120.

very little academic writing on the EU and EU Member States' activities and collaborations in DRR in the Asia-Pacific region.

1.2 THE RESEARCH PUZZLE

How are European Union (EU) partnerships effectively addressing child protection in disaster risk reduction strategies in the Asia Pacific? This research measures EU policy effectiveness to examine how EU policies translate into collaborative actions between the EU and partners in disaster risk reduction programming in the Asia Pacific.⁴² These third party actors include European international and non-governmental organisations, local donors and local national government and non-government organisations. This core research question looks at the partnerships between the EU and third parties to evaluate the implementation measures of both groups in addressing child resilience when a disaster occurs. It investigates trends of policy, funding and implementing partners from the EU in carrying out its humanitarian objectives in disaster risk management. Partnerships with such actors will be evaluated through the human security model, and human rights impact assessments to evaluate *lexis* and *praxis* in DRR decision making. Using a qualitative approach, this research question is analysed through data collection in the form of interviews, datasets and policy analysis assist in addressing the primary research question. Assessments of the representation of child rights in EU foreign policy mechanisms pinpoint elements of child protection in DRR actions. This is an important consideration in view of the perceived influence of the EU as an actor in global affairs.⁴³ Evaluation of EU and Member States' policies also reveals whether there has been harmonisation of common DRR legislation, and consequently the recognition of children and their rights in such policies. Harmonisation of domestic policies with the overarching supranational policy of the EU is an element emerging from this discussion as cohesion in policy formation can be viewed as important for coherent actions by the EU and Member States in an international context. Appreciation of regional and local DRR actions of

⁴² See Appendix I for a map and list of countries included in this thesis as part of the Asia Pacific.

⁴³ See Christopher Hill, 'The Future of the European Union as a Global Actor', in eds. Paolo Foradori, Paolo Rosa, and Riccardo Scartezzini, *Managing a Multilevel Foreign Policy: The EU in International Affairs* (Lanham, MD: Lexington, 2007)

recipient countries of EU funding is equally important in acknowledging local values and vulnerabilities when it comes to EU DRR policy formation and consequent action.

To evaluate the primary research question, the delineation of the research components creates a deeper awareness of the elements of the research question. Consequently, insight of research variables shapes data collection, and influences data analysis to assist in drawing conclusions and answering the research question itself. Child protection measures and effective disaster risk reduction strategies as features of EU external partnerships are discussed through the use of supplementary research questions. These questions assist in examining the different, but interlinked, components of this research. These inquiries evaluate the effectiveness of partnerships between the EU and associated actors, through DRR strategies and levels of child protection. As such, in addition to the core research question, the research considers the following sub-research questions.

Does the EU's DRR decision-making in external action policy and practice mainstream or isolate children in DRR programming? In a review of the integration or separation of children in EU-financed DRR activities, this question supports the correlating core research question of measuring the effectiveness of DRR programming, and the perceptions of protectionism in donorship. This research question also interlinks with other sub-questions through the investigation of the timing of child-centric DRR programming, throughout the disaster cycle, in positioning DRR programming as part of the disaster cycle and EU humanitarian assistance mechanisms. Indeed, the mainstreaming or isolation of child-related activities through the human rights impact assessments reflect the views of donors on the implementation of human rights in specific external action mechanisms.

Is disaster risk reduction being effectively implemented as part of EU external action? This question refers to the over-arching research objective of evaluating EU disaster risk management, and more specifically DRR policy and programming as part of EU foreign policy. To do so, the core institutional structure of the EU, in particular its executive arm, the European Commission, must be explored. This encourages the discussion of the location of disaster risk reduction as part of European humanitarian and development assistance, and the

implications on EU contributions in the field in third countries. Implementation barriers for third parties in accessing financial support for DRR projects are a key aspect of this question. EU policy analysis and interviews with key staff from EU institutions assist in analysing this sub-question. In addition, elements of praxis through EU partnerships such as the financing of DRR and the selection of partners to implement EU-funded DRR are pivotal aspects to answering this question.

What measures do Member States take to respond to child protection in disaster risk reduction policies as part of foreign policies? To analyse the EU's position on addressing child vulnerability in DRR programming, there must be an investigation of Member State policies towards DRR and their considerations of protectionism for children in their foreign policies. This leads to an analysis of legislative cohesion amongst Member States and overarching EU policy and practice. In doing so, the human rights impact assessments of lexis and praxis by Member States in their policies assists in answering this sub-question of whether Member States apply human rights-based approaches to their foreign policies in responding to child protection. It also assists with determining correlations between Member States' policies, where EU Framework partners are located within Europe, and the access of partners to EU donorship in financing DRR programming. As part of the human rights impact assessments, extensive policy analysis and data collection of funding profiles has been undertaken to assess this aspect of the research.

How is the EU assisting child-centric DRR project implementation in the Asia Pacific? This supporting question looks to the implementation mechanisms of the EU corresponding to the project cycle of DRR programming. The objective is to analyse occurrences of natural disasters, and the involvement of the EU to protect children surrounding a natural disaster. In addition, implementation channels for partners are evaluated at a European level, and local level to review the chain of partnerships between the EU and its partners. Funding profiles and datasets of natural disasters and DRR project implementation in the Asia Pacific assist in addressing this sub-question. Interview data with practitioners and organisations involved in EU-financed DRR programming evaluates the prevalence of EU project implementation, and

positive and unconstructive aspects of said implementation channels to implement DRR programming at a community level.

1.3 RESEARCH METHODOLOGY

Having outlined the research parameters of this thesis, the following section establishes how these questions will be investigated, and consequently analysed. Qualitative units of analysis of DRR policy profiling, natural disaster data, donor funding profiles, donor-partner activities, and appropriate semi-structured interviews coalesce in a unique and complex methodology, in order to measure rights-based policy effectiveness and elucidate whether EU activities in DRR strategies are indeed effective in reducing risks to child protection during the disaster cycle.

This is a longitudinal study as data has been accumulated to cover the period of 2002-2012. This ten year period has been chosen as it covers key policy milestones in Europe and the Asia Pacific in the fields of child rights and disaster risk reduction. Natural disasters, which took place in the Asia Pacific during the period 2002-2012, are analysed to scrutinise EU and Member State DRR policy formation and subsequent implementation. This timeframe has been chosen to represent significant advances in European humanitarian and disaster risk reduction policies during this time, rather than evaluating all historical developments of European humanitarian aid. The research evaluates the data until the end of 2012 to coincide with the introduction of the European External Action Service (EEAS) as ascertained under the Lisbon Treaty, and the interaction between ECHO and the EEAS as the overarching foreign policy mechanism. As expanded on below, cross-sectional data analysis of the data sets and interviews over the research period assists in evaluating the relationship between the different aspects of this research. In doing so, it assists in drawing initial conclusions on the impact of the EU legislative and practical actions, particularly surrounding the Lisbon Treaty, on child protection measures in EU DRR partnerships, in order to answer the primary research question and sub-questions.

Methodological triangulation

Methodological triangulation is achieved by including a composite methodology of a multitude of data sources with varied investigations. For this study, methodological triangulation of content analysis of EU and Member State policy formation, data on EU-financed DRR project implementation,⁴⁴ and semi-structured interviews at a European and Asia Pacific level. Triangulation assists in accomplishing the specific research objectives of the thesis in measuring the effectiveness of EU donorship. Analysis of EU approaches to human rights and child rights, European donorship and partnerships in humanitarian aid, and the accumulated data of Asia Pacific natural and manmade disasters have all added to the holistic understanding of the broad themes of this field. David and Sutton emphasise the need to choose a methodology, which clearly explicates the context of the research.⁴⁵ In support of triangulated methodology, Webb states:

“Once a proposition has been confirmed by two or more independent measurement processes, the uncertainty of its interpretation is greatly

⁴⁴ Running in parallel to data collation specific to this thesis, several research projects have been undertaken alongside primary supervisor and Senior Fellow at the National Centre for Research on Europe, Dr. Katharine Vadura. The data collection for these projects have been done solely by the researcher, allowing for legitimate use of the data where applicable in this thesis. In the first project, *“Lesser Voices, Vital Need: European Union Humanitarian Action in the Asia Pacific and the Protection of Children,”* research, and data collection and analysis were undertaken as part of research responsibilities during a Summer Scholarship 2009-2010. This was jointly funded by the University of Canterbury and the Tertiary Education Commission of New Zealand (TEC). This particular project collated European general and child-centric humanitarian assistance policy formation, in conjunction with mapping European and Asia Pacific organisations active during disasters in the region. This necessitated also mapping of all natural and manmade disasters in the Asia Pacific during 1999-2009. This dataset was then updated by the researcher through the subsequent 2010-2011 project funded through the European Union Centres Network (EUCN) New Zealand, *“Partnerships across the Asia Pacific: assessing the impact of EU external action in protecting and promoting children’s rights.”* By updating this database, EU involvement and disaster occurrence during 2010 could be collated and analysed. For the second EUCN-funded project *“Is anyone listening? European Union human rights in external action,”* the researcher updated policy analysis as part of secondary sources from European and Pacific foreign policy and development strategies analysis. This involved collection and documentation of policy development in relation to EU human rights in external relations, and additionally of children’s rights and a review of approaches relating to conditionality and protection mechanisms across different sectors. Nevertheless, facets of this research, have necessitated further data collection and analysis solely for this thesis. Specifically, content analysis of the EU and Member State foreign policies specific to the human security model, and DRR programming, in addition to European humanitarian and overseas development aid expenditure and DRR policy and programming analysis.

⁴⁵ Matthew David, and Carole D Sutton, *Social Research*, (London; Los Angeles; New Delhi: Sage,2004), 27.

reduced. The most persuasive evidence comes through a triangulation of measurement processes.”⁴⁶

In particular, triangulation of data collection, textual study and interview questioning can assist in clarifying any incompatibilities between data sources. The verbalisations in interviews are confirmed by the actions revealed in the extraction of relative data.⁴⁷ Similarly, selected interview subjects support data analysis. With this underlying rationale, the research employed the following three core qualitative data types to encapsulate the rights-based research objectives of this study. Firstly, content analysis allowed for the policy profiling of EU and Member State⁴⁸ DRR and human rights policy formation. Secondly, observations of qualitative data have been collated on different components of EU DRR. Lastly, interviews of European Union bureaucrats, and partner organisations in the form of in-depth, semi-structured interviews represented the last component of the methodological triangulation. As expanded on below, these methodologies intertwine to form a robust dataset on the phenomenon of child protection within the context of EU donorship and DRR in the Asia Pacific region, within which it is formulated into impact assessments for the representation of human rights in EU DRR programming. Components of these assessments are discussed and as such, are rendered valuable to the field of study.

The creation of human rights impact assessments for this study is assisted by the model of Turner and Morgan as a means of measuring human rights.⁴⁹ This is a three-tiered approach surrounding indicators of *principles* (international standards) combine with *policy formation* (domestic and regional legislation and mechanisms) and *practice* (in this case event-based measures of human rights.)⁵⁰ Turner and Morgan do not refer to the humanitarian sector specifically, but this approach is able to be applied to this research when looking at

⁴⁶ Webb et al., *Unobtrusive Measures: Nonreactive Measures in the Social Sciences* (Chicago: Rand McNally, 1966), 3.

⁴⁷ Matthew David, and Carole D Sutton, *Social Research*, (London; Los Angeles; New Delhi: Sage, 2004), 27.

⁴⁸ The timeframe for data collection for this research is within the period of 2002-2012. Therefore, policy profiling does not include new Member State Croatia, but explores changes in policy by the former 27 Member States.

⁴⁹ B Turner and R Morgan, “Measuring Human Rights,” *Interpreting Human Rights: Social Science perspectives*. (London; New York: Routledge, 2009).

⁵⁰ B Turner and R Morgan, “Measuring Human Rights,” *Interpreting Human Rights: Social Science perspectives* (London; New York: Routledge, 2009), 32 - 33.

international disaster risk and human rights principles,⁵¹ content analysis of policy formation, and event-based disaster-centric praxis.

The human rights impact assessments of the actions of the EU and its Member States, necessitated data collation from a variety of well-reputed online sources relating to key areas of this thesis.⁵² Contemporary research dependence on assembled data sources, such as data compilations from online portals facilitated the extraction of relevant data corresponding to the core research objectives.⁵³ At the time of data collection, there was no primary online portal accruing all relevant data relating to disasters, which was needed for this research. Data sources were thus combined in a holistic data set to draw attention to the central aspects of the data, the relationships between the data, and draw valid conclusions beyond the raw data itself. The collation of data surrounding praxis allows us to discuss human rights in practical terms, and fill the void in the employ of the human security model, which has yet to be applied through human rights impact assessments of applicable donor-partner data, in order to gauge elements of human rights in DRR praxis. Qualitative data analysis tools of data isolation, long-term involvement, and pattern correlation are applied to the disaster-related dataset to test the theoretical framework and also to explain, predict and validate phenomenological elements of this study.

The initial element of methodological triangulation for this thesis is represented by the evaluation of lexis in policy formation, where an evaluation of the upholding of, or disregard for, human rights is achieved by way of content analysis of policy formation, in conjunction with subsequent implementation of those policies.

⁵¹ This specifically refers to states' adherence to international conventions, specifically the United Nations Convention on the Rights of the Child, and Hyogo Framework for Action 2005-2015, as the current guiding international principles for child rights and disaster risk reduction respectively.

⁵² See Appendix II for a full outline of the individual components of the human rights impact assessments and how they have been applied in each part of this thesis.

⁵³ A K Chandanan and M K Shukla, "Data mining for qualitative dataset using association rules: a review," *International journal of Advanced Research in Computer Science and Electronics Engineering* 2, no.2, (2013): 237.

POLICY PROFILING		
Research data	Analysis tool	Measure of human rights / human security
European Union Policies	Content Analysis Pattern correlation	PRINCIPLE/POLICY LEXIS
Member State policies	Content Analysis Pattern correlation	PRINCIPLE/ POLICY / LEXIS

Table 1.1: Policy Profiling as part of methodological triangulation for the human rights impact assessments of EU DRR programming.

All foreign policies pertaining to child rights, human rights, and disaster risk management, of the EU and Member States were catalogued⁵⁴ and analysed to evaluate areas of cohesion and disparity. Due to the often intersection of the function of DRR programming in humanitarian and development policies, a holistic approach to EU and Member State foreign policies was taken, in addition to human rights policies to review approaches to child rights, and child protection. Initial policy analysis⁵⁵ deduced whether EU and Member States’ policies focus on the ‘needs’ of those at risk, where a needs-based approach is centred on the immediate risks faced by individuals surrounding a disaster, namely food, shelter and water. Or, where policies consisted of an overarching rights-based approach to DRR programming as part of their foreign policy. A rights-based approach, centred on the rights of those at risk, recognises a comprehensive approach to risk, including the physical and social needs and vulnerabilities of individuals and groups, in both the short and long-term risks surrounding disasters. Content analysis additionally included the components of human security aligning with international obligations of donors in undertaking DRR programming at the various levels of governance. For example, explicit indications of accountability, aspects of project implementation and reporting, and local ownership. In doing so, this lexical analysis aligned with the core components of a rights-based approach. In doing so, child rights, and specific praxis surrounding child protection are observed as either mainstreamed or isolated in foreign policy formation. Rights-based policy analysis was also undertaken thematically to review whether policies recognised children, child rights, and child risks and child protection as a core aspect part of child rights. A rights-based approach to content analysis included themes of social risks, to allow for social

⁵⁴ See Appendix II for a full list of EU and Member State policies included in this research.

⁵⁵ Search term, ‘needs’ or ‘rights’ for overarching policy basis. See Appendix II for all search terms.

vulnerability. Lexical content analysis of human rights and individual references to child rights and child risks in policies are undertaken in specific alignment with the United Nations Convention on the Rights of the Child (UNCRC), as expanded on in detail in Chapter IV.

In terms of praxis, content analysis of EU policies and Member State foreign policies also examines practical channels of human security, such as governance and local ownership,⁵⁶ in addition to accountability and transparency in partner activities, through the financing of project implementation. Praxis, according to the model of human security also surrounds the activities undertaken through EU partnerships by the EU, its Member States, FPA organisations, and in-country actors, during the phases of DRR project implementation. Specifically, this study considers DRR praxis to include measures of child protection in EU-financed humanitarian and DRR projects. This allows for a secondary level of analysis for the human rights impact assessments of the EU DRR programming in the Asia Pacific.

DRR PRAXIS DATA COLLATION		
Research data	Analysis tool	Measure of human rights / human security
European financial profiles	Data isolation Long term involvement Pattern Correlation	PRACTICE / PRAXIS
EU- FPA partners (general & child-centric)	Data isolation Pattern Correlation	PRACTICE / PRAXIS
Natural disaster data	Data isolation Long term involvement Pattern correlation	PRACTICE / PRAXIS
Asia Pacific DRR projects	Data isolation Pattern Correlation	PRACTICE / PRAXIS

Table 1.2: DRR praxis data collation as part of methodological triangulation for the human rights impact assessments of EU DRR programming

The 173 European international organisations, governmental and non-governmental organisations administering humanitarian assistance through an FPA with the EU were

⁵⁶ Mary Kaldor, *Human Security: Reflections on Globalisation and Intervention*. (Oxford: Wiley, 2013).

individually assessed by a review of their website profiles and EU financial support, as the basis for the partnership analysis between the EU and its partners. Website explorations of each partner established the organisations' mandates, disaster type, type of project implementation (immediate aid only, disaster preparedness, etc), and any public acknowledgement of committed EU funding. These partners were then filtered by country to review the level of involvement of particular Member States, or European country, in facilitating EU humanitarian assistance and disaster risk reduction programming throughout the world.

Partners were also classified as general or child-centric to establish what level of humanitarian assistance implemented using EU funding was implemented for children or child protection. Web-based analysis of the data on EU and Member State funding for disasters, whether immediate response or disaster risk reduction programming was found through the Financial Tracking Service (FTS) database, which is hosted by the UN Office for Coordination for Humanitarian Affairs (OCHA).⁵⁷ This database enables data to be extracted on financing of all reported aid undertaken through international organisations such as the Red Cross, and all government or non-government organisations. This also includes bilateral assistance from donor to partner countries, or private assistance.

Data mapping was completed of all natural and manmade disasters that took place in the Asia Pacific region from 1999 to 2012. For analytical purposes, there was a specific objective of acquiring figures on populations within countries affected for each disaster. The other research aim was to record cross-border disasters, where disasters affected several countries. Populations affected were collated from the GLIDE database.⁵⁸ To analyse disaster data, this

⁵⁷ United Nations Office for Coordination of Humanitarian Affairs (OCHA), "Financial tracking service: Tracking Global Humanitarian Aid Flows", <http://fts.unocha.org>. Accessed: 15 November 2012.

⁵⁸ The online source publishes data relevant to individual disaster scenarios. The GLIDE database is endorsed by the Centre for Research on the Epidemiology of Disasters (CRED) of the University of Louvain in Brussels (Belgium), OCHA/ReliefWeb, OCHA/FSCC, ISDR, UNDP, WMO, IFRC, OFDA-USAID, FAO, La Red and the World Bank, which makes it the most trustworthy source available for crude disaster information. It is an accumulation of scientific data records, data from regional disaster response centres, reports from international humanitarian assistance organisations, and media sources. The data produced can be filtered depending on the type of disaster (such as cyclone, drought, earthquake, epidemic, famine, fire, heat-wave, landslide, or tsunami), the continent or the country affected, and the date of the disaster. The GLIDE database is administered by the

research focuses on populations affected by a singular disaster occurrence. This judgement was made as the term ‘affected’ is inclusive of all citizens who have deceased, been injured, or had their lives disrupted by a disaster, such as displaced or evacuated citizens.⁵⁹ One shortcoming of the GLIDE system is the lack of filter for the different cohorts, such as populations deceased, populations affected, households affected, or populations dead and injured. Thus, the figures produced for a single disaster may be the only known data from all sources, which for instance, may not be those affected, but instead the amount of households evacuated. Data collated from the GLIDE database was supported by the international disaster database, EM-DAT, established by the Centre for Research on the Epidemiology of Disasters (CRED) of the University of Louvain in Brussels, Belgium.⁶⁰ To support data sources described above, this research also refers to the ‘CRED Crunch’ reports, provided by the CRED research centre,⁶¹ which indexes the largest global disasters every six months. The reports summarise, at a regional and country level, trends in disaster occurrence, and provide total figures on populations killed and affected. Subject to the data available, economic losses may be provided by way of total damage in US dollar value, or by the percentage of the national Gross Domestic Product. This was particularly useful in the case of small island states, where populations are not as large as some in the Asia Pacific, but the percentage of damage as an economic loss can be largely indicative of the effect it has on a Pacific state economy. The EM-DAT database is also able to filter to this level of analysis if necessary, yet like the GLIDE database, populations affected by a disaster are commonly not filtered further to demographics or vulnerable groups, which would be extremely applicable to the child protection element of this research. This is a consequence of unattainable data surrounding a particular disaster and poses a problem for data analysis and research findings. Both GLIDE and EM-DAT do not extend past the core disaster data areas of country, date and those

Asian Disaster Reduction Centre (ADRC). See Asian Disaster Reduction Centre (ADRC), “Global Identifier Number”, <http://www.glidenumber.net/glide/public/about.jsp>, Accessed: 26 April 2010.

⁵⁹ The Centre for Research on the Epidemiology of Disasters (CRED) uses the following definition for populations affected by a disaster for their international disaster database, EM-DAT: “those requiring immediate assistance during a period of emergency; it can also include displaced or evacuated persons.” CRED, ‘Criteria and Definition,’ 2009, <http://www.emdat.be/criteria-and-definition>, Accessed: 9 September 2013. This widely embraced definition for populations affected is employed for this research as children can be also be at risk when displaced or evacuated, at different points of the disaster cycle.

⁶⁰ Centre for Research on the Epidemiology of Disasters (CRED), ‘EM-DAT: The International Disaster Database,’ <http://emdat.be/database>, Accessed 4 April 2013.

⁶¹ Ibid.

affected, thus does not include broad organisation participation, donor financial profiling and any subsequent activity following the immediate response, such as DRR programming. Despite these factors, GLIDE remains the primary source for such information on disaster occurrences, and links to international organisation and media accounts of the immediate response to a disaster. Analysis and research findings can be achieved by coupling available data with subsequent data from other areas. As the majority of disaster data available surrounds immediate humanitarian assistance, it was also necessary to uncover where the EU was facilitating DRR in the Asia Pacific, and via which partners. The UN International Strategy for Disaster Reduction has created a Disaster Risk Reduction Project portal for Asia and the Pacific,⁶² to access on projects in the region, whether completed, current or upcoming. It can be filtered by donor, which is vital to develop trends in financing DRR projects, geographic trends and which funding mechanism the EU is using to facilitate DRR programming.

In-depth interviews represent the third aspect of methodological triangulation for this study, to support the human rights impact assessments and policy content analysis as measures of the effectiveness of EU DRR programming. 27 interviews have been undertaken with key informants to investigate EU partnerships,⁶³ resulting in enhanced understanding of DRR policy formation and decision-making within EU institutions, and from those engaged in the implementation of DRR programming in the Asia Pacific. This is an adequate amount of cases, as the interviews acted as support for the other two forms of data collection in triangulation, thus supported the human-rights impact assessments and policy analysis. The points of view of the participants presented the researcher with sufficient access to information across the different cohorts of participants for data comparability, along with content to build on the theoretical basis of this study.

⁶² United Nations International Strategy for Disaster Reduction, Disaster Risk Reduction Project Portal for Asia and the Pacific, <http://www.drrprojects.net/drrp/drrpp/home> , Accessed 4 April 2013.

⁶³ See Appendix III for a full list of interview data included in this research.

INDIVIDUAL LEVELS OF THE INTERVIEW DATA		
Research data	Analysis tool	Measure of human rights / human security
European Union bureaucrats	Data isolation Pattern Correlation	PRINCIPLE/ POLICY / LEXIS PRACTICE / PRAXIS
European DRR practitioners		
European FPA partners		
Donors / UN agencies / In-country practitioners /		

Table 1.3: DRR interview data collation as part of methodological triangulation for the human rights impact assessments of EU DRR programming

One prominent threat to research validity when including interviews as a unit of analysis is the possibility for subjects to alter their responses from the truth. Berry reminds researchers interview participants are not obligated to disclose their genuine opinions of a matter.⁶⁴ Moreover, Berry warns to be conscious of interviewee tone and mannerisms as subjects may appear knowledgeable on a subject but this should not influence a researcher’s judgement to consider that particular report as more true to reality than other participants’ accounts.⁶⁵ As such, while the primary role of the interviews in this study as a data source was to validate data analysis from the former two data sources, the interviews were also reliant on the other data sources to confirm (or refute) the claims of interview participants. Given these qualitative grounds for interview data analysis, participants were hand-picked as opposed to random selection. The rationale behind this decision surrounds limited access to high-level EU bureaucrats, and DRR practitioners located in-country.⁶⁶ In addition the respondents needed to be suitable for the information required, depending on which facet of the thesis they were responding to as the interviewees represented the different areas of this research and facets of European processes and Asia Pacific disaster risk reduction.⁶⁷ Actors

⁶⁴ Jeffrey M Berry, “Validity and Reliability Issues in Elite Interviewing,” *Political Science and Politics* 35, no. 4 (2002): 680.

⁶⁵ Ibid, 680.

⁶⁶ Specifically, in Vanuatu, where in-country interview data was gathered.

⁶⁷ A directory to interview data collation for this research can be found in Appendix III

involved in DRR policy formation and practice are represented, as are experts in the field to gain their perspective of the area of research. At a grassroots level, the effect of DRR policy and dialogue between local actors and community members, particularly drawing on the Pacific nation of Vanuatu as a country extremely susceptible to disasters, and as a country, which the EU is engaged in financing DRR programming. Participation in these interviews was done so voluntarily, and informed consent was given prior to the interview. Subjects were not placed in any situation where they were put at risk of any kind. The interview contents remained confidential and subjects were asked to confirm whether they wished to remain anonymous or consented to the disclosure of their identity in any published documents. Following the interview written transcripts were sent for participants to check direct quotations. Interviewees were then given the opportunity to withdraw from the research if they so wished up until a date specified.⁶⁸ Children were not included as participants in this research. This is because the focus of the research surrounds the bureaucratic processes and partnerships between the EU and its partners, and how these actors in implementing EU-financed DRR projects supported children and child rights. However, it is acknowledged that the effects of these processes can have a significant impact on children and their rights. In this sense, interview questions to child advocacy organisations, or those involved with implementing child-centric DRR projects at a grassroots level, surrounded child vulnerability, the impacts of policy formation on children and their rights, and the protection of children at a time of crisis.

Interviews have been undertaken using a semi-structured format. Semi-structured interviews are systematic but are flexible enough to divert from guideline questions. The interviews cover established topics and follow a general script, which, if requested, is provided to the interviewee. The structure of questions is, however, open-ended to allow the conversation to develop in different directions. Interview questions varied between the subgroups of key informants, yet within those groups subjects were asked the same questions. This allowed for variance between interview participants, but comparability between responses from within a group. Prior to the interview, participants were given an introduction to the general outline of

⁶⁸ Consent forms contained a date for the withdrawal for the project. Additional contact was made with participants for any contributions to be amended or withdrawn prior to submission.

the topics and questions to be covered in the future interview. This decision to provide respondents with preliminary access to interview questions can have a negative impact on data received, and consequent research findings, as participant responses are predetermined as they have been given time to consider and formulate answers. Nevertheless, Bernard suggests this is most useful when interviewers will not get more than one chance to interview a subject.⁶⁹ He mentions also it is a successful method when interacting with high-level bureaucrats and elite members of a community as they are accustomed to efficient use of their time. This strategy by the researcher also demonstrates control of what needs to be covered, while remaining flexible enough to let a conversation develop in different directions.

Validity concerns

By combining a variety of data sources, results are substantiated and validity is increased. Nevertheless, there are several aspects of this research which could impact its outcomes. The chief concern of validity surrounds the variance in disaster-related data, which can have a negative impact on end findings. The reasons for this surround potentially inaccurate numbers of people affected, where estimates are likely to be higher due to unknown location of people during a time of crisis. Secondly, online donor and humanitarian organisation financial or project data can often be limited due to a lack of data input into the online databases. The data sources used are considered the most accurate and credible databases as an initial point of information. In addition, internal transparency issues between the EU and its partners surrounding the responsibilities of partners to make visible EU-financed project proposals and outcomes online or via international databases indicates a potential lack of information dissemination. This will be expanded on in Chapter IV of this thesis which assesses issues of accountability surrounding project implementation. As such, the data collated from the websites of partner organisations may not reflect their full involvement in either child-focussed projects, or DRR projects, dependant on the case in point.

⁶⁹ H. R. Bernard, *Research Methods in Cultural anthropology* (3rd edition) (Oxford: Sage Publications, 2002,) 203.

The focus of this thesis is to evaluate European partnerships to emphasise rights-based approaches to child protection and reducing the risks related to children throughout the disaster cycle. With this in mind, environmental, technical, infrastructural, or economic effects of a natural disaster on Asia Pacific states will not be discussed unless they are related to the risks faced by children, or influential to respecting their rights. The research recognises the similarities of risks faced by children in the context of natural disasters. Indeed, in Chapter III, the study investigates the use of lexis by the EU and Member States in child rights and reducing child vulnerability in its external action, which can apply to both natural and manmade disasters and consequently pose risk to the legitimacy of policies and institutional structures involved in disaster management, and child protection.

The thesis remains focussed on European strategies and partnerships surrounding natural disasters as the primary focus of the EU's DRR strategy and as part of the mandate for DIPECHO. Because of the limited amount of literature examining DIPECHO's role in disaster risk management, specifically DRR programming, it was important the mandate, institutional functions and partnerships of DIPECHO were the focus of this research. In this sense, data extractions and the selective interviews undertaken for this study focus primarily on coordination with DIPECHO, with reference to other European Commission mechanisms, such as the European External Action Service and the Directorate General for Development Cooperation where appropriate.

This research recognises the influence of other donors in the Asia Pacific region besides the EU and its Member States in implementing its disaster risk reduction strategy. Due to restrictions of scope, this research is unable to compare the roles and processes of alternative donors in the region in depth, but to a lesser extent, will look at comparable praxis and measures of human security in the region.

While representing an interesting form of analysis, this study does not include exhaustive content analysis of Asia Pacific domestic disaster-related policies. The scope of the research has meant that only general policy mapping of general development policies, disaster risk management strategies and foreign policies of Asia Pacific states has been undertaken to

illustrate cases-in-point or trends of child rights in policy formation. Asia Pacific states were consequently included in this study were analysed for a general understanding of DRR processes vis-à-vis the focal research themes of human rights and child protection, but not included as part of the lexical analysis.

This section has given an overview of the methodological framework for this thesis. A chain of evidence is achieved where data collection and cross-sectional data analysis of the datasets and interviews over the research period assists to evaluate the relationship between the different variables of this research and draw conclusions to answer the primary research question and sub-questions. The results-orientated data analysis pulls together the data in the form of the human rights impact assessments, when applied to the EU and Member States. The components of the research triangulation feature in the table below to outline how each aspect of the dataset align with Turner and Morgan’s human rights methodology and correspond with the human security foundations of lexis-praxis to create the basis for the DRR human rights impact assessments. The figure below depicts how the data sources and human rights- based approach intertwine with the research variables of the primary research question.

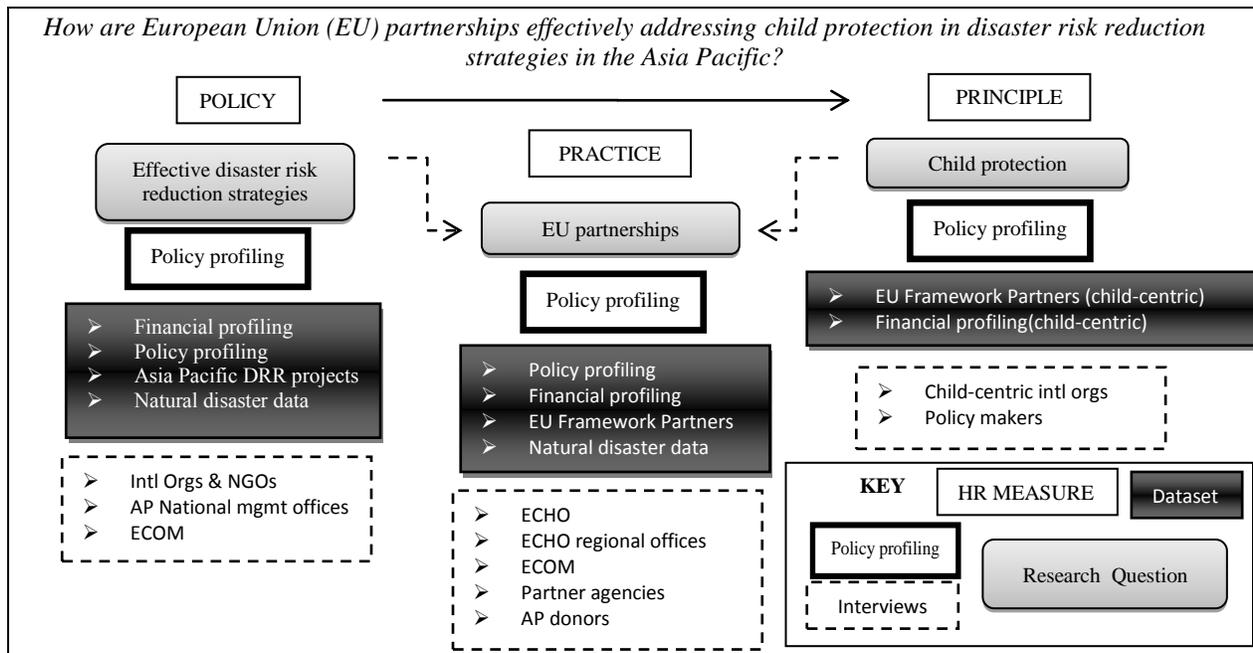


Figure 1.1 Intertwining a rights-based approach & use of data to address focal research questions.

The theoretical basis of human security is consequently rationalised by including both policy profiling and event-based data for the lexis-praxis methodology, to ensure the ensuing human rights impact assessments are process-orientated. In summary, a rights-based methodology through the lens of human security has been applied to the research variables. The human rights impact assessments assist in demonstrating how a rights-based approach to DRR as part of humanitarianism and development can be effectively put into practice, translated from simply lexis and a foreign policy objective. Subsequent sections investigate thematic areas including EU institutional and trends of lexis in global disaster risk management, establishing a foundation to evaluate EU child-centric DRR praxis in the Asia Pacific in subsequent chapters. Statistical representations of the core data accentuate trends, cycles and distributions in the data to formulate conclusions in the analytical chapters of this thesis.

1.5 THE THESIS OUTLINE

Throughout this thesis, the research investigates the preventative reactions of the EU and its Member States in addressing child protection and the social risks faced by children during the disaster cycle.

The second chapter depicts the boundaries of this research. The definitions exercised in this study place the thesis within the field of study. EU and Member State internal and external legislative, fiscal, and partner-based processes provide the foundations for the conceptual and analytical chapters. Through a narrative on existing literature in the field, the basis for collaborations between the EU and its partners portrays linkages through lexis employed in DRR policy formation, followed by an investigation into EU and Member State DRR praxis in the Asia Pacific.

The third chapter of this thesis provides a conceptual overview of the core aspects of the human security model, and the elements to be evaluated in this thesis, as part of the lexis-praxis methodology. Firstly, it explores lexis surrounding a rights-based approach, and the specific elements of child rights in a disaster setting. Notions of vulnerability and risk are also conceptually analysed from a social perspective. Foreign policy praxis toward DRR

programming frame the practical elements of the human security model, with a final section on local ownership and various bottom-up processes to DRR programming in the Asia Pacific.

Chapter III provides insights into illustrations of rights-based and risk-based lexis in EU and Member State foreign policy formation, with a particular focus on the child rights, and child vulnerability. The objective of this chapter is to highlight areas where there is policy coherence amongst the European Community, and where there are areas of divergence.

Lexical analysis from Chapter IV of internal EU policy formation then shifts the rights-based impact assessment to review internal decision-making for DRR praxis, and the internal implementation praxis where it evaluates trends in the Framework Partners from European countries which deliver its DRR strategy. It is supported by interview data surrounding positive and pessimistic views of partner organisations at various points of the project cycle of EU funded DRR programming.

In Chapter V, a critical exploration of the EU's DRR praxis in the Asia Pacific draws on interview data to review the EU as a promoter of DRR in the Asia Pacific at a local level. The focus of this chapter is to look at multi-stakeholder involvement in community-based DRR action, the acknowledgement of traditional practices in Asia Pacific DRR, in order to achieve an integrated approach to child resiliency.

The final chapter concludes with a reconsideration of the research findings of this thesis. It reconsiders the human security model as the foundations of this research in the utilisation of a rights-based approach to DRR lexis and praxis, in measuring the effectiveness of donorship. In doing so, this chapter summarises the findings from this research in reference to global, European and Asia Pacific approaches to child protectionism and agency. The conclusions include a review of the data and potential future directions for DRR policy initiatives and subsequent action.

CHAPTER II

THE STUDY IN CONTEXT

2.1 INTRODUCTION

This chapter firstly discusses global DRR lexis and praxis in DRR followed by an insight in the EU's external action mechanism specifically. This research draws on the facets of human security as tools to implement DRR programming, as part of the EU's foreign policy objectives foreign policy. International and EU foreign policy perspectives of human security ensures the doctrines of human rights and social vulnerability can be applied to aspects of foreign policy in protecting child rights in DRR strategies. These tools represent international channels of praxis, as well as local level governance and community-based approaches to DRR implementation. To close, this chapter discusses internal institutional characteristics of the EU as grounds for evaluating praxis in external action instigated by the institutions. In addition, this chapter places this research in the respective fields of study.

Selected study of disaster risk management lexis and praxis

UN International Strategy for Disaster Reduction (UNISDR) sees 'disasters' as:

“A serious disruption of the functioning of a community or a society involving widespread human, material, economic or environmental losses and impacts, which exceeds the ability of the affected community or society to cope using its own resources.”⁷⁰

⁷⁰ UN International Strategy for Disaster Risk, “Terminology”, 2009, http://www.unisdr.org/files/7817_UNISDRTerminologyEnglish.pdf, Accessed: 9 September 2013.

Disaster management is the holistic term employed when discussing the stages of disaster preparedness, response, recovery, and reconstruction. It is not focussed on reducing the risks but on the implementation of necessary measures during a time of crisis.⁷¹ Disaster risk management then couples the phases of the disaster cycle with measures of prevention, mitigation and risk reduction.

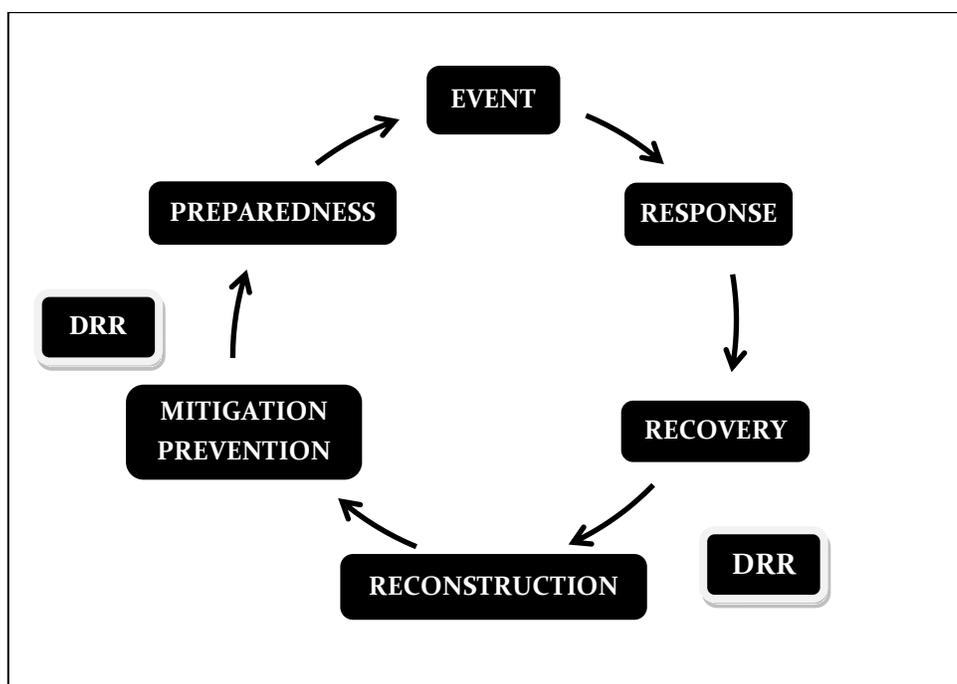


Figure 2.1 DRR and the disaster cycle

The term DRR as defined by the UNISDR, refers to the concept and practice of:

“Reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the

⁷¹ John Twigg, *Disaster Risk Reduction: mitigation and preparedness in development and emergency programming*, (London: Overseas Development Institute, 2004), 13.

environment, and improved preparedness for adverse events.”⁷²

This definition of DRR remains broad to be contextually applicable to natural and manmade disasters which communities are exposed, whether in terms of economic, infrastructural, environmental or social risks. Reducing risks surrounding a disaster also requires a review of governance structures, where executive and legislative decisions, strategies and actions of humanitarian actors and communities must be strengthened to acknowledge potential levels of vulnerability amongst individuals and groups. Risks which individuals and groups can face surrounding a disaster can materialise prior to, during, or following a disaster occurs,⁷³ thus necessitate both the prospective and corrective management of risks. The segregation of implementation mechanisms for risk reduction is echoed in current approaches to DRR programming, with the progressive classification of DRR as corrective and prospective risk reduction.⁷⁴ Even then, in many cases, focus is given to the application of DRR alongside the recovery and reconstruction phases, known as corrective risk reduction, in order to ‘build back better.’⁷⁵ This latter scheme does not equate with the reduction of causal risk. Instead it suggests a retrospective approach to risk management, rather than looking to prospective risk management, which could be considered as more effective in reducing impending risk, instead of managing risk following the event. Moreover, as Daly and Rahmayati suggest, the term can represent negative connotations towards existing social structures at a local level,⁷⁶ implying that existing structures were inadequate prior to the disaster.

⁷² UN International Strategy for Disaster Risk, “Terminology”, 2009,

http://www.unisdr.org/files/7817_UNISDRTerminologyEnglish.pdf, Accessed: 9 September 2013.

⁷³ John Twigg, *Disaster Risk Reduction: mitigation and preparedness in development and emergency programming*, (London: Overseas Development Institute, 2004), 13.

⁷⁴ Allan Lavell, *Relationships between Local and Community Disaster Risk Management & Poverty Reduction: A Preliminary Exploration*, (Geneva: UNISDR, 2008).

⁷⁵ Kennedy et al., “Disaster mitigation lessons from build back better following the 26 December 2004 Tsunamis” *Water and Urban Development Paradigms* eds. Feyen, Shannon and Neville, (London: Taylor and Francis Group, 2009); Delegation of the EU to Thailand and UNISDR, *Building back better for next time*, (Bangkok: UNISDR, 2010);

⁷⁶ Patrick Daly and Yenny Rahmayati, “Cultural Heritage and Community Recovery in Post-tsunami Aceh,” in *From the Ground Up: Perspectives on Post-tsunami and post-conflict Aceh*, eds. P Daly, R M Feener, A Reid, (Singapore: ISEAS Publishing, 2012), 57-78.

Nevertheless, those facilitating DRR tend to consider corrective risk reduction as more cost-effective in the short term following a disaster. By doing so, the focus remains on the hazard in question, rather than reducing the risks associated with hazards which affect communities in the future. DRR is often not at the apex of political agendas, particularly during periods of calm, when risk management is often subordinate to other budgetary priorities, both in domestic and foreign policy, as supported by Kellet and Sparks, in Chapter I.⁷⁷ Additionally, one European DRR practitioner interviewed for this research believed there is a concentration of states applying DRR as corrective risk management, during the recovery phase.

“There’s that assumption that is where it’ll happen, and because they’ve assumed that’s where it’ll happened, they’ve stopped thinking about who’s making it happen, and what are the results.”⁷⁸

Another DRR practitioner believed the fulfilment of prospective risk was down to advocacy, rather than political will.

“Maybe there are just not enough advocates for this, and it’s horrible to say it, but even being evangelical to keep pushing the issues.”⁷⁹

The delineation between prospective and corrective DRR only corresponds with the preparedness and response phases of the disaster cycle, instead of implementing DRR to bridge the phases of a disaster cycle. Such is a holistic approach to disaster risk, and the risk reduction strategies. For institutions which fund DRR programming like the EU, this affects how they perceive risk, and situate DRR in the form of humanitarian and development assistance. A DRR practitioner for an international organisation explained:

⁷⁷ Jan Kellett, and Dan Sparks. *Disaster Risk Reduction: Spending Where It Should Count*, edited by Global Humanitarian Assistance, (Wells: Development Initiatives, 2012), 14.

⁷⁸ Interview excerpt, Anonymous, 12/09/2012.

⁷⁹ Interview excerpt, Anonymous, 15/09/2012

“...It’s a massive cultural change, within the humanitarian sector...There’s responding to an impact of an emergency, there’s responding to poverty, you can see an impact of disaster, you can see the impact of poverty. You can do something about responding to risk, but it means having to understand what could happen and putting things in place for that.”⁸⁰

The facilitation of DRR in both humanitarian and development assistance also denotes the perception of risk must be comprehensive of all types of risks. A national disaster management official (NDMO) describes the implementation of DRR when not overwhelmed by disaster response:

“We also have a peacetime role, preparedness, after responding you have recovery, our peacetime role is risk reduction programmes and activities, and that is when we bring in the partners to come in and assist in that role, having different programmes and activities.”

The lexis used in the above statement by an NDMO representative surrounding DRR refers to the activities taken place between natural disasters as the ‘peacetime’ role of the government and collaborating partners. Traditionally a term employed in a manmade disaster context, where conflict prevention measures are taken place during periods of peace, while DRR policy and programming often are in the reference to a natural disaster setting. The NDMO reference to peacetime DRR activities is an anomaly but one which can be useful in increasing the effectiveness in risk reduction policy and practice.⁸¹ As in the case of the EU, where DRR remains focusses on natural disasters despite the frequent overlap of risks faced by vulnerable groups in a natural and manmade context. As such, recognition in lexis used by actors involved in DRR processes, such as ‘peacetime,’ only reiterates the overlap of risks in

⁸⁰ Interview excerpt, Helpage, 11/9/2012.

⁸¹ Pacific governmental and community capacity and actions aligning with a rights-based approach to DRR are expanded on further in Chapter VI.

both natural and manmade contexts, and of the importance of recognising existing risks, or mitigating against potential impending risks towards natural disasters, during periods of calm, not solely conflict scenarios. Increases of this overlap can assist in more effective policy formation and DRR programming risk reduction at a local level in both natural and manmade contexts. Gilbert refers directly to peacetime disaster-related activities but in relation to conflict situations,⁸² whereas Olson and Drury have highlighted in their statistical research, the interrelationship between natural disasters and conflict scenarios, and the political and developmental impacts,⁸³ without looking at DRR specifically. Kelman looked to levels of diplomacy between states at an international level surrounding disaster responses, in reference to the need for countries to accept assistance in all its forms,⁸⁴ while Dunne and Wheeler refer to the obligations of states of responsibility to protect in the context of manmade disasters, when facing the ‘operationalisation’ of protective interventions.⁸⁵ It is in the context of both natural and manmade disasters that donors and states have a role to uphold the rights of those at risks. Specific to a natural disaster cycle, the rights of individuals are applicable to the entire disaster cycle, not just in the response and recover phases. The upholding of rights in a holistic approach to disaster management is therefore assisted by DRR, and a holistic approach to risk and associated vulnerability.

The UNISDR has defined vulnerability as:

“The characteristics and circumstances of a community, system or asset that make it susceptible to the damaging effects of a hazard.”⁸⁶

⁸² Claude Gilbert, “Studying Disaster: Changes in the main conceptual tools,” in *What is a Disaster? A dozen perspectives on the question*, ed. E L Quarantelli, (London: Routledge, 1998), 11-18.

⁸³ A. Cooper Drury, and Richard S Olson, “Disasters and Political Unrest: An empirical investigation,” *Journal of Contingencies and Crisis Management* 6, no. 3 (1998), 153-161.

⁸⁴ I. Kelman, *Disaster Diplomacy: How disasters affect peace and conflict*, (Abingdon: Routledge, 2012).

⁸⁵ Nicholas J. Wheeler and Tim Dunne, “Operationalising Protective Intervention: Alternative models of authorisation,” *The Routledge handbook of the responsibility to protect*, eds. W. Andy Knight and Frazer Egerton, (New York: Routledge, 2012), 87-102.

⁸⁶ UN International Strategy for Disaster Reduction, ‘UNISDR Terminology for Disaster Risk Reduction (2009),’ 01 January 2009, <http://preventionweb.net/english/professional/terminology/v.php?id=508>, Accessed: 20 May 2011.

While this is considered a just definition in relation to natural disasters, there are many different aspects to such vulnerability. Vulnerability can encompass many different features, which arise from a crisis, such as physical, economic, environmental or social aspects of a community. Vulnerability can also vary between communities as some populations may be more vulnerable to some consequences of a disaster than others.

This definition frames vulnerability as based on the characteristics of a group or person, which cause individuals to be susceptible to a disaster. This concept goes on the premise that individuals or groups will inherently be at risk, rather than challenging a community's ability to withstand or recover from a disaster. The latter is embedded in the definition offered by Blaikie et al., which embodies a social interpretation of vulnerability around natural disasters:

“A set of characteristics of a group or individual in terms of their capacity to anticipate, cope with, resist and recover from the impact of a natural hazard. It involves a combination of factors that determine the degree to which someone's life and livelihood is at risk by a discrete and identifiable event in nature or society.”⁸⁷

This definition includes the potential resilience of a community or individual to endure the effects of a natural disaster, rather than focussing on the weaknesses that render a community susceptible during a time of crisis. This study accepts Blaikie's definition of vulnerability. This study will include in its view of social vulnerability local institutional, social, cultural, or ethnic factors, as the '*combination of factors*,' which can determine the level of risks of an individual or group. Within the thesis there is specific methodological and literary references to children, whose vulnerability, as illuminated further in this research, can increase but ultimately a child's vulnerability is contextual across the above factors within their individual situation.

Children represent a particularly vulnerable faction of society, whose rights can often be marginalised at a time of disaster. Children can be extremely vulnerable to both fast and slow

⁸⁷ Blaikie et al., *At Risk: Natural Hazards, People's vulnerability and disasters*, (London: Routledge, 1994), 9.

onset risks. These may be physical or psychological in nature, and can range from immediate risks such as the possibility of family separation, through to long-term risks such as health concerns and negative impacts to their education and development. In addition, children can face a lack of access to services or protection at different stages of the disaster cycle, where there specific needs⁸⁸ and rights can be disregarded. The different types of risks to children surrounding a disaster will be discussed in more detail in subsequent chapters.

Currently the EU's 2008 policy package focussing on children and child rights within EU external action,⁸⁹ takes a holistic approach in highlighting the risks and child vulnerability thus includes risks attached to both natural and manmade disasters. However, these overarching values and guidelines often do not translate to the specific policies in DRR, where references to child risk remain minimal and if alluded to, only immediate risks tend to be implied.

Underlying lexis and praxis in the EU institutionalisation of DRR

The EU's 2009 'Strategy for supporting Disaster Risk Reduction in Developing Countries,' states the Community adheres to the UNISDR's definition, but the definition of DRR embraced is a slight deviation from the above:

"Actions taken to reduce the risk of disasters and the adverse impacts of natural hazards, through systematic efforts to analyse and manage the causes of disasters, including through avoidance of hazards, reduced social and economic

⁸⁸ Lori Peek. "Children and Disasters: Understanding Vulnerability, Developing Capacity, and Promoting Resilience - an Introduction." *Children, Youth and Environment* 18, no. 1 (2008): 1-29.

⁸⁹ European Commission, *A Special Place for Children in EU External Action [SEC(2008)135]* Brussels: European Commission, 2008; European Commission, *The European Union's Action Plan on Children's Rights in External Action [COM(2008) 55 final]*, Brussels: European Commission, 2008; European Commission, *Children in Emergency and Crisis Situations [COM(2008) 55 final]*, Brussels: European Commission, 2008.

vulnerability to hazards, and improved preparedness for adverse events".⁹⁰

The EU's definition emphasises natural hazards, as opposed to disasters in general. Policies and subsequent action implemented by the EU, its Member States often focus on the technical impacts of disasters, such as environmental, infrastructural, or economic risks, and tend to neglect social impacts on vulnerable groups, including children. This is impacted by the terminology used by the EU and its Member States to discuss emergencies, and gives context to the perceptions of risk. This study evaluated the broad lexical terms of 'crisis' and 'disaster,' to review European approaches to situations which it is involved in overseas.

The external policies analysed demonstrated the expected precedence of 'crises' over 'disasters,' in policy formation. A large proportion of 'crisis' lexis from the Directorate General (DG) for development and cooperation (DEVCO) and the EEAS allude primarily to conflict scenarios, with the only case of the term 'crisis' employed for a natural disaster, in the 2004 Disaster Preparedness and Prevention (DPP) policy. While EEAS policies had very few mentions of disasters, 'crises' are portrayed often in general terms, or in a few instances in reference to economic crisis, often in later documents to coincide with the European financial crisis from 2009 onwards. The primary use of 'crisis' by DEVCO is unexpected, considering its role in community assistance in the reconstruction phases of disaster management, along with projects towards climate change adaptation through both Europeaid and the EU-ACP partnership, which would imply a higher representation of 'disaster' lexis. The lexical dominance of the use of 'disaster' in ECHO policies towards emergencies is somewhat consistent with its function as the EU institution responsible for action surrounding natural disasters. Lexical analysis of policy formation denoted a strong attempt by the EU to delineate between its responses to conflict situations, and to a lesser degree, other forms of manmade or technical disasters, through the use of 'crisis' rather than disaster in Development and EEAS policy formation. Yet there are nuances in ECHO's responsibilities towards disasters, where often policies overlap or segregate situations classed as 'crises' or

⁹⁰ European Commission, *Communication from the Commission to the Council and the European Parliament: EU Strategy for supporting Disaster Risk Reduction in Developing Countries (COM(2009)84)*, Brussels: European Commission, 2009, 2.

‘disasters’ as is evident in ECHO’s overarching mandate, the Consensus of Humanitarian Aid, and the partner documents of 2009 and 2010. Article 2 of the Consensus for Humanitarian Aid indicates ‘humanitarian crises’ as both manmade and natural disasters,⁹¹ while Article 15 informs humanitarian aid is not employed as a crisis management tool, portraying a rather ambiguous depiction of ECHO’s role as part of the EU’s institutional structures surrounding assistance towards natural and manmade disasters, or crises. ECHO’s responsibility to natural and manmade disasters is ambiguous because it is involved in crisis management through aid provisions, therefore informing some level of responsibility in response to both forms of crisis. In ECHO’s supporting documents for partner agencies, the majority of ‘crisis’ and ‘disaster’ lexis is in a neutral context, and can consequently apply to both natural or manmade emergencies.

The 2010 Joint Directive on Civil Protection situated under ECHO, but implemented in conjunction with EEAS processes, exemplifies how the terminology employed in policy documents can result in a confusion of situations the EU responds to. Indications of ‘crises’ are broad and do not solely surrounding warfare. Indeed, even the use of ‘crisis’ in reference to the role of the military does not necessarily imply crisis management towards conflict scenarios, as the military can have an important role in natural disaster responses. And yet ‘disasters’ are strictly depicted as either natural or manmade, but does not include conflict situations. This unclear delineation is summarised in the following statement in reference to the EEAS:

“The creation of the European External Action Service (EEAS) offers opportunities to improve consistency between disaster response and possible political and security related elements of the EU’s overall crisis response.”⁹²

According to this statement, the EU’s crisis responses include natural and manmade disasters.

⁹¹ European Commission, *European Consensus for Humanitarian Aid*, (Brussels: European Commission, 2007), Article 2 & 15.

⁹² Appendix II, EEAS, 2010(a), pg 3.

Beyond the tangible repercussions of inconsistent terminology, as per the example above, ambiguous lexis can have a potentially damaging effect on EU partners' view of the EU, and what the EU considers as pivotal to its external action policies. Lexical choices can lead to misrepresentations of foreign policy principles and subsequent practice. This is particularly influential on the EU's position towards reducing the risks of disasters, if there is a lack of coherence surrounding what constitutes a disaster.

The inconsistencies also lie in the filtration from overarching policies to specific policy mechanisms, such as from the Consensus for Humanitarian Aid,⁹³ which refers to both natural and manmade disasters, to the 2009 DRR policy,⁹⁴ which is natural disaster-centric. Furthermore, the inconsistencies extend to regional policies, where context for humanitarian assistance in the EU-Africa Caribbean Pacific (ACP) Partnership Cotonou Agreement states, "situations of crisis may also result from natural disasters, man-made crises such as wars and other conflicts..."⁹⁵ Indeed, the disparities in lexical choices affect the responses of the European Community and its partners. The analysis from this research deduced that despite efforts from the EU to outline the responsibilities of its external action mechanisms, through the use of 'crisis' to denote conflict management, and the term 'disaster' to imply responses to natural and technical hazards, this is not reflected in the use of lexis in other policy documents. In fact, the effect is quite the opposite where inconsistent use of the terms 'crisis' and 'disaster' can cause added uncertainty for partner countries and agencies of the individual institutional responsibilities of the EU's external action mechanisms, and the responses of the EU to emergency situations. If the limitations of lexis and subsequent praxis from EU institutional mechanisms are not revealed in policy formation, this can have serious consequences on individuals at risk, as the context of the assistance surrounding the emergency is unclear. Not only do the risk of rights abuses increase with potentially weakened community structures in a natural disaster context, but if the lexis within policy of

⁹³ European Community, *The European Consensus on Humanitarian Aid*, Brussels: Official Journal 2008/C 25/01, 2008,

⁹⁴ European Commission, *Communication from the Commission to the Council and the European Parliament: EU Strategy for supporting Disaster Risk Reduction in Developing Countries (COM(2009)84)*, Brussels: European Commission, 2009,

⁹⁵ European Commission, *The Cotonou agreement*, (Ouagadougou, European Commission, 2010), Article 72.

those providing assistance surrounding a crisis is in reference to warfare only, individuals can remain unprotected and at risk of rights abuses.

The lack of consistent lexis can lead to potential issues of child protection in the implementation of external action due to unclear definitions of what ‘crisis’ or ‘disaster’ situations represent, and a subsequent lack of delineation of the mandates across the EU institutions. Varying terminology is also evident in the 2008 EEAS ‘Children in External Action policy package.’⁹⁶ The references to ‘crisis’ in the Communication and Action Plan, albeit nominal, can be considered in general terms, whereas in the supporting document, ‘Children in Emergency and Crises Situations,’ the 47 mentions of the term are explicitly surrounding conflict scenarios. In comparison, the use of ‘disaster’ in the policy package is solely towards natural disasters, and does not imply any protection measures towards manmade situations, whether in terms of conflict, or technical and industrial disaster situations. As such, a disunited response to situations surrounding children can cause confusion between the EU and its implementing partners.

However, it is not only the lexical preferences of EU institutions, which can lead to these issues, but also the lexis employed by EU Member States, which shape the European Community’s approach to external emergency situations. While the combined Official Development Aid (ODA) of EU Member States represents a significant part of the European aid fiscal envelope, there must be cohesion in the content of their aid policies to underpin the funding of humanitarian aid overseas. Uniformity in their opinions is vital for the EU to be seen as such an influential actor when it comes to world events. For the EU Member States, there are inconsistencies in references to ‘disaster’ and ‘crisis’ in external policies. Those with development aid policies primarily refer to ‘crises situations’, following the EU rule where ‘crisis’ is not in regard to natural situations, and yet is not confined to conflict scenarios, to include economical, water and food crises. In some cases, there are references to natural crises specifically, or broadly as humanitarian and general crises. Ireland and Poland’s

⁹⁶ European Commission. *A Special Place for Children in EU External Action [SEC(2008)135]*. Brussels: European Commission, 2008; European Commission. *Children in Emergency and Crisis Situations [COM(2008) 55 final]*. Brussels: European Commission, 2008; European Commission. *The European Union’s Action Plan on Children’s Rights in External Action [COM(2008) 55 final]*. Brussels: European Commission, 2008.

development policies are solely in reference to disaster situations, with no mention of crises, where disasters are either in reference to natural or general situations, and consequently could imply manmade situations. There is only one case where ‘disaster’ refers uniquely to conflict scenarios, as indicated by Romania’s development policy. All of the six Member States with humanitarian policies which indicate ‘crises’ classify them as general to include circumstances other than conflict to include food, economic, and terrorism.⁹⁷ All of Austria’s 130 references to disasters, and 27 references to ‘crises,’ are in a neutral sense to include both natural and manmade situations. The European states with human rights policies represent emergencies through the virtually exclusive use of ‘disaster’ or ‘crisis’ lexis. Besides Sweden’s human rights policy, in which a crisis refers to warfare, the other three states depict situations as general, to include both natural and manmade crises. The latter trend is positive in the recognition of human rights, to ensure a holistic approach to action against human rights abuses in emergencies, as it emphasises rights abuses do not uniquely take place within the context of warfare, but also surrounding the disaster cycle. For instance, in its child-centric policy, Denmark approaches crises as general, to include both conflict and natural conditions, and similarly with the use of ‘disasters’, where both natural and general situations are included. It should be noted that while a universal approach to emergencies can include both manmade and natural emergencies by default, explicit mentions of what crises and disasters represent assist in reinforcing the international commitments of duty bearers against rights abuses. If definitions are explicit, there are no gaps in policy, or legislative and institutional barriers. The potential overlap of risks children can face in vulnerable situations (manmade or natural) is not disregarded and they are subsequently protected.

2.2 THE EUROPEAN COMMISSION’S INSTITUTIONAL APPROACH TO DISASTER RISK MANAGEMENT

Running in parallel to the analysis of cohesive policy formation is the evaluation of the actions of the institutional structures. Kaldor cites institutional barriers as a primary hindrance

⁹⁷ Member States with Humanitarian Aid policies are Austria, Belgium, Denmark, Germany, Ireland, Luxembourg and the United Kingdom. Belgium did not have any references to crises or disasters. See Appendix II for the details on these policies.

for implementing a rights-based approach.⁹⁸ With the primary function of protecting individuals and groups, a sociological approach assists the effectiveness of core institutions in reducing social vulnerabilities.⁹⁹ In his investigations into institutional constructs and social vulnerability, Turner maintains crises such as natural disasters have revealed the limitations of institutions, particularly socio-political structures at a community level, which indeed were designed to ‘reduce risks, prevent harms, and mitigate suffering.’¹⁰⁰ In addition, Kaldor indicates the need for “conceptual coherence”, based on mutual values and objectives, in order for institutions to act successfully.¹⁰¹ Supplementary levels of policy administration can hinder the effectiveness of the institution by enabling competition between the different institutional mechanisms.¹⁰² This can be seen in the case of the EU, where different aspects of the European Commission are involved in administering aspects of DRR activities at differing points of the disaster cycle. The humanitarian directorate ECHO partners with selected agencies, which may be equal to, or variable to, the partners chosen by the development EU DG DEVCO. In either respect, the separation of the directorates reduces the effectiveness of EU partnerships as each of these partners may be running similar aid programmes in either a humanitarian (short term), or development (long term) capacity, or both.

Institutional changes under the Lisbon Treaty represented various opportunities for the EU to increase effectiveness in its external mechanisms, and in turn, endeavour to increase its influence as a global actor. The new High Representative of the Union for Foreign Affairs and Security Policy, with the assistance of the EEAS, gives the EU the potential to act in a more unified manner in its external relations.¹⁰³ The EEAS brings together the various areas of EU foreign policy, in particular the Common Foreign and Security Policy and European

⁹⁸ Mary Kaldor, *Human Security: Reflections on Globalisation and Intervention*, (Oxford: Wiley, 2013), 185.

⁹⁹ Bryan S Turner, “A sociology of citizenship and human rights: Does social theory still exist?” in *Interpreting human rights – social science perspective*, eds. R Morgan and B S Turner (London; New York: Routledge, 2009), 184.

¹⁰⁰ Brian Gran, “Vulnerability and Human Rights,” *Societies Without Borders 2* (2007): 293.

¹⁰¹ Mary Kaldor, M Martin, and S Selchow, “Human Security: a new strategic narrative for Europe,” *International affairs* 83, no. 2 (2007): 287.

¹⁰² *Ibid.*, 287.

¹⁰³ Simon Duke, ‘The Lisbon Treaty and External Relations,’ *European Institute of Public Administration*, no.1, 2008, 15.

Security and Defence Policy, in conjunction with Member States' diplomatic services.¹⁰⁴ With the creation of the EEAS under the Lisbon Treaty, scholars have been examining the role of new EU functionality in the EU's foreign policy, to better comprehend its interaction with existing mechanisms.¹⁰⁵ However, little of this research focuses on the impact of the EEAS on the existing EU humanitarian arm, DG ECHO. The rapport between the EEAS, humanitarian arm, ECHO, and EuropeAid as part of the Directorate General for Development Aid (DG DEVCO), is examined in the work of Holland and Doidge, in recognition of the future impending impact of the institutional changes of the Lisbon Treaty on the effectiveness of EU external action.¹⁰⁶ In addition, there is emphasis in their work of the current precedence of internal and local external concerns on the EU's agenda, over the far-reaching external action objectives.¹⁰⁷

While a form of EU external action, humanitarian aid, and by association, DRR remains yet to be incorporated into the EEAS. Such a decision to exclude humanitarian aid and DRR from under the umbrella of the EEAS was based on the reasoning that humanitarian aid, and by association DRR, should continue to be independently administered by DG ECHO. As stated in a European Parliament Policy Briefing of the Lisbon Treaty, DG ECHO can then continue to act autonomously, without the 'potential 'imposition' of foreign policy priorities'.¹⁰⁸ Conversely, one of the goals of the Lisbon Treaty was to streamline the EU's mechanisms for external actions and become more cohesive. This has been achieved in one facet of external action through the joint 2010 Communication on EU civil protection and humanitarian

¹⁰⁴ Gerald Quille, 'Introduction: A new architecture for CFSP,' *The Lisbon Treaty and its implications for the EU External Action*, Brussels: Directorate General for External Policies of the Union, 2009, p. 5.

¹⁰⁵ See Rafal Trzaskowski et al., "The European External Action Service: Consequences for EU Institutions and Foreign Relations," In *International Politics in Times of Change*, ed. Nikolaos Tzifakis, 79-97. Berlin: Springer-Verlag, 2012; Steven Blockmans and Marja-Liisa Laatsit, "The European External Action Service: Enhancing Coherence in EU External Action?" in *EU external relations law and policy in the Post-Lisbon Era*. ed. Paul James Cardwell, 135-158. The Hague: T M C Asser Press, 2012; Michael Emerson and Piotr Maciej Kaczynski, "Looking afresh at the external representation of the EU in the international arena, post-Lisbon," *Centre for Europe Policy Studies Policy Brief 212*, 2010; S Duke, "The Lisbon Treaty and External Relations," *European Institute Public Administration 1*, (2008):13-18; R G Whitman, Foreign, Security and Defence Policy and the Lisbon Treaty: Significant or cosmetic reforms," *Global Europe Papers 1*, 2008:1-8; Serena Kelly, *The European Union in the Asia-Pacific: current representations and the potential impact of the EEAS*, Christchurch: University of Canterbury, 2009.

¹⁰⁶ Martin Holland and Matthew Doidge, *Development Policy of the European Union*, (Basingstoke: Palgrave Macmillan, 2012), 95-133.

¹⁰⁷ Ibid, 133.

¹⁰⁸ A Caprile, op. cit., p. 19.

assistance.¹⁰⁹ The initiative transfers the Civil Protection mechanism to be administered under ECHO, but with the support and implementation of the EEAS. In theory, the merger or shift of external action instruments could hinder the upholding of EU values such as human rights. Operating through two separate EU bodies could mean human rights are marginalised, or side-lined, in lieu of an immediate or needs-based approach, which does not focus on safeguarding the rights of those at risk. Alternatively, joint initiatives could be considered a positive move in the harmonisation of external action mechanisms as it could assist the defence of human rights, as the EEAS policies tend to assume a slightly more human-rights based approach than ECHO, which primarily employs needs-based implementation. The union of mechanisms would then substantiate EU values, and the upholding of human rights and increased protectionism through joint policies under the EU external action umbrella.

Under ECHO, the EU created the mechanism Disaster Preparedness ECHO (DIPECHO), in 1996. Thanks to an increased awareness from the EU of the importance of DRR, DIPECHO was established to assist with the coordination of an internal EU DRR strategy and DRR actions, while also supporting any DRR actions carried out by European organisations present in third countries. The EU currently carries out humanitarian action through its 200 Framework Partnership Agreements (FPA) with various European government bodies, European non-government organisations (NGO), United Nations divisions, and international agencies located within EU Member States. The coordination of EU-funded humanitarian projects is thus undertaken by these partnering organisations. These FPA agencies will, in turn, cooperate with local organisations or government agencies based in a recipient country to carry out humanitarian programmes, and report back to DIPECHO on progress periodically and with the final results of the project. It is thus through these partnerships, the EU facilitates humanitarian and DRR action in third countries. Those agencies wishing to obtain EU funding for their humanitarian projects must first attain an FPA with ECHO, which are renewed on a regular basis. In this sense, the Community remains solely within a donor capacity, keeping with the neutrality and impartiality aspects of the Paris Declaration, and its donorship principles.¹¹⁰ The implementation of policy initiatives through external actors is

¹⁰⁹ European Commission, “Towards a stronger European disaster response: the role of civil protection and humanitarian assistance,” Brussels: European Commission, 2010.

¹¹⁰ OECD Development Assistance Committee (DAC), *Paris Declaration on Aid Effectiveness*, (OECD, 2005).

unlike other foreign policy interests of the EU, such as CSDP missions, which are undertaken through the dispatchment of EU troops, with the aim of illustrating the EU’s ambition to act autonomously, without the assistance or coordination of other actors, such as NATO. While DG ECHO can dispatch people in certain large-scale emergency scenarios if required, manpower is primarily coordinated by the partner organisations.

The institutional configuration of the European Commission denotes DRR is facilitated by DIPECHO, aligning with ECHO, the EU humanitarian assistance arm, as opposed to positioning DRR as a development issue. From an institutional perspective, project phases undertaken under the EU’s development arm tend to be longer, allowing for more to be achieved, and in doing so, ensures reduced vulnerability at a local level. To identify the phases of the disaster cycle, which DIPECHO is accountable for, Figure 2.2 indicates at what point DRR is traditionally implemented.

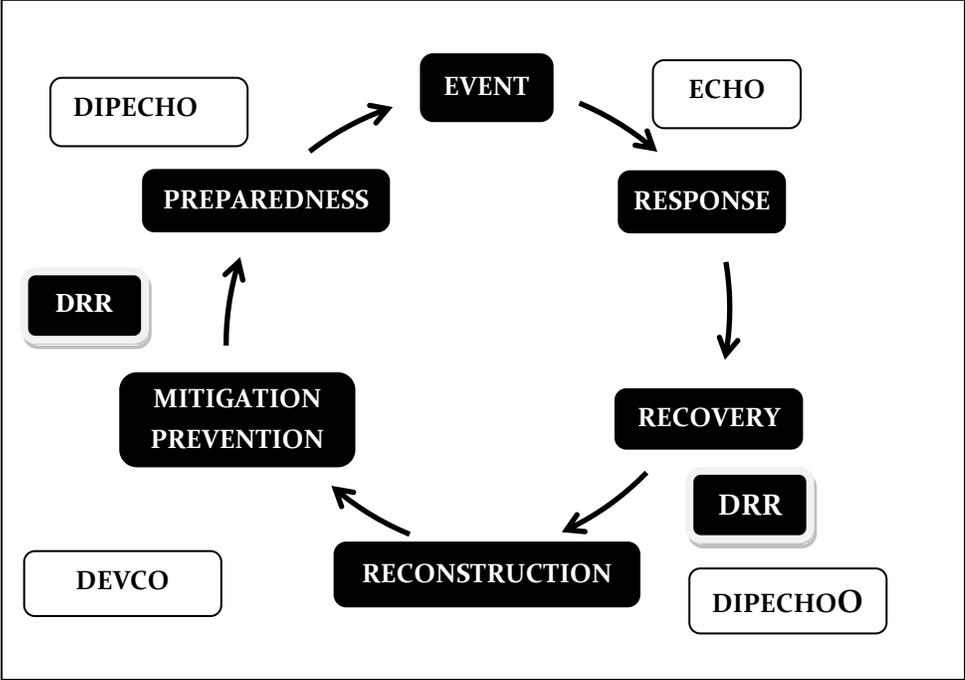


Figure 2.2 EU Management of DRR and the disaster cycle

For the EU, DRR implementation under ECHO as the humanitarian arm denotes its aid programme is based on short-term implementation, or, immediate risks to a person’s wellbeing – namely, food, shelter and water. This is reflected in the needs-based approach in

the financing of DRR projects through implementation partners. While the EU promotes a results-based approach to financing humanitarian assistance, the current quantifiable nature of the ‘results’ of EU assistance indicates a focus on needs, with primary FPA partner project financing information stating, “DG ECHO is a needs-based donor and funding allocations are based on the evaluation of needs.”¹¹¹ Yet effective results-based measurement of facilitating humanitarian assistance cannot be solely reliant on tangible measures of needs, such as quantitative targets or key performance indicators. A comprehensive approach to risk and the application of DRR recognises risks based on social vulnerability, as in line with the rights-based approach and the human security model. It ensures social risks are accounted for in the provision of assistance. As Cutter et al support, social vulnerability has previously been considered too difficult to quantify,¹¹² and is often absent in DRR programming as part of activities under ECHO. This is, again, essentially due to the traditional approaches of ECHO in dealing with disaster relief, based on the provision of need. As one EU official stated:

“Disaster relief is one of the least political subjects, because it’s according to needs.”¹¹³

The shift of needs-based external action to acknowledge all forms of risk requires not only policy transformation, but a change in mind-set. The use of business management models in an emergency context focuses too heavily on the technical aspects of response, but the overall disaster risk framework (which incorporates the response and rescue aspect as well as the other aspects of the disaster framework) should include qualitative measures of prevention, response, and recovery, as part of the strategic thinking surrounding risk, and the implementation of risk assessments. As stated by one partner organisation working on EU financed projects:

“That is completely massive shift for the sector to take on, it has to, but it doesn’t have the tools, it doesn’t have the

¹¹¹ Excerpt from DG ECHO Partners’ website, “Needs Assessments and Beneficiaries,” <http://dgecho-partners-helpdesk.eu>. Accessed: 24 February 2014.

¹¹² Cutter et al., “Social Vulnerability to Environmental Hazards,” *Social Science Quarterly* 84, no. 2, (2003): 242-261.

¹¹³ European Commission Humanitarian Aid and Civil Protection Cabinet, 4/11/2010.

expertise. It thinks it has the expertise sometimes I think... Essentially, they've never dealt with risk. They've only ever dealt with impact. And it's dealing with uncertainty...you have to with dealing with risk, and even if it's risk that is almost certain to happen, like a certain magnitude earthquake within a certain timeframe, it still having to weight up.”¹¹⁴

This is supported by the FPA partners which implement EU-funded DRR projects under DIPECHO:

“Even on the DIPECHO or the ECHO simple form that you use to write a proposal, there is not risk assessment, there is need assessment. They have not changed any thinking.”¹¹⁵

In turn, the filtration of DRR programming through ECHO to DIPECHO, and the underlying conception of focussing on needs of those at risk, can affect how the Commission wishes to reduce the risks surrounding disasters. Attached to its humanitarian arm, DRR programming is linked heavily to disaster response, and preparedness to respond, while a holistic approach to the reduction of disaster risk concerns the entire disaster cycle – from the event, response and recovery, through to reconstruction and mitigation and preparedness. As such, there can be a collision of approaches towards the implementation of DRR, when DRR programming is undertaken through activities under ECHO and DEVCO, as part of development assistance for climate change adaptation (CCA). CCA is carried out through the Intra-ACP agreement, or EuropeAid if undertaken in non-ACP regions. One EU representative viewed the assistance as unmistakably different, despite this overlap in activities, however in a statement by one EU official, the overlap of institutions and DRR activities became clear:

¹¹⁴ Interview excerpt, Helpage, 11/9/2012

¹¹⁵ Interview excerpt, Helpage, 11/9/2012

“Indirectly we have two projects: one is implemented by ECHO, our office in Brussels, and regional office in BKK. That is really on DRR – it targets not the whole country but just a few communities...Then we have the project on climate change, but that’s also to do with DRR and CCA – there are some linkages, but there is not a specific project focussing on DRR...”¹¹⁶

Consequently, the institutional overlap between DG ECHO and DEVCO in responding to DRR as both humanitarian and development assistance is reflected at a local level, where DRR is implemented under both mechanisms, and can cause difficulties for implementing partners, and indeed the projects undertaken in-country.

The multiplicity of Directorate Generals, and overlap of responsibilities aforementioned affects the EU’s relationship with implementing partners at a European level. There is recognition from FPA partners of the bureaucratic intricacies of the external mechanisms of the European Commission. European organisations interviewed for this research, which had previously received funding from the EU, describe the EU’s institutional setup for implementing DRR in Figure 2.3 below:

EUROPEAN INTERNATIONAL ORGANISATION	“I found the people to be very flexible in making things work within the framework they were under...” ¹¹⁷
EUROPEAN DRR PRACTITIONER	“I think if you work in a bureaucracy you’ve got to see it as compartmentalised because your life just doesn’t make sense otherwise.” ¹¹⁸
EUROPEAN INTERNATIONAL ORGANISATION	“I think it’s improving greatly. When it first started, everyone was like, that’s a bit disappointing because it’s a really short term project... It was also very heavily focused on emergency response and relief, which is fair enough, I guess, given their history...but I think we, the DRR practitioners, are always pushing for longer term projects...” ¹¹⁹
EUROPEAN INTERNATIONAL	“DIPECHO, ECHO, the whole infrastructure, it’s been development – humanitarian response, very separate...and there’s been no dealing with risk.” ¹²⁰

¹¹⁶ Interview excerpt, Anonymous, 15/10/2012.

¹¹⁷ Interview excerpt, ICRC, 27/9/2012.

¹¹⁸ Interview excerpt, Anonymous, 12/09/2012.

¹¹⁹ Interview excerpt, CAFOD, 10/09/2012

¹²⁰ Interview excerpt, Helpage, 11/09/2012.

ORGANISATION	
EUROPEAN INTERNATIONAL ORGANISATION	“There is a big divide between the short term (DG ECHO) and long term (DG DEVCO) ... The various internal EU bodies and mechanisms are not yet communicative internally.” ¹²¹

Figure 2.3 Attitudes of European FPA partners towards the EU institutional structure for DRR programming

There are different opinions from European organisations on the effectiveness of the EU’s institutional setup for implementing DRR. The variations of opinions suggest that there is conflicting views from FPA agencies of the EU implementation mechanisms for DRR within the bureaucratic structures at EU-level. Some believe that despite the complex institutionalisation of DRR, the ECHO staff assisted partner organisations in facilitating EU-funded programming. While others believed that the division between humanitarian and development meant that disaster risk reduction fell into the grey area between the institutions of ECHO and DEVCO. This not only reflects on the internal perceptions of risk from within the EU, but impacts on their ability to facilitate DRR programming.

Even so, the more positive view of ECHO staff as accommodating suggests that the framework for ECHO assistance is complex and required revision for ECHO staff to better assist the FPA partners with project implementation. As cited above, the density of EU mechanisms for implementing DRR is evident, and the separation of humanitarian aid and development aid via DG ECHO and DG DEVCO seems to be the crux of the issue from the FPA partner perspective. While it is necessary to compartmentalise such a large organisation into the various Directorate Generals and funding mechanisms, the issue lies in how they have structured the humanitarian and development assistance instruments. The institutional divide between DG ECHO and DG DEVCO affects the resultant implementation of effective DRR at a local level. Producing a grey area between humanitarian and development assistance does not promote reduced vulnerability, but can in fact increase local levels of vulnerability - a subsequent disregard for the upholding of rights of those at risk.¹²²

¹²¹ Interview excerpt, UNICEF, 28/08/2012.

¹²² Joanna Harrington, “R2P and natural disasters,” *The Routledge Handbook on R2P*, eds. W Andy Knight and Frazer Egerton (London; New York: Routledge, 2012), 147.

Consequently, it is necessary that partnerships are facilitated at an institutional level, to ensure the effective implementation of DRR programming, throughout the project cycle. Chapter IV and V discuss further potential amendments to compartmentalising EU external action mechanisms for more effective DRR programming, as well as examining how this compartmentalisation plays out in the partnerships at a European and local level.

Institutional disorganisation is not limited to the European Commission, where thematic overlap amongst the committees in the European Parliament also causes confusion. The assortment of committees found in the Parliament, which have a vested interest in the different stages of disaster management, such as that of development (DEVE), environment (ENVI), or foreign affairs (AFET), can produce a confusion of power over legislature. While the combined influence of these committees in a Directive results in a comprehensive policy, it does provide for a power struggle when a decision cannot be made as to which committee will be largely responsible for the Directive. Thus, the procedure is prolonged, not least on the content to be debated, but on which Committee will be in charge of the policy itself.

Consequently, when presented with a new Communication on European Disaster Preparedness from the Commission for the Parliament to debate,¹²³ the system imploded. One Member of the European Parliament, as Rapporteur in charge of the Communication, was baffled by the change of committees. He explains:

“...In the past these issue has been within the sphere of competences of the ENVI committee, and well, at the first glance it seems more logical to me because this is, in many aspects, this is mainly an environmental issue. Of course we deal with other issues, environmental issues on the ENVI committee which have a global dimension, not restricted to the EU, for instance climate change. It’s also an issue from the environmental sphere, but it’s also to do with the third

¹²³ European Commission, *A Community approach on the prevention of natural and man-made disasters (COM (2009)82*, Brussels: European Commission, 2009.

world, with many developing countries, that's the same with disasters – either prevention or response. So why to move it to DEVE just because it has implications on developing countries? It has a global dimension - that is not sufficient to move it to DEVE.”¹²⁴

Despite the decision to assign issues of disaster preparedness and prevention to DEVE, confusion continues as ENVI is in charge of climatic issues, while AFET is charged with decisions on immediate humanitarian aid, including conflict situations. Having different committees in charge of the different stages of disaster mitigation can cause chaos for those interacting with the European Parliament, particularly NGOs. Non-state actors are often invited into the decision-making process as external authorities for a particular piece of legislation and are encouraged to provide their own opinions and possible amendments for a particular directive.

The European Council is not exempt from political cleavages exist where political and ideological divides are evident in the policy formation (lexis) and practice (praxis) of Member States. Content analysis has demonstrated similarities and variations in EU Member State DRR and child protection policy formation. Member States do not necessarily unite in their foreign policy aid or human rights approaches in so much that it is possible to catalogue Member States into North-South, or East-West divides. Chapter Four will provide an in-depth comparative analysis of Member State policy approaches to review indications of these geopolitical inclinations in political cleavages amongst Member States. Furthermore, Member State alignment may be found in the categorisation of old and new Member States, and their practical approaches of aid delivery and FPA partner activity trends, as Chapter Five will demonstrate.

¹²⁴ Interview excerpt, Del to ACP-EU Joint Parliamentary Assembly / Committee on ENVI, 11/11/ 2010.

Given that the Parliament and Council have recently attained the position of co-legislator through the ratification of the Lisbon Treaty,¹²⁵ it is consequently in the interest of external actors to collaborate with the Parliament, the Community and Member States, in order to become influential in the formation of policies. However, this influence is diminished if the system is confused and partners remain unsure of EU-related roles, principles, and practices. For the parliament this is in relation to the underlying principles and activities surrounding directives, while for the European Council, the underlying principles and the direction of Member States' policy objectives towards DRR and human rights. With the increased acknowledgement from the EU, its institutions and its Member States of their role in disaster management, there needs to be consensus on who is going to deal with all or any of the stages of disaster management. Harmonisation at an EU internal level affects the translation of various foreign policy mechanisms into coherent actions with partner regions and countries.

When considering the geographic focus of the EU's humanitarian action, discussions on the Community's presence overseas often centre on the African continent, rather than investigating EU humanitarian action further afield. The 2009 DRR Communication, as the current EU strategy to reduce risks in developing countries, which focuses on the EU's overseas DRR strategy¹²⁶ includes both regions of South-East Asia and the Pacific. The 2011 implementation plan advanced on the 2009 DRR Communication as it outlined areas of regional interaction to create regional action plans for DRR, as well as the need for stronger interaction between Member States and local actors.¹²⁷

Content analysis of EU and Member State policies indicated the Asia-Pacific region is rarely mentioned in EU or Member States' policies.¹²⁸ Where applicable, emphasis remained on South East Asian countries, with a disregard for assistance in Pacific Island nations. Natural disasters continue to be a severe threat to states within the Asia Pacific region. Whether

¹²⁵ European Community, *Consolidated version of the Treaty of the European Union*. Brussels: Official Journal of the European Union C83/13, (2010): Article 14.1.

¹²⁶ European Commission, *Communication from the Commission to the Council and the European Parliament: EU Strategy for supporting Disaster Risk Reduction in Developing Countries (COM(2009)84)*, Brussels: European Commission, 2009.

¹²⁷ European Commission, *Commission Staff Working Document: Implementation Plan of the EU Strategy for supporting disaster risk reduction in developing countries 2011-2014*, (Brussels: European Commission, 2011.)

¹²⁸ See Appendix II for terms included in content analysis.

frequent or infrequent, they bring with them a number of associated risks to all levels of a community, requiring a crucial amount of forward thinking to reduce such threats.

Regional intergovernmental institutions have, nevertheless, been increasing their disaster management strategies. In a move to streamline disaster risk management, and disaster responses, some regions have maximised policy coherence in disaster management through capacity building, and disaster response procedural arrangements, such as the entry to disaster sites.¹²⁹

Moreover, there is often a spill-over from the management of disasters as a political issue to influence other areas of regional interaction. This is particularly the case in disaster risk management where effective disaster risk management relies on the maximisation of available resources, and the avoidance of duplicity in the provisions in the response and phases of a disaster. Regional knowledge exchange between emergency responders, practitioners and government entities assist in the cost-efficiency of disaster risk management. However, these regional collaborations in disaster management continue to surround the technical aspects of disaster management, rather than the social vulnerabilities of disasters, which also require a regional approach such as displacement as an impact of a disaster.

The Global Facility for Disaster Reduction and Recovery reported in 2013 the involvement of intergovernmental organisations, such as ASEAN,¹³⁰ have strengthened their disaster risk management capabilities, particularly in risk assessments and the development of DRR policy and practices. For its relationship with South East Asia, the EU interacts with ASEAN as the regional body, with a Plan of Action to strengthen the EU-ASEAN partnership in cooperating through political dialogue, the EU's role in humanitarian assistance, and cooperation on human rights. In particular, through ASEAN's human rights intergovernmental commission (AICHR).¹³¹ Despite this regional human rights mechanism, and an acknowledgement within ASEAN of the advantages of the human security model to assist in regional insecurity issues

¹²⁹ Thomas W. Haase, "International Disaster Resilience," in *Designing Resilience*, eds. Comfort et al., (Pittsburgh, University of Pittsburgh Press, 2010), 226.

¹³⁰ Association of Southeast Asian Nations

¹³¹ European Commission, *Bandar Seri Begawan Plan of Action to Strengthen the ASEAN-EU enhanced partnership (2013-2017)*, (Bandar Seri Begawan, 2012).

including political, economic and social instabilities, there is still a focus on state security over the individual, in both ASEAN policy and decision-making.¹³²

The EU relies on its interaction with the Pacific Island Forum (PIF) to engage in dialogue surrounding the areas of Pacific governance and the protection of human rights. In particular, the EU acts through the ACP partnership Cotonou Agreement, in addition to a regional strategy document,¹³³ yet both have a significant lack of references to regional interactions in DRR programming. Through the PIF, 14 Pacific Island states,¹³⁴ along with New Zealand and Australia have accrued collaborative views on topics affecting the region set out in the Pacific Plan, in order to strengthen regional cooperation, a policy established in 2005 and reviewed intermittently.¹³⁵ Independent inter-governmental regional organisations, such as the Secretariat of the Pacific Community (SPC), and its scientific arm SOPAC, in the Pacific exemplify regional assistance throughout the disaster cycle, by facilitating knowledge exchange amongst regional actors of hazard mitigation efforts, and response strategies.¹³⁶ While the PIF recognises the role of human security in regional cooperation,¹³⁷ and the benefits of regional DRR coordination,¹³⁸ there are still areas where risks overlap and can be better addressed through maximising on regional ties and joint objectives surrounding DRR. The 2011 DRR implementation plan highlights the Pacific as a pilot case-in-point in the support of regional dialogue.¹³⁹ The enlargement of the DIPECHO programme into other

¹³² ASEAN Secretariat, “Realizing Human Security in Asia,” Statement from Former Secretary General H. E. Dr Surin Pitsuwan. <http://www.asean.org/resources/2012-02-10-08-47-56/speeches-statements-of-the-former-secretaries-general-of-asean/item/message-from-the-secretary-general-of-asean-he-dr-surin-pitsuwan-for-the-realizing-human-security-in-asia-symposium-at-the-university-of-tokyo>. Accessed: 19 September 2013.

¹³³ European Commission. Regional Strategy Paper and Regional Indicative Programme 2008-2013. (Strasbourg: European Commission, 2008).

¹³⁴ Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Nauru, Niue, Palau, Papua New Guinea, Republic of Marshall Islands, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu.

¹³⁵ Pacific Islands Forum Secretariat, *The Pacific Plan: For Strengthening Regional Cooperation and Integration*, (Suva: PIF Secretariat, 2005).

¹³⁶ John E. Hay, *Roles of the Pacific Regional Organisations in Disaster Risk Management*, (Brookings-LSE Project on Internal Displacement), 2013.

¹³⁷ Pacific Islands Forum Secretariat, *Human Security Framework for the Pacific 2012-2015*, (Suva: PIF Secretariat, 2012).

¹³⁸ At the time of writing, Pacific states and DRR regional actors drafted the “Strategy for Climate and Disaster Resilient Development in the Pacific.” In 2013, Pacific CCA and DRM actors adopted the regional communiqué. *Disaster Risk Management for Sustainable Development in Pacific Island Countries – The Need for Leadership by Central Agencies*, (Suva: SOPAC, 2013).

¹³⁹ European Commission, *Commission Staff Working Document: Implementation Plan of the EU Strategy for supporting disaster risk reduction in developing countries 2011-2014*, (Brussels: European Commission, 2011.)

regions is positive, particularly with regards the 2009 ‘Commission Decision on the financing of disaster preparedness actions in the Pacific,’¹⁴⁰ as the EU’s implementation of a Pacific strategy for DRR. Yet the regional approach mentioned is exclusive to the Melanesia sub-region, and excludes other Pacific countries, which are also vulnerable to disasters, both natural and man-made. The Pacific has made advances in regional interaction of disaster management, yet in some cases there are still gaps in DRR approaches. The Pacific and EU regions would gain from increased dialogue to shift from the realms of technical assistance to include social vulnerabilities.

2.3 FOREIGN POLICY PRAXIS TOWARDS DRR PROGRAMMING

There tends to be little examination of the implementation of DRR policy formation whether in terms of states’ domestic legislation, or donors’ foreign policy initiatives. A significant proportion of literature in the field focuses on implementing DRR to counter the effects of natural disasters in terms of climate change adaptation.¹⁴¹ In his comprehensive report “Disaster Risk Reduction: mitigation and preparedness in development and emergency programming,” Twigg explored a range of aspects surround DRR policy formation and implementation, with reference to various global case studies, and drew attention to the institutionalisation of DRR through policy formation at a national level, underlining the various ways of implementing DRR for developing countries.¹⁴² However the concept of DRR policy formation could be taken further to evaluate the institutionalisation of DRR as part of a donor capacity in foreign policy.

Through their research for Tearfund,¹⁴³ La Trobe and Venton investigated several donor profiles where DRR was implemented to reduce the risks of natural disasters. The report

¹⁴⁰ European Commission, *Commission decision of on the financing of disaster preparedness actions in the Pacific* [ECHO/DIP/BUD/2009/07000], (Brussels: European Commission, 2009).

¹⁴¹ See Geoff O'Brien, et al., "Climate Change and Disaster Management." *Disasters* 30, no. 1 (2006): 64-80; Frank Thomalla et al. "Reducing Hazard Vulnerability: Towards a Common Approach between Disaster Risk Reduction and Climate Adaption." *Disasters* 30, no. 1 (2006): 39-4; Davies, Mark, Katy Oswald, and Tom Mitchell, *Climate Change Adaption, Disaster Risk Reduction, and Social Protection* (Paris: Organisation of Economic Cooperation and Development, 2009).

¹⁴² Twigg, John, *Disaster Risk Reduction: Mitigation and Preparedness in Development and Emergency Programming* (London: Overseas Development Institute, 2004).

¹⁴³ Sarah La Trobe and Paul Venton, *Natural Disaster Risk Reduction: The policy and practice of selected institutional donors* (Middlesex: Tearfund, 2003).

emphasised the role of disaster management in closing the gap between emergency and development aid, which this research sees as crucial to reduce vulnerability of communities prone to disasters. However, the report did not accentuate the potential overlap of manmade disasters in terms of policy formation, as this research does, and focussed solely on reducing the risks of natural disasters through donor capacities. Through consultations with experts and policy makers, the report underscored the primary causes for DRR being overlooked as a lack of knowledge on DRR, and the difficulty in situating DRR in development and humanitarian aid spheres. These are all factors which this thesis has also uncovered in the course of its research on the EU's strategy to implement disaster risk reduction into its own foreign policy. Indeed, it is believed that such factors are interlinked and stem from states and policy makers not acknowledging DRR as a facet of foreign policy, hence for the purpose of this research, La Trobe and Venton's findings have been amended accordingly:

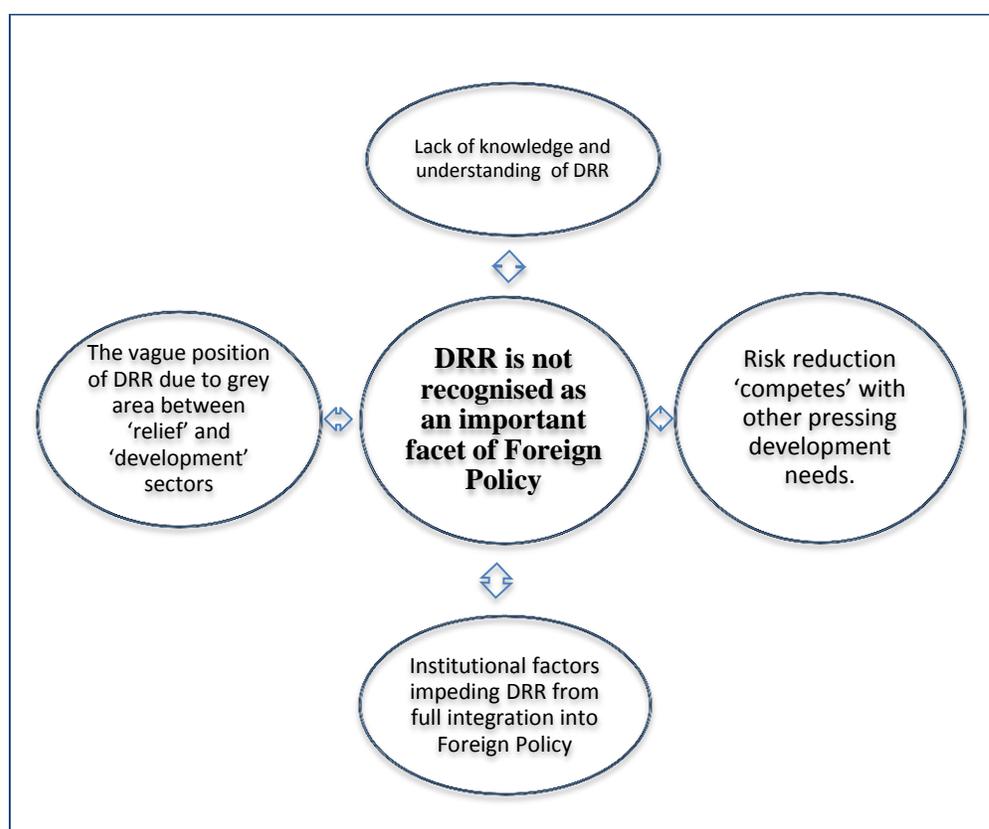


Figure 2.4 Cause and effect of overlooking DRR in foreign policy.¹⁴⁴

¹⁴⁴ Source: amended from the findings of Sarah La Trobe and Paul Venton, *Natural Disaster Risk Reduction: The policy and practice of selected institutional donors* (Middlesex: Tearfund, 2003), 8.

As shown in Figure 2.4 above, there are many interrelated grounds for the lack of implementation of DRR into donors' foreign policies, particularly concerning the overlap of humanitarian aid and developmental aid policies. Sarah La Trobe and Paul Venton, through the Tearfund organisation, have highlighted the institutional barriers of natural disaster DRR, with particular reference to the EU,¹⁴⁵ without taking a regional or community-based approach to review the repercussions of these institution barriers at a local level, as highlighted in the human security model.

Critics of EU foreign policy, acknowledge the increasing presence of humanitarian aid into its global agenda over recent decades.¹⁴⁶ Versluys elaborates on this evolution in EU policy, stating that in conjunction with its humanitarian aid policies, the EU relies solely on its coordination with other actors, whether governmental, non-governmental or international, to deliver aid to third countries, rather than establishing its own service for executing its aid operations.¹⁴⁷ This research agrees with Versluys, where the author affirms that despite increases in policy formation, the variations of domestic policies in Europe hinder the EU's external image as donor towards assistance in humanitarian crises.¹⁴⁸ In a holistic examination of European foreign policy and its influence on domestic policy, Smith examines the idea of perceived political cooperation as influenced by several key factors: elite socialisation, bureaucratic reorganisation, constitutional change, and public support for harmonisation amongst EU and domestic policies.¹⁴⁹ These factors still exist with regards to the influences of

¹⁴⁵ Sarah La Trobe and Paul Venton, *Natural Disaster Risk Reduction: The policy and practice of selected institutional donors*, (Middlesex: Tearfund, 2003).

¹⁴⁶ See Helen Versluys, "Depoliticising and Europeanising Humanitarian Aid: Success or Failure?" *Perspectives on European Politics and Society* 9, no. 2 (2008): 208-224; Helen Versluys, "European Union Humanitarian Aid: Lifesaver or Political Tool?" in *Europe's Global Role External Policies of the European Union*, ed J Orbie (Avebury: Ashgate, 2008), 91 – 115; Michael E. Smith, "Conforming to Europe: the domestic impact of EU foreign policy co-operation," *Journal of European Public Policy* 7, no. 4 (2000): 613-31; S Keukeleire and J Macnaughtan. *The Foreign Policy of the European Union* (New York: Palgrave Macmillan, 2008) ; Michele Knodt and Sebastiaan Princen, *Understanding the European Union's external relations* (New York: Routledge, 2003).

¹⁴⁷ Helen Versluys, 'Depoliticising and Europeanising Humanitarian Aid: Success or Failure?' *Perspectives on European Politics and Society* 9, no. 2 (2008): 209.

¹⁴⁸ *Ibid*, 223.

¹⁴⁹ Michael E. Smith, "Conforming to Europe: the domestic impact of EU foreign policy co-operation," *Journal of European Public Policy* 7, no. 4 (2000): 613-31.

current EU humanitarian and DRR policies on Member States' legislation, but to what extent? In their policy analysis of policy discourse of the upholding of human rights across EU institutions, Landman and Larizza stated that while there are numerous channels for the implementation of EU policy objectives, the EU can employ its 'economic and political leverage' to endorse the upholding of human rights.¹⁵⁰ Keane believes there is an increase in employing human security to aspects of external action, primarily conflict-based, including from the EU.¹⁵¹ Yet the ideology behind human rights, and perceived complexities to realise rights as part of foreign policy continues to prevent legislators from fully acknowledging rights in legislation and subsequent actions. Perhaps the international conventions are not complex enough so the endorsement from states serves merely to avoid persecution from the international community, but states fail to ratify them by applying a rights-based approach to their subsequent engagement in international affairs, as some cynics would suggest.¹⁵²

Human security accentuates the interconnectivity of states, communities and individuals, which is, in part, due to the ever-increasing sense of globalisation whether through political, economic, social, cultural, health, technological, or environmental trends. Multilateral interactions and involvement of the international community in disaster risk management emphasise the global context for reducing disaster risks. Some argue the increased involvement of international organisations in emergencies, whether manmade or natural, has been brought about by the enhancement of approaches to insecurities, where national security is complemented by a human security approach.¹⁵³ Alternatively, the model can be seen to restrain the autonomy of states, with the assertion that no nation can ignore its responsibilities under international law.¹⁵⁴ Axworthy explains the value of multilateralism is then emphasised

¹⁵⁰ Todd Landman, and Marco Larizza, *EU policy discourse: democracy, governance, and human rights*, (Sweden: International Institute for Democracy and Electoral Assistance, 2010), 11.

¹⁵¹ Rory Keane, "EU Foreign Policy Motivation: A Mix of Human Security and Realist Elements." in *A decade of Human Security: Global Governance and New Multilateralism*, eds. Sandra J MacLean et al. (Aldershot: Ashgate, 2006), 39-53.

¹⁵² J Samuel Barken, *International Organisations: Theories and Institutions*, (New York: Palgrave Macmillan 2013), 51.

¹⁵³ John Degenbol-Martinussen and Paul Engberg-Pedersen, *Aid: Understanding international development cooperation*, (Borgergade: Mellefolkeligt Samvirke, 2005), 205.

¹⁵⁴ Rob McRae, *Human Security and the new diplomacy*, eds. Rob McRae and Don Hubert, (Quebec: McGill-Queen's University Press, 2001), 252.

within the human security discourse, where multilateral institutions are viewed as an essential component for global stability, through the substantiation of international standards.¹⁵⁵

This is emphasised at a regional level where insecurities such as economic crises, movement of people, epidemics, and manmade and natural disasters, often disregard nation-state borders to inflict regional consequences.¹⁵⁶ Responsibilities surrounding a natural disaster are often unmet by national administrations and require an inter-state approach for effective management. It is in the interests of states to engage in a regional disaster risk management to minimise the effects of a natural disaster where the ensuing chaos can overextend regional governance configurations and processes, and lead to regional destabilisation.¹⁵⁷ Comfort et al. state that for disaster management decision-making to achieve maximum effect, intergovernmental institutions must utilise multi-stakeholder dialogue for the identification and assessment of risk. Collective engagement at a community level with stakeholders will assist in more effective disaster risk management.¹⁵⁸ This approach can to be broadened to cover all phases of the disaster cycle, and must ensure the decision-making at the top level corresponds with activity at the community level, through the participation of all stakeholders at all levels.

Collective engagement amongst policy makers and stakeholders brings to the fore the question of disasters as a global security risk. The internationalisation of disaster risk is assisted by the human security model, in promoting an inter-governmental attitude to reducing disaster risk. Yet states are not unanimous in their acceptance of the foreign policy model, anxious of yielding sovereignty to a multilateral approach to security risk reduction.¹⁵⁹ The extent to which international actors are answerable for the protection of individuals or groups is debatable, but the fact remains the international community do have responsibilities in some

¹⁵⁵ Lloyd Axworthy, "Human Security: An opening for UN Reform," in *The United Nations and Global Security*, eds. Richard M. Price and Mark W Zacher, (New York: Palgrave Macmillan, 2004), 246.

¹⁵⁶ Mary Kaldor et al., 'Human Security: a new strategic narrative for Europe,' *International Affairs* 83, no. 2 (2007): 285.

¹⁵⁷ Jurgen Scheffran et al, *Climate Change, Human Security and Violent Crises* (Dordrecht: Springer, 2012), 5.

¹⁵⁸ Comfort et al., "Designing adaptive systems," *Designing resilience: preparing for extreme events*, eds. Louise K. Comfort et al. (Pittsburgh: University of Pittsburgh Press, 2010), 35.

¹⁵⁹ Rob McRae, *Human Security and the new diplomacy*, eds. Rob McRae and Don Hubert, (Quebec: McGill-Queen's University Press, 2001), 252.

form.¹⁶⁰ The interactions between international actors in carrying out those responsibilities then becomes the basis for exploration of praxis, at an international, regional and local level to review influences on the levels of protection bestowed on those in at-risk communities.

Since the formation of the Hyogo Framework Agreement (HFA), under the UNISDR,¹⁶¹ policy makers and practitioners are strengthening disaster risk management through the international substantiation for the implementation of the HFA on addressing disaster risk, validating the agreement from states of the need to address disaster risk. The HFA is based on the five main priorities outlined in the Framework: governance, risk identification and assessment, knowledge and education, hazard and risk reduction, and disaster preparedness and response.

- | | |
|------|--|
| I) | Governance (organisational, legal and policy frameworks); |
| II) | Risk identification, assessment, monitoring and early warning; |
| III) | Knowledge management and education; |
| IV) | Reducing underlying risk factors; |
| V) | Preparedness for effective response and recovery. |

Figure 2.5 Priorities of the HFA.¹⁶²

According to the HFA, states needed to show they addressed the five identified priority areas through DRR policy formation and subsequent implementation measures, to be established by 2015. These priorities are applied to the local context, and through the employ of local ownership with recognition of culture and traditional approaches, ensuring a multi-stakeholder to include civil society and the private sector, and cross-cutting issues, as core aspects to implementing community-based disaster risk management (CBDRM).¹⁶³ In addition to

¹⁶⁰ Ian Smillie, “Whose security? Innovation and responsibility, perception and reality,” in *A decade of Human Security*, eds. Sandra J. MacLean, David R. Black, Timothy M. Shaw, (Aldershot: Ashgate, 2006), 19.

¹⁶¹ International Strategy for Disaster Reduction, *Hyogo Framework for Action 2005-2015: Building Resilience of Nations and Communities to Disasters* (Geneva: UNISDR, 2005).

¹⁶² International Strategy for Disaster Reduction, *Hyogo Framework for Action 2005-2015: Building Resilience of Nations and Communities to Disasters* (Geneva: UNISDR, 2005).

¹⁶³ International Strategy for Disaster Reduction, *Hyogo Framework for Action 2005-2015: Building Resilience of Nations and Communities to Disasters* (Geneva: UNISDR, 2005), 19.

applying DRR to all phases of a disaster, which are not addressed, there are also the identified priorities to address through the HFA as the international framework for DRR.¹⁶⁴ “If you look at the HFA priorities, you know, along with the cross-cutting issues, well it’s even less than that.”¹⁶⁵ The narrow view of DRR applications coincides with some concerns of the international framework for DRR, the HFA. The priorities of the Hyogo Framework demonstrated the commitment from states to reduce the risks associated with disasters, to be addressed accordingly through policy change and implementation of DRR throughout the levels of governance. Yet despite the high-level buy in by government officials and policy makers, the difficulty lies in the translation of recognition of DRR in policy to holistic implementation of DRR on the ground for communities to withstand disaster risk, at all phases of a disaster. In a discussion on the shift from DRR policy to practice, and how methodical and comprehensive DRR was achieved at the various levels of governance, one practitioner observed:

“To be honest, I don’t know. I think you’d have to measure change in decades rather than a few years, but it’s a milestone which has been passed, and there is an understanding that one has to go further.”¹⁶⁶

The irony lies in the fact that of the interview participants active in implementing DRR in-country, the majority did not recognise the HFA as a tool for implementing DRR, or indeed in some cases, they did not know about the Agreement at all.

EUROPEAN DRR PRACTITIONER	“I speak to my partners and I ask them what they think of it, and they haven’t heard of it.” ¹⁶⁷
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¹⁶⁴ The HFA priorities are: I) Governance (organisational, legal and policy frameworks); II) Risk identification, assessment, monitoring and early warning; III) Knowledge management and education; IV) Reducing underlying risk factors; V) Preparedness for effective response and recovery.

¹⁶⁵ Interview excerpt, World Vision [regional], 29/8/2012.

¹⁶⁶ Interview excerpt, Anonymous, 12/09/2012.

¹⁶⁷ Interview excerpt, CAFOD, 10/9/2012.

UNICEF	“I’m not very much acquainted with it.” ¹⁶⁸
UNDP	“I haven’t actually grasped or understood the Hyogo Framework, it’s signed in Japan on DRR. That’s a good point.” ¹⁶⁹
IN-COUNTRY DRR PRACTITIONER	“I haven’t really spent a lot of time looking at Hyogo, to be honest.” ¹⁷⁰
DONOR AGENCY	“I’ve heard about it but I don’t know enough about it to comment on it, but maybe that’s part of the problem in that I don’t know enough about it, unless I went digging, how it affects me, or the work ... in this country, so maybe that’s something the people who develop it need to do more of.” ¹⁷¹

Figure 2.6 In-country views on the HFA as an implementing tool for DRR

These examples of lack of recognition of the international framework depict a lack of recognition of the international framework as the foundation for global DRR implementation. Moreover, as the initial quotation suggests, there is a disparity between FPA agencies and their partners in the acknowledgment of the framework. Perhaps the lack of recognition of the HFA is due to the fact the Framework outlined the work needed to be done, without the inclusion of mechanisms in the framework to assist policy makers and practitioners in the implementation of DRR in-country. Moreover, the view of preparedness throughout the HFA focuses on response and recovery, as short term risk reduction. This concern is augmented by the fact that priorities in the HFA do not align with the whole disaster cycle. Measures to be implemented in achieving these priorities coincide with different phases of the disaster cycle, and compartmentalise rather than a whole-of-disaster approach to avoid grey areas. This lack of acknowledgement of the international agreement for DRR programming to assist in reducing vulnerability in-country can have implications on the donor-partner relationships, where there is divergence between the policy objectives at an EU level to the implementation of CBDRM in-country.

¹⁶⁸ Interview excerpt UN Agency, 16/10/2012.

¹⁶⁹ Interview excerpt UN Agency, 16/10/2012

¹⁷⁰ Interview excerpt Save the Children, 18/10/2012.

¹⁷¹ Interview excerpt, AusAid, 16/10/2012.

2.4 COMMUNITY-BASED RISK MANAGEMENT

The previous sections have discussed the various aspects of DRR lexis and praxis channels for DRR in foreign policy. Human security, with its acknowledgement of local level processes and a human rights-based approach to policy implementation, can prove to have areas of overlap with the implementation of community-based DRM, of which DRR is a facet. We can draw on Dombrowsky's perceptions of what could be considered as community resilience and multi-stakeholder praxis where 'perpetual action is often firmly established by rituals, customs, norms, institutions, or organisations, which react upon human action like a silent but unchangeable force of circumstances.'¹⁷²

When evaluating human rights within the sphere of CBDRM, the implementation of DRR policies can become a human rights issue. Carmalt and Dale explain that the creation of DRR policies indicates a respect for the right to protection, in this case against a hazard or threat, and as a consequence the employ of such legislation will then protect the lives of those at risk.¹⁷³ Whereas, if a state is aware of a frequent or infrequent form of disaster which it is vulnerable to but does not generate a DRR policy or set of practices, it is in breach of its obligation to protect its citizens and their right to life.¹⁷⁴ Pelling and Dill broach the politicisation of disasters at a local level, where societal norms and constructs can often be called into question.¹⁷⁵ Chaos surrounding the disaster cycle leads to increased vulnerability, leading to the need to ensure rights are protected against violation. CBDRM policies and practices must however remain specific to the community and cultures within which they are formed.

Within the HFA, the role of donor agencies, international organisations, and non-governmental organisations in financing and implementing community-based DRR projects is

¹⁷² W R Dombrowsky, "Again and Again: Is a disaster what we call "Disaster"?" *International journal of mass emergencies and disasters* 13, no. 3 (1995): 251.

¹⁷³ Jean Connolly Carmalt, and Claudine Haenni Dale. "Human Rights and Disaster" in *Routledge Handbook on Hazards and Disaster Risk Reduction*, eds. B Wisner et al, (Abingdon; New York: Routledge, 2012), 67.

¹⁷⁴ *Ibid*, 68.

¹⁷⁵ Mark Pelling and Kathleen Dill, "Disaster politics: tipping points for change in the adaptation of socio-political regimes," *Progress in Human Geography* 34, no. 21 (2010): 27.

also minimal. Figure 2.4 depicts the five key priorities of the HFA, along with influential actors and cross-cutting themes:

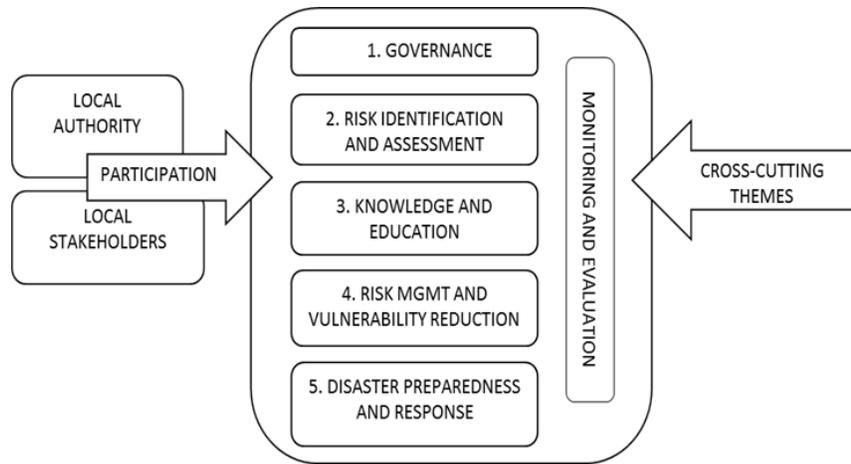


Figure 2.7: CBDRM model based on the HFA priorities.

Article 22 of the HFA states that influence from such bodies in risk management is coordinated through the state.¹⁷⁶ This, often bilateral, approach to CBDRM thus contradicts the implication of local ownership of the disaster risk management process. Some implementing strategies recognise donor agencies,¹⁷⁷ yet only in the final monitoring and evaluation of CBDRM projects, and reporting they require as part of financing CBDRM projects. Donors and their interactions with implementing non-governmental organisations, and local stakeholders are yet to be fully recognised as part of a CBDRM process. This is particularly relevant in areas such as the Pacific, where donor agencies and non-governmental implementing partners play a significant role in carrying out CBDRM policy formation and local projects. In their report for Tearfund and UNISDR, Venton and La Trobe evaluated donor agencies from Europe, Canada, America and international agencies, such as the UNDP

¹⁷⁶ United Nations International Strategy for Disaster Reduction (ISDR). *Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters*. (Geneva: UNISDR, 2005), 16.

¹⁷⁷ Asia Disaster Preparedness Centre (ADPC). *Community-based Disaster Risk Management: a field practitioner's guide*. (Pathumthani: ADPC, 2004); Asia Disaster Preparedness Centre (ADPC). 2006. *Critical guidelines: Community-based Disaster Risk Management*. (Pathumthani: ADPC, 2007); John Twigg, *Characteristics of a disaster-resilient community: A guidance note*. (London: DFID Disaster Risk Reduction Interagency Coordination Group, 2007); World Bank, *Understanding Risk*, (Washington, D.C.: World Bank, 2010).

and the World Bank, to assess priorities given to mainstreaming disaster risk programming.¹⁷⁸ Funding disaster risk reduction programming in developing countries had been given a higher level of priority by donors, yet thorough assessments funded projects, and a strategy for measuring progress were primary concerns.¹⁷⁹ While the priorities of donors have been discussed, the role of donor agencies as a participatory stakeholder in CBDRM was not part of Venton and La Trobe's evaluation.

While the HFA is not underpinned by a rights based approach to disaster risk management, participation of local stakeholders represents an analogous implementing measure. Agency is central to both a human rights-based approach to external action, and a bottom-up approach to disaster risk management methodology. Within the HFA, local stakeholders are not expanded on to indicate which groups are involved in the process of DRM. Customarily, participation from local stakeholders surround local NGOs, civil society representatives and the private sector, yet the role of these stakeholders in creating a multi-stakeholder approach is often not determined. Other actors, such as the Church, often go under-valued in CBDRM, despite the capacity of faith-based organisations for information dissemination, and greater knowledge of local hazards, vulnerabilities, and traditional mitigation strategies.

The principles of the human security model coincide with the HFA objectives in the importance of regional interaction, local ownership of processes, and multi-stakeholder methodologies in managing threats. The fact there is alignment between human security principles and the HFA priorities is positive in the holding of international, regional, and national obligations of duty-bearers to protect against vulnerability and ensure rights are upheld, whilst HFA must remain contextual to cultural and national risks and vulnerabilities. A human rights-based implementation of HFA objectives, where cultural, ethnic and societal factors are emphasised as foundational themes of human security, can assist in a community-based approach.

¹⁷⁸ Sarah La Trobe and Paul Venton, *Natural Disaster Risk Reduction: The policy and practice of selected institutional donors*, (Middlesex: Tearfund, 2003).

¹⁷⁹ *Ibid*, 26.

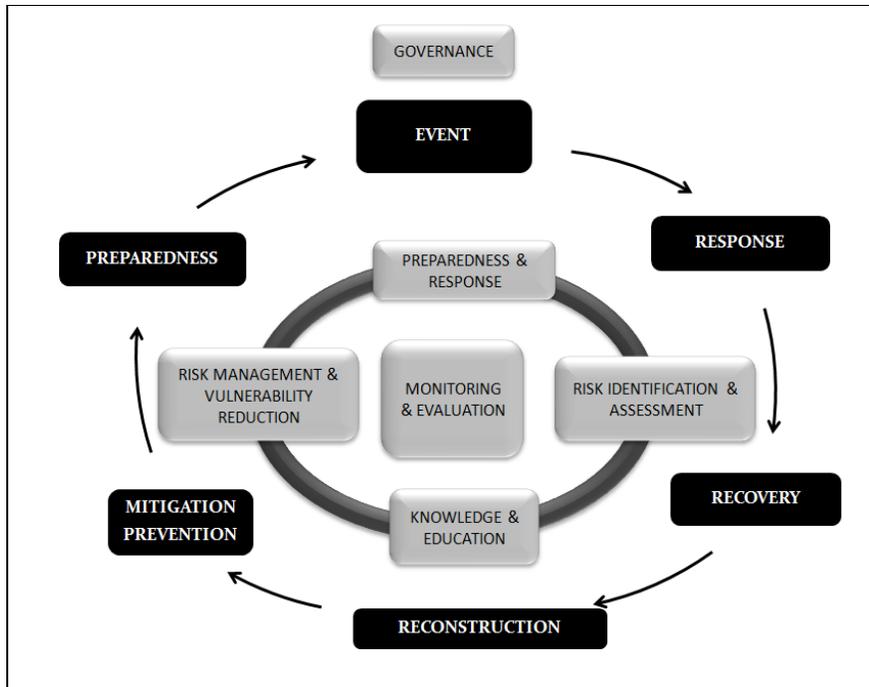


Figure 2.8 The disaster cycle and the HFA priorities.

Alongside the overlap of the priorities with the phases of the disaster cycle, the priorities were considered by some as too broad. For example, Priority Four, where such an all-embracing view of reducing underlying risk factors:

“It was very symptomatic that reducing the underlying risks was dumped into the fourth of the key areas of action, that was a catch-all of all sorts of awkward issues that people didn’t want to deal with... how do you move on from that, I don’t know.”¹⁸⁰

In turn, this can marginalise the risks of certain groups, and thus they remain vulnerable, as is the case with children. This is not assisted by the fact the HFA has little recognition of cross-cutting issues and social elements of disasters, when discussing child protection.

REGIONAL DRR PRACTITIONER	[HFA 2015] has to be balanced, but it has to be child-focused as well. There are different schools of thought...but I think that the child-centred approach runs the risk of focussing too much attention on the child, at the expense of not focussing
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¹⁸⁰ Interview excerpt, Anonymous, 11/09/2012.

	also on the caretaker. There's no resilience for that for children...so I think it has to be a balanced approach. ¹⁸¹
EUROPEAN INTERNATIONAL ORGANISATION	Post-Hyogo there will be a pillar related to children which looks at protection / education / nutrition / medication... it will include the participation of children, and risk assessments. So it will be more structured with an increased child focus. ¹⁸²
IN-COUNTRY DRR PRACTITIONER	I think it's ok ...I guess it needs to be complemented with international standards on particular things. ¹⁸³
IN-COUNTRY INTERNATIONAL ORGANISATION	It's a good framework but you just need to ensure that any development programming is still implementing within the existing social structures, and the emphasis on behaviour change, who the people are that we target. We need to support development programming that allows you to support dialogue and change at the community level. ¹⁸⁴

Figure 2.9 Views on addressing social risks and the vulnerability of children in the HFA

This leads to the matter of whether to integrate child protection into holistic DRR programming, or specialise DRR programming on the protection of children to acknowledge all risks to children and avoid marginalisation. As the first participant recognises, a comprehensive view of children and DRR then assists in addressing the roles of other actors in the community, such as the role of parents and teachers in ensuring child protection. The concern of mainstreaming the protection of children vertically across all levels of governance, and horizontally throughout the various aspects of DRR, is a potentially marginalisation of the risks to children. As with the focus on the response and recovery phase, there can be a disregard for slow onset or social risks, such as the psychological repercussions of disasters, or potential abuse and exploitation.¹⁸⁵ Alternatively, the second participant believes children should be a focal point for the 2015 post-Hyogo Framework Agreement, with specific attention to the needs and risks associated to disasters that children face. In addition, the roles they play in child-centric DRR such as participation in the design of DRR programming and risk assessments. Does designating child protection to specific DRR activities in fact

¹⁸¹ Interview excerpt, World Vision [regional], 29/8/2012.
¹⁸² Interview excerpt, UNICEF, 28/08/2012
¹⁸³ Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012.
¹⁸⁴ Interview excerpt, Save the Children, 18/10/2012.
¹⁸⁵ Lori Peek. "Children and Disasters: Understanding Vulnerability, Developing Capacity, and Promoting Resilience - an Introduction." *Children, Youth and Environment* 18, no. 1 (2008): 1-29.

represent a restricted view of children and their role in implementing effective DRR, as they are not assimilated into DRR, as a pivotal societal issue?

Perhaps, as the latter opinions suggest, there needs to be a stronger focus on international standards, in this case alignment of state policy and practice with the UNCRC, to empower and protect children, or a stronger promotion of dialogue through existent social structures. As such, states can recognise the social vulnerabilities of factions of society, as promoted by the human security model. By strengthening governance structures to address societal risks would then ensure a comprehensive view of risk to mirror the current focus on technical risks – infrastructural or physical risks faced by a community. Yet a holistic view of DRR as a useful tool to assist in disaster management is often discounted. The concern being that if inclusive of all technical and social risks, DRR can be too broad, and thus potentially viewed as unachievable:

“You’ve got to understand the complexities, well, too bad, if there were a simple way to do this, if there were a simple way to do this, it would have been done already. You know, someone would’ve found the holy grail of building resilience, you know, that one activity that will save us all! But it doesn’t exist, we live in a complex world.”¹⁸⁶

Those undertaking DRR programming believe donors are looking to NGOs and practitioners to provide an undemanding solution to ensure holistic resilience to disasters, which is cost-effective and achievable in the short-term. Such strategies are ineffective in reducing the risks of communities.

EUROPEAN INTERNATIONAL ORGANISATION	...Agencies ¹⁸⁷ now they’re pushing, pushing NGOs, who are looking at resilience, you know, ‘but what’s that hard measure we can put in place, what’s that hard thing.’ Resilience is not a thing, it’s a strategy. It always has been and always will be. And I
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¹⁸⁶ Interview excerpt, Helpage, 11/9/2012.

¹⁸⁷ In this instance, the interview participant is referring to donors, or institutions which fund NGOs to undertake DRR programming.

	think that it's really frustrating that people say either 1) it's too complicated or 2) they want to go too simple. They can't find that middle level professional ground to do resilience properly. ¹⁸⁸
EUROPEAN DRR PRACTITIONER	“I think a lot of it is re-branding in the belief that in some way you can find a magic bullet, a new paradigm that is going to unlock all the doors, and that's where the problem is. Most people actually get most of this at an everyday level. The problem is the institutions and structures they have to work with, and most of the time they don't change. Just changing your policy statement or commissioning an interesting piece of research, holding some workshops, attaching a new word to everything is not going to make the difference in the end.” ¹⁸⁹

Figure 2.10 Partner perspectives of donor facilitation of sustainable DRR programming

Tierney and Oliver-Smith describe a disregard for regional and local actors will result in a breakdown of communication between national and local actors during the disaster recovery phase.¹⁹⁰ These groups can also play vital roles throughout other phases of the disaster cycle, not only in the recovery and reconstruction phases, but also in the mitigation and preparedness phases, such as through DRR programming. However, Cannon cites the need for a more bottom-up approach:

‘There is a growing realisation that many top-down approaches to disaster management fail to address the specific local needs of the vulnerable communities, as it does not take into account the potential of local resources and capacities. The community being the first to confront and respond immediately in the exigency of any emergency, there is a need to build up the capacities of the communities, enhance the skills and traditional coping

¹⁸⁸ Interview excerpt, Helpage, 11/9/2012.
¹⁸⁹ Interview excerpt, Anonymous, 11/09/2012.
¹⁹⁰ Kathleen Tierney and Anthony Oliver Smith, “Social Dimensions of Disaster Recovery,” *International Journal of Mass Emergencies and Disasters* 30, no. 2 (2012): 129.

mechanisms for minimizing losses resulting from disasters.’¹⁹¹

This statement acknowledges a community’s abilities in disaster management, but continues with a potentially imposing attitude based on prioritising external assistance over local processes. Governance does not solely imply the actions of state administrations. Instead, a multi-stakeholder approach to policy formation and implementation is also important in effective governance, where the private sector, civil society organisations, and international organisations enhance governance structures to ensure processes do not increase vulnerabilities of individuals or groups.¹⁹²

Governance also exists through local level disaster processes, to complement top-level decision-making and public-private interactions. ‘Community-based’ implies responsibilities towards all aspects of disaster risk management to cover the disaster cycle, whether through policy formation, implementation, and the consequences.¹⁹³ Accountable community-level disaster policies and procedures require effective participatory governance to highlight the vulnerabilities and capabilities of all groups within the community.¹⁹⁴ Capacity building is integral to the empowerment of local actors, to increase the effectiveness of disaster risk management. Involvement of vulnerable groups in legislative processes results in the voicing of the actual risks and concerns of those communities who must deal with the aftermath a disaster.¹⁹⁵ Rather than foreign powers coercing or regulating those at risk in humanitarian or development policies, it is more effective to empower them to construct accountable, community-based solutions to crises.¹⁹⁶ Cain views the provision of social protection schemes

¹⁹¹ Government of India (2003), as cited in Terry Cannon, *Reducing People’s Vulnerability to Natural Hazards: Communities and Resilience [Research Paper No. 2008/34]*, (Helsinki: UNU-WIDER, 2008), 11.

¹⁹² Terry Cannon, *Reducing People’s Vulnerability to Natural Hazards: Communities and Resilience [Research Paper No. 2008/34]*, (Helsinki: UNU-WIDER, 2008), 9.

¹⁹³ Zenaïda Delica-Willison and JC Gaillard, “Community Action and Disaster,” in *The Routledge Handbook of Hazards and Disaster Risk Reduction*, eds. Ben Wisner et al., (New York; London: Routledge, 2012), 715.

¹⁹⁴ Lingkar Association, *Working with community: good practices community based disaster risk reduction*, (Yogyakarta: Lingkar Association, 2012), 19.

¹⁹⁵ Madoka Futamura et al., ‘Natural Disasters and Human Security,’ <http://unu.edu/articles/peace-security-human-rights/natural-disasters-and-human-security>, Accessed: 5 May, 2011.

¹⁹⁶ Kaldor, Mary, M Martin, and S Selchow, “Human Security: a new strategic narrative for Europe,” *International affairs* 83, no. 2 (2007):285.

as an enabling mechanism for a ‘process of empowerment,’ where households or individuals are in charge of the decision-making in investing their future, and as a result ‘contribute to ‘the development of human capital,’ and can lead to a reduction in poverty.¹⁹⁷ Delica-Willison and Gaillard state risk reduction programmes at a community level ensure an individual or group’s participation and empowerment,¹⁹⁸ as is their right.

While the HFA is not underpinned by a rights based approach to disaster risk management, participation of local stakeholders represents an analogous implementing measure. Agency is central to both a human rights-based approach to external action, and a bottom-up approach to disaster risk management methodology. Within the HFA, local stakeholders are not expanded on to indicate which groups are involved in the process of DRM. Customarily, participation from local stakeholders surround local NGOs, civil society representatives and the private sector, yet the role of these stakeholders in creating a multi-stakeholder approach is often not determined. There is a need to recognise local community groups as not only vulnerable, but as social capital. Societal systems, such as faith-based or indigenous networks, often go undervalued in risk management for information dissemination, and greater knowledge of local hazards, vulnerabilities, and traditional mitigation strategies. As for demographics whom are particularly vulnerable to disasters, such as women, those with disabilities, elderly, racial and ethnic minorities, and children, Phillips recognises such groups can act as social capital through the provision of additional resources, knowledge exchange, affiliations and networks, and organisational structures, which meet their needs during the disaster cycle.¹⁹⁹ Clearly, the idea of local ownership is not only about fulfilling the basic requirements and recognising local vulnerabilities, but dialogue with community groups can maximise the efficiency²⁰⁰ in disaster management and can complement institutional disaster management structures.

Within the HFA, cultural diversity and gender (which appears to also encompass vulnerabilities surrounding age, and other such groups with specific needs surrounding

¹⁹⁷ Emma Cain, *Social Protection and Vulnerability, Risk and Exclusion across the life-cycle*, (London: OECD, 2009), 133.

¹⁹⁸ Zenaïda Delica-Willison and JC Gaillard, “Community Action and Disaster,” in *The Routledge Handbook of Hazards and Disaster Risk Reduction*, eds. Ben Wisner et al., (New York; London: Routledge, 2012), 711.

¹⁹⁹ Phillips (2009, 39), as cited in Frances L. Edwards, “All Hazards, Whole Community”, in *Disaster Resiliency: Interdisciplinary Perspectives*, eds. Naim Kapucu et al. (New York; London: Routledge, 2013), 23.

²⁰⁰ Mary Kaldor, *Human Security: Reflections on Globalization and Intervention*, (Oxford: Wiley, 2013), 195.

disasters) are outlined as cross-cutting issues to be integrated within a community-based approach to disaster risk management. The HFA does not provide implementation strategies for policy formation around such areas, and as a result vulnerable groups such as women, children, the elderly or those with disabilities, and other cultural aspects remain under-represented in the HFA priorities. For the HFA to be an effective global and national document in reducing risks, it must be culturally relevant. It also must draw on the cultural societal aspects as social capital for locally owned community-based DRR to be successful. In the report 'Characteristics of a disaster-resilient community,' Twigg expanded on the five thematic areas to provide policy makers and practitioners with a guide to implementing a bottom-up approach to disaster management.²⁰¹ While not based on a human rights methodology, Twigg's report acknowledges that cross-cutting issues are an underlying component of disaster risk management, to be integrated at every stage, rather than at a specific point of the process.²⁰² This has, however, not been the case for the majority of DRR policy or project formation, where vulnerable groups and their rights are still yet to be recognised.

The focus on infrastructural and economic reform in mitigation measures as part of disaster risk management has rendered traditional DRR measures inferior to technological and scientific approaches.²⁰³ Califano stresses the importance of direct involvement from indigenous groups in risk management, as their unparalleled understanding of the geographic and social context, can best identify and manage local needs and present local risk management techniques for security.²⁰⁴ A community's resiliency is confirmed by the inclusion of both traditional and modern approaches to disaster risk, where traditional approaches allow for intergenerational knowledge exchange amongst community members of understanding of hazards, risk, and coping mechanisms. Cain clarifies if governance centres

²⁰¹ John Twigg, *Characteristics of a Disaster-Resilient Community*. London: Aon Benfield Hazard Centre, 2009.

²⁰² John Twigg, *Characteristics of a Disaster-Resilient Community*, London: Aon Benfield Hazard Centre, 2009, 50.

²⁰³ Gregory Button and Anthony Oliver-Smith, "Disaster, Displacement and Employment," in *Capitalizing on Catastrophe: Neoliberal strategies in disaster reconstruction*, eds. Nandini Gunewardena and Mark Schuller, (Plymouth: Altamira Press, 2008), 145.

²⁰⁴ Joseph J. Califano, "Justice, Security and Genuine Peace, in *Global Community*, eds. Randall E. Osborne and Paul Kriese, (Amsterdam; New York: Rodopi, 2008), 285.

on national supportive measures, rather than local measures in disaster management, traditional management processes are undermined.²⁰⁵

Culture can also affect the educational aspect of DRR where the right to education differs amongst various cultures and societal settings. In the developing world, governments may struggle with the provision of education and the security of children through welfare policies, which the developed world sees as the norm.²⁰⁶ While they may endeavour to adhere to international standards on education as a child's right, developing nations also may succumb to resource constraints and cultural facets such as a parent's commitment to the education of their children.²⁰⁷

While there has been a certain amount of research on the EU's humanitarian aid in other continents, and the role of non-governmental organisations in general,²⁰⁸ there has been few investigation which addresses the EU's partnerships in humanitarian aid in the Asia Pacific. This study also assists in filling the gap in research on the activities of civil society organisations in the provision of DRR, through the collaborations between civil society and donors.

The role of civil society as a stakeholder in foreign policy processes is central to the human security model for implementing external action. As Stoddard explains, there has been an

²⁰⁵ Emma Cain, *Social Protection and Vulnerability, Risk and Exclusion across the life-cycle* (London: OECD, 2009), 137.

²⁰⁶ Ken Booth and Tim Dunne, "Learning Beyond Frontiers," in *Human Rights in Global Politics*, eds. Tim Dunne and Nicholas J. Wheeler. (Cambridge: Cambridge University Press, 1999): 314.

²⁰⁷ *Ibid*, 314.

²⁰⁸ See Christine Mahoney, and Michael J. Beckstrand, "Following the Money: European Union Funding of Civil Society Organizations," *Journal of Common Market Studies* 49, no. 6 (2011), 1339-1361; Gilles Nancy and Boriana Yontcheva, "Does NGO Aid Go to the Poor? Empirical evidence from Europe," *IMF Working Paper WP/06/39* (2006): 1-23; Daniela Irrera, "EU and civil society: the case of NGOs in peace missions and humanitarian intervention," *Romanian Journal of European Affairs* 10, no. 1 (2010): 32-51; Benson et al., "NGO Initiatives in Risk Reduction: An Overview," *Disasters* 25, no. 3 (2001):199-215; Emmanuel Luna, "NGO Natural Disaster Mitigation and Preparedness: The Philippine Case Study," 2000, <http://www.redcross.org.uk/dmp>, Accessed: 28 April 2010 ; John Twigg and Diane Steiner, "Mainstreaming disaster mitigation: challenges to organisation learning in NGOs," *Development in Practice* 12, no. 3&4 (2002): 473-479, Nilufar Matin and Muhammad Taher, "Disaster Mitigation in Bangladesh: Country Case Study of NGO Activities," *Disasters* 25, no. 3 (2001): 227-239. La Trobe, Sarah, *Mainstreaming Disaster Risk Reduction: A Tool for Development Organisations* (London: Aon Benfield Hazard Centre, 2005).

escalation in international and NGOs in the second half of the twentieth century.²⁰⁹ Kaldor and Gruiters confirm the function of civil society is fundamental to cases of insecurity and also general development, where its function in recent decades has evolved to take a more active role, operating as both ‘mediators and facilitators.’²¹⁰ Axworthy promotes partnerships with civil society as their expertise and experience in putting legislation into practice can assist in the national and regional implementation of global rules and regulations,²¹¹ as is the case in disaster risk management. Ryfman sees the actions of NGOs as particularly important to humanitarian assistance, but state the influences of transnationalism and increased levels of accountability mean their role is increasingly complex.²¹² The private sector are increasingly having to address corporate social responsibility (CSR) within companies, with regards to upholding human rights, both locally and on a global scale. The EU, along with certain Member States, are progressively promoting CSR as an essential business practice for when transnational businesses engage in foreign investments. This growing presence of the private sector as a partner in EU-third country development, coupled with the EU’s advocacy for the upholding of human rights as part of its external action strategy, illustrates the relevance of underpinning risk assessments with the rights of those at risk.

Disaster practitioners and governments are taking direction from the insurance companies in implementing risk assessments of vulnerable communities prior to implementing humanitarian projects or assisting with disaster management. Nevertheless, the engagement of the business community with other actors involved in DRR programming, can assist in the cost-effective implementation of DRR strategies:

“...You have to use business tools and expertise, you have to use more scientific tools and expertise in the work you do -

²⁰⁹ Abby Stoddard, *Humanitarian NGOs: challenges and trends*, (New York University: Centre on International Cooperation, 2007), 25.

²¹⁰ Mary Kaldor, *Human Security: Reflections on Globalization and Intervention*, (Oxford: Wiley, 2013), 195; Jan Gruiters, “Human security and development: an ambivalent relationship” *Security and Human Rights* 19, no. 1 (2008): 56.

²¹¹ Lloyd Axworthy, ‘Human Security and Global Governance: Putting People First,’ *Global Governance* 7, no. 1 (2001): 23.

²¹² Philippe Rufman, “Non-governmental organizations; an indispensable player of humanitarian aid,” *International review of the Red Cross* 89, no 864 (2007): 21-45.

you have to be accountable (...) The other thing is if business can see a business case or got a very strong corporate social responsibility element, then they will also engage in this.”²¹³

Yet the involvement of the private sector in disaster management remains slightly contentious. There are concerns that investments into disaster management can lead to concentration in the profitisation of businesses, foreign and domestic, which are capitalising on the vulnerability of communities throughout a disaster cycle.²¹⁴ Moreover, despite the increases of CSR in the general sense, this often does not translate to the sphere of disaster management, where influence in risk management continues to surround technical liabilities, rather than social risks.

As the evidence suggests, reflections from DRR practitioners and NGO representatives are critical of the impact of global strategies and the institutional approaches of donor agencies in facilitating DRR programming in countries and communities affected by natural disasters to reduce levels of vulnerability. Firstly, the broad nature of global strategies such as the HFA can hinder the reduction of specific risks at local levels. Secondly, institutional barriers of donor agencies hinder those implementing effective DRR in-country. With regards to the EU, there is a divergence of opinions from partners as to the effectiveness of institutional infrastructural and funding mechanisms for DRR but that the lack of internal communication and overlap of responsibilities between the Directorate Generals which are involved in DRR does not assist partners in the implementation of DRR activities. As such, these internal issues hinder the effective implementation of communities at a local level in becoming resilient. Thirdly, the lack of recognition of social vulnerabilities surrounding disasters, and mainstreaming into DRR programming in global and institutional strategies denotes those with specific vulnerabilities, such as children, are not protected. To ensure the security of individuals, not only conveys a comprehensive view of vulnerability, but also sees individuals as societal assets. By recognising children and their capabilities as equivalent actors in the implementation of DRR guarantees not only the self-empowerment of individuals, but in

²¹³ Interview excerpt, Anonymous, 12/09/2012

²¹⁴ See Nandini Gunewardena and Mark Schuller, *Capitalizing on Catastrophe: Neoliberal strategies in disaster reconstruction*, (Plymouth: Altamira Press, 2008).

doing so, facilitates sustainable levels resilience of communities. As such, perhaps it is not solely the internal and global mechanisms, which influence the level of vulnerability, and consequent degree of community resilience, but the decision-making processes towards the facilitation of DRR projects undertaken by FPA partners which leads to effective levels of child protection and empowerment.

2.5 CONCLUDING THOUGHTS

This chapter has demonstrated that it is the underlying attitudes of actors towards risk, and rights-based approaches in the lexis and praxis of policies and implementation strategies which will ultimately influence whether such approaches are effective or not.

The Human Development Report, as the basis for the human security model, includes specific rights-based measures for governments to ensure all individuals and groups have basic capabilities and opportunities, and access to resources guaranteed in policy formation.²¹⁵ Pelling and Dill, in their review of socio-political regimes and natural disasters, state:

“Understanding of a polity as a broad set of social relations moves analysis to an assessment of the distribution and implementation of rights and responsibilities pre-and post-disaster.”²¹⁶

Humanitarian aid while practical in lessening the immediate effects of a disaster on a community, fails to provide long-term measures to ensure risks associated with a disaster do not reoccur. This is due to the needs-based approach of tending to immediate requirements, and short-term programming. In the case of the EU, assistance concludes in the humanitarian sense at 18 months, but potentially continues longer term as development aid. In the context of conflict as a manmade disaster, but equally applicable to the area of natural disasters, there is a common lack of resources in the provision of protection and support for human rights in

²¹⁵ United Nations Development Programme, 1994 *Human Development Report*, (Geneva: United Nations, 1994), 39.

²¹⁶ Mark Pelling and Kathleen Dill, “Disaster politics: tipping points for change in the adaptation of socio-political regimes,” *Progress in Human Geography* 34, no 21 (2010): 27.

governance structures throughout the disaster cycle.²¹⁷ This lack of protectionism can have negative implications through the destabilisation of aid streams and consequently increasing the vulnerability of those at risk, and making it difficult to link immediate and long-term assistance.²¹⁸ Polack recognises the need for increased accountability in DRR processes, for states to realise their national and international obligations.²¹⁹ Twigg stresses in his early work, the need for accountability in both the short term assistance and longer-term development aspects of disaster risk reduction, and explores the ‘right to safety,’ of individuals and groups, but recognised the need for mechanisms to review the implementation of this right in disaster risk management policy and processes.²²⁰

The model of human security to facilitate foreign policy and practices uses the methods of multilateral dialogue, regionalism, and interlinking bottom up tactics with comprehensive policy formation, to apply human rights as an essential element within external action. It involves local civil society actors in order to promote local ownership of processes, such as DRR programming. Often states have recognised the importance of such tactics, and indeed, employ such means in their foreign policy relations, but without the recognition of applying a rights-based framework to such actions. As part of organisational and institutional structures, DRR involves varied instruments at an international, national, sub-national, local and community level from public, private and societal domains of action. Given the complexity of goals, strategies, mechanisms, organizations and institutions involved in DRM, it must be recognised that the implementation of ‘disaster risk governance,’ refers to a process that must take into account (and foster movement in) differentiated action domains, at differentiated scales, and with reference to differentiated social actors, whether individuals or collectives.

This chapter has outlined the applications of the model of human security in a global DRR lexical and practical context. In addition, the EU’s implementation structures have been

²¹⁷ John Degenbol-Martinussen and Paul Engberg-Pedersen, *Aid: Understanding international development cooperation* (Borgergade: Mellempolkeligt Samvirke, 2005), 207.

²¹⁸ *Ibid.*, 207.

²¹⁹ Polack, Emily, et al., *Accountability for disaster risk reduction: lessons from the Philippines*, (Sussex: Institute of Development Studies, 2010).

²²⁰ J Twigg et al., *Guidance notes on participation and accountability*, (London: University College of London, 2001).

outlined to review how human rights are able to be upheld, and vulnerability reduced. As the core facets of the human security model, Chapter III will re-conceptualise the human security model to look at these facets in greater theoretical detail by drawing on key literature from human rights and social vulnerability approaches, to reducing disaster risk and protecting children.

CHAPTER III

RE-CONCEPTUALISING THE HUMAN SECURITY MODEL

3.1 INTRODUCTION

Following Chapter I and II, which outlined the methodological objectives and context of the thesis, Chapter III outlines discourse surrounding the model of human security. The literature highlighted in this chapter introduces the key concepts for this research to support the data analysis in upcoming chapters. Firstly, this chapter looks to the use of lexis-praxis to explore human DRR donorship using the human security model. The outline of a rights-based approach explores child rights applicable to DRR, and child protection in particular. An investigation of various aspects of vulnerability and risk presents social vulnerability as an alternate approach to disaster research in place of the dominant environmental and technical vulnerability discourse, to address the social risks surrounding a natural disaster, and risks to children. The concluding section of this chapter assesses how the theoretical and conceptual facets of this thesis intertwine to create a logical and comprehensive basis to analyse the empirical aspects of this thesis.

The human security model

The human security model, with a shift of prioritisation from state-centric security to that of citizens, embodies the protection and vulnerabilities of citizens and their rights, to result in effective policy implementation. Recognition of the advantages of a human security-framed foreign policy is growing by states and international organisations. This is assisted by the ‘responsibility to protect’ doctrine instigated in 2005, where states agreed to provide assistance where human rights abuses of individuals and groups required the engagement of

the international community.²²¹ The human security model suggests a rights-based approach and the use of multilateral and regional channels enhances cooperation between states, while ensuring the protection of those at risk, and the self-empowerment to act.

There is much debate over the definition of human security. The UN Human Development Report 1994, as the pillar of the human security doctrine, defines human security as “not a concern with weapons - it is a concern with human life and dignity.”²²² More specifically, “it also means protection from sudden and hurtful disruptions in the pattern of our daily lives- whether in our homes, in our jobs, in our communities or in our environment.”²²³ Some believe the model should be narrow to solely represent insecurities surrounding conflict scenarios,²²⁴ whereas others maintain human security can be broad in scope to include other cases of insecurity, such as health, technological, or environmental insecurities. Existing literature examining human security as a foundation for EU foreign policy concentrates on the EU’s approach to conflict management, as best exemplified in Kaldor’s work on human security,²²⁵ but there has been little consideration of applying human security to the EU’s strategies in a natural disaster setting. In this sense, human security can also refer to reducing vulnerabilities around natural disasters, whether slow or fast onset:

“The loss of human security can be a slow, silent process- or an abrupt, loud emergency. It can be human-made-due to wrong policy choices. It can stem from the forces of nature. Or, it can be a combination of both - as is often the case when

²²¹ 2005 World Summit Outcome, United Nations General Assembly Resolution, A/RES/60/1, 24 October 2005.

²²² United Nations Development Programme, Human Development Report, (New York: Oxford University Press, 1994), 22.

²²³ United Nations Development Programme, Human Development Report, (New York: Oxford University Press, 1994), 23.

²²⁴ See Human Security Centre. *Human Security Report 2005: War and Peace in the 21st Century*, (New York: Oxford University Press, 2005), viii; L Axworthy, “Human Security and Global Governance: Putting People First,” *Global Governance* 7 (2001):19; Roland Paris, ‘Human Security: Paradigm Shift or Hot Air?’ *International Security* 26, no. 2, (2001): 87-102; S Ogata and J Cels, “Human Security – Protecting and Empowering the People,” in *Global Governance* 9 (2003):273-282.

²²⁵ See Marlies Glasius and Mary Kaldor, *A Human Security doctrine for Europe: Project, Principles and Practicalities*, (Abingdon; New York: Routledge, 2006); Mary Kaldor, M Martin, and S Selchow, “Human Security: a new strategic narrative for Europe,” *International affairs* 83, no. 2 (2007): 273-288; Mary Kaldor, *Human Security: Reflections on Globalisation and Intervention*, (Oxford: Wiley, 2013).

environmental degradation leads to a natural disaster,
followed by human tragedy.”²²⁶

There is a direct linkage between human security and human rights. There is much debate over the role of human rights in humanitarian aid.²²⁷ As emphasised by Dunne and Wheeler, “if security is defined as protection from harm, then it is clear that the infringement of fundamental rights signifies the presence of insecurity.”²²⁸ There has been little discussion of the inclusion of human rights within DRR policy and subsequent programming. Certain scholars recognise human rights methodologies in disaster research and practice,²²⁹ and only regarding donorship responses through humanitarian assistance,²³⁰ not long-term disaster assistance. As such, this research assists in broadening the scope of human security by applying a human rights-based approach to the field of disaster risk management.

In consideration of the European perspective on human security, the 2004 Barcelona report, endorsed by the High Representative for the Common Foreign and Security Policy at the time, Javier Solana, promotes human security and the promotion of individual and community security as a model for EU external action.²³¹ While emphasising human rights as the core function of human security, the narrow definition of human security was limited to humanitarian interventions rather than natural disasters. In addition, as Martin and Owen

²²⁶ United Nations Development Programme, Human Development Report, (New York: Oxford University Press, 1994), 39.

²²⁷ See Anne Oxford, *Humanitarian Intervention: Human Rights and the use of force in International Law*, (Cambridge: Cambridge University Press, 2003); David P. Forsythe, “Human Rights and Humanitarian Operations: Theoretical Observations,” in *The politics of international humanitarian aid operations*, eds. Eric A Belgrad and Nitza Nachmias, (Connecticut; London: Praeger, 1997).

²²⁸ Tim Dunne and Nicholas J. Wheeler, “‘We the peoples’: Contending discourses of security in human rights theory and practice,” in *Critical perspectives on Human Security: Rethinking Emancipation and Power in International Relations*, eds. D Chandler and N Hynek, (Abingdon; New York: Routledge, 2011), 21.

²²⁹ See the Brookings-Bern Project on Internal Displacement, *Human Rights and Natural Disasters*, (Washington, D.C: Brookings Institute, 2008); Bryan S Turner, *Vulnerability and Human Rights*, (Pennsylvania University Press: University Park: 2006); Bryan S Turner and Habibul H Khondker, *Globalisation East and West*, (London: SAGE Publications, 2010), 160.

²³⁰ Thomas G. Weiss, “Principles, Politics, and Humanitarian Action 13, no. 1 (1999): 1-22; Joanna Harrington, “R2P and Natural Disasters,” *The Routledge handbook of the responsibility to protect*, eds. W. Andy Knight and Frazer Egerton, (New York: Routledge, 2012), 141-151.

²³¹ Study Group on Europe’s Security Capabilities, “A Human Security Doctrine for Europe: The Barcelona Report of the Study Group on Europe’s Security Capabilities,” 2004, http://eprints.lse.ac.uk/40209/1/A_human_security_doctrine_for_Europe%28author%29.pdf, Accessed: 17 September 2013.

depict, the report represented a conceptual, rather than practical outline of applying the human security model to EU foreign policy.²³² The analytical chapters of this thesis, namely chapters IV, V, and VI demonstrate practical measures for the EU to uphold the rights of those at risk, through its policies and actions, based around the human security model.

In contrast, the Council of Europe illustrates the notion of human security also as a shift from state to individual security, emphasising the role of the international community to protect and provide for those in need at a time of humanitarian crisis.²³³ It employs a rights-based approach to human security, particularly to ensure the primary rights of ‘freedom from want,’ and ‘freedom from fear,’ but criticises broad definitions to include other forms of insecurity other than conflict scenarios.²³⁴ Yet definitions based solely around warfare remain static, as environmental insecurities also require action from duty bearers within the international community to uphold the two core human rights the Council of Europe indicates above.

The human security model shifts from a state-centric view of insecurities, with protectionism of the individual, or collective, as the main priority of policy formation. Guan’s view of the model is a ‘contradiction from, and challenge to, the more conventional forms of security,’ where the prioritisation of national concerns has on occasion brought with it threats to individuals, and their right to life.²³⁵ Axworthy considers the role of the nation-state as, at times, incapable of providing protection when necessary due to the increasing influence of globalisation, and internal governance structures, threatening the wellbeing and rights of those it is trying to protect, thus necessitating a broader, human-centric approach to security.²³⁶ Variations exist of how inclusive the term human security should be, and the policy areas it should apply to. Some recognise all threats to physical and psychological wellbeing, while encompassing areas of environment, health, technology as threats to human security,²³⁷

²³² Mary Martin, and Taylor Owen, “The second generation of human security: lessons from the UN and EU experience” *International Affairs* 86, no. 1, (2010): 217.

²³³ Council of Europe, “Human Security,” 2009, http://eycb.coe.int/compass/en/pdf/5_10.pdf, Accessed: 17 September, 2013.

²³⁴ Council of Europe, “Human Security,” 2009, http://eycb.coe.int/compass/en/pdf/5_10.pdf, Accessed: 17 September, 2013.

²³⁵ Benny Teh Cheng Guan, *Human Security*, (Dordrecht: Springer, 2012), 3, 5.

²³⁶ Lloyd Axworthy, ‘Human Security and Global Governance: Putting People First,’ *Global Governance* 7, no. 1 (2001): 19.

²³⁷ Roland Paris, ‘Human Security: Paradigm Shift or Hot Air?’ *International Security* 26, no. 2 (2001): 87-102.

including McRae whom believes that the human security model could be expanded to represent additional “strands that form the web of globalization,” such as cultural, economic, environmental and digital insecurities.²³⁸ Some believe all-inclusive definitions of human security undermine the validity of the concept, by making it too elusive for policies and consequent field operations.²³⁹ Krause argues if the concept of security encompasses a comprehensive, human-centric approach, it must recognise the national administration as the primary actor in providing protection.²⁴⁰ While Booth believes national and individual security does not need to be mutually exclusive, and can in fact complement each other.²⁴¹ In comparison, Soysal shifts the importance from the state and the notion of citizenship by stressing the international traction of human security as protection of “entitlements legitimised on the basis of ‘personhood,’ with “transnational discourses and structures celebrating human rights as a world-level organizing principle.”²⁴² By regarding all individuals as global citizens, the human security model consequently assists in reinforcing protection measures and reducing vulnerability surrounding humanitarian crises.

To bypass areas that are not the focus of this research, this thesis seeks to remain focussed on human security in the realm of EU foreign policy, particularly through a rights-based approach to disaster risk reduction programming. As Goodale suggests, it is difficult for transnational donors to translate normative values, such as human rights, from policy intents to practice, and as such, ensuing processes undertaken by such institutions to ensure human rights are recognised can be disordered. In a broader context, this disorder can impact on the role of human rights in donorship.²⁴³ Donor positions on human rights as a normative value are indicated in policies, but not necessarily translated in the processes they have, or actions they undertake as part of foreign policy initiatives. Rights need to be embedded in these

²³⁸ Rob McRae, *Human Security and the new diplomacy*, (Quebec: McGill-Queen’s University Press, 2001), 257.

²³⁹ Georg Frerks, ‘Human security as a discourse and counter-discourse,’ *Security and Human Rights* no. 1 (2008): 8-14; Berma Klein Goldewijk, ‘Why human? The interlinkages between security, rights and development,’ *Security and Human Rights* no. 1 (2008): 24-36.

²⁴⁰ Keith Krause, “Facing the challenge of small arms,” in *The United Nations and Global Security*, eds. Richard M Price and Mark W Zacher, (New York: Palgrave Macmillan, 2004), 22.

²⁴¹ Ken Booth, “Security and emancipation,” *Review of International Studies* 17, (1992): 313-26.

²⁴² Soysal, (1993), 3, as cited in Jef Huysmans, *The politics of insecurity: Fear, migration and asylum in the EU*, (Abingdon; New York: Routledge, 2006), 28.

²⁴³ Mark Goodale, “Locating rights, envisioning law between the global and the local,” in eds. M Goodale and S E Merry, *The Practice of Human Rights*, (Cambridge: Cambridge University Press, 2007), 32.

processes and actions, by way of a rights-based approach. As exemplified by the EU as an international actor, the representation of human rights in overarching policies, need to be upheld not only because of its responsibilities under international obligations to protect those at risk, but as an underlying objective in its own external action policies. This study takes the classification of human security as a broad, humanistic concept, to include donorship surrounding natural disasters as a form of insecurity and a situation during which international and domestic actors influence local social structures and procedures during the disaster cycle. Pelling and Dill point to the significance of reviewing DRR practices through the lens of human security, with their example of the influence of international organisations engaged in DRR practices in social and political processes and institutions during the reconstruction phase of the disaster cycle.²⁴⁴

The lens of human security conveys standards that envelope “both means and ends” for policy implementation,²⁴⁵ through a lexis-praxis methodology. Lexis ensures policies focus on the human rights and social vulnerability of individuals, rather than state interests. Praxis ensures partnerships between various actors in implementation channels are maximised to uphold the human rights of individuals and groups. This assists in translating rights as a core, underlying principle of foreign policy into practice at a global and local level. Human security, through a lexis-praxis methodology, models a human rights-based approach to foreign policy implementation by emphasising a holistic approach to human rights, and a holistic approach towards vulnerability, where social, cultural and ethnic elements play important roles in disaster management. Tierney and Oliver-Smith highlight how analysis of policy and its implementation can serve to emphasise the application and projection of grounding theories, yet the success of policy and subsequent implementation relies on a comprehensive view of human behaviour, which includes social and cultural aspects.²⁴⁶ Vulnerability is reduced, and protectionism is realised through multilateral praxis channels of regional dialogue, effective governance, and local ownership of processes and policy implementation. Kaldor supports

²⁴⁴ Mark Pelling and Kathleen Dill, “Disaster politics: tipping points for change in the adaptation of socio-political regimes,” *Progress in Human Geography* 34, no 21 (2010): 35.

²⁴⁵ Mary Kaldor, M Martin, and S Selchow, “Human Security: a new strategic narrative for Europe,” *International affairs* 83, no. 2 (2007): 273-288.

²⁴⁶ Kathleen Tierney and Anthony Oliver Smith, “Social Dimensions of Disaster Recovery,” *International Journal of Mass Emergencies and Disasters* 30, no. 2, (2012), 141.

these implementation channels of the human security model as a pertinent approach to analysis of foreign policy lexis and praxis,²⁴⁷ particularly with regards to the influence and actions of individuals or groups in policy process and implementation.²⁴⁸ This model is then applied to the foreign policy of the EU and its Member States, as a means of integrating human rights further into its external action strategies and subsequent implementation, in order to comprehend the current European management of disaster risk, and the future of the EU's DRR strategy.

The employ of a lexis-praxis methodology has previously concentrated on chosen lexis in policy formation, with only conceptual considerations of praxis.²⁴⁹ Gómez recognises the 'unresolved disconnection between lexis and praxis,' highlighting the need for 'reconciliation if coherence is an objective.'²⁵⁰ Dombrowsky cites praxis as crucial to:

“...human action, but should not be completely defined in terms of technological success or of the correctness of the planned or intended action. As long as the unplanned and unintended effects of human action and the autodynamics of nature are not added to our concept of reality, we only believe in metaphysics, but not rational knowledge.”²⁵¹

Corresponding with Dombrowsky's view of praxis, this study is distinguished by the acknowledgement of social vulnerability and social processes, to shift from the technical approach of disaster management. However, as one DRR practitioner suggests, the mere use of 'vulnerability' as a lexical term in policy formation impacts on the subsequent actions.

²⁴⁷ Mary Kaldor et al., 'Human Security: a new strategic narrative for Europe,' *International Affairs* 83, no. 2 (2007): 273-288; Jenny Kuper, 'Minor Matter? The Place of Young People as part of the EU security doctrine.' *International Journal of Children's Rights* 18, (2010): 127-147.

²⁴⁸ W R Dombrowsky, 'Again and Again: Is a disaster what we call "Disaster"?' *International journal of mass emergencies and disasters* 13, no. 3 (1995), 251.

²⁴⁹ See Mary Kaldor, M Martin, and S Selchow, "Human Security: a new strategic narrative for Europe," *International affairs* 83, no. 2 (2007): 273-288; Sabina Alkire, *A Conceptual Framework for Human Security*, (Oxford: Centre for Research on Inequality, Human Security and Ethnicity, 2003.)

²⁵⁰ Oscar A. Gómez S., "What is a human security project? The experience of the UN Trust Fund for Human Security," *Global Change, Peace and Security* 24, no. 3 (2012): 402.

²⁵¹ W R Dombrowsky, 'Again and Again: Is a disaster what we call "Disaster"?' *International journal of mass emergencies and disasters* 13, no. 3 (1995), 253.

What's happened is vulnerability has become a mainstream issue in international policy and the rest of it, it's been diluted down (...) as if vulnerability is something you just go out and give somebody some help. It's actually not about social relationships at all, and that's what's really clever in how international politics is played. They've got the rhetoric of it to a tee, but they've totally changed the meaning in practice, so that just doesn't happen.²⁵²

As such, there must be an analysis of the filtration of rights and social vulnerability lexis in policy formation to explicit examples of praxis as an actor in humanitarian affairs. Features of praxis in the international and local partnerships with the EU surround the objective of community-based DRR to reduce the risks of natural disasters in-country, where local ownership of decision making in DRR processes highlights local context, culture and traditional knowledge within disaster risk management, are yet to be fully explored through the employ of human security.

3.2 A RIGHTS-BASED APPROACH TO DRR

Philosophical approaches to the theory and defence of human rights can vary from the broad universal inclusion of all moral rights by citizens of the world, to those more streamlined doctrines which take on a specific examination of human rights. This thesis takes on the presumption, as expressed by Turner, which illustrates 'human rights as universal principles because human beings share a common ontology that is grounded in a shared vulnerability.'²⁵³ However, this research also skews such a view on universalism. It sees human rights as *prima facie* universal but recognises that in certain situations, culture may influence the nature of

²⁵² Interview excerpt, Anonymous, 12/09/2012.

²⁵³ Rhiannon Morgan, and Bryan S. Turner, *Interpreting Human Rights: Social Science Perspectives* (Abingdon: Routledge, 2009), 184.

rights. Thus, culture can provide a ‘limited source of exceptions.’ as expressed by Donnelly.²⁵⁴

Recent decades have demonstrated an increasing acknowledgement from the EU of the importance of protecting human rights. This has been depicted in the recognition of human rights in EU law, both in independent human rights legislation such as the EU Charter of Fundamental Rights,²⁵⁵ and furthermore by intrinsically embedding human rights into other focal areas of EU legislation, in particular through the EU’s Common Foreign and Security Policy (CFSP). Within the CFSP policies, human rights are prominent, whether in political dialogue with partner countries or regions, or through the creation of a common position of Member States towards a particular global issue or conflict scenario.²⁵⁶ Humanitarian aid must be carried out regardless of the interests of Member States thus must be implemented within the spheres of the GHD principles, as supported by the EU in its 2007 Consensus on Humanitarian Aid.²⁵⁷ While there have been some positive actions by the EU and its Member States to harmonise their humanitarian policies towards the GHD principles, there is still several grey areas where uniformity is needed. Keukeleire and Macnaughtan consider the increased presence of human rights in CSDP as a front to cover the lack of harmonisation of Member States, in agreeing on the fundamental issues when dealing with political situations in third countries.²⁵⁸

According to the EU, the delivery of its humanitarian aid is irrespective of the domestic upholding of its citizens’ rights to freedom from fear, and freedom from want.

“One thing is to look at protection and another thing is to refuse providing aid because the government doesn’t ensure

²⁵⁴ Jack Donnelly, "Cultural Relativism and Universal Human Rights," *Human Rights Quarterly* 6, no. 4 (1984): 400-19.

²⁵⁵ European Commission, *Charter of Fundamental Rights of the European Union 2000/C364/01*, Brussels: Official Journal of the European Communities, 2000.

²⁵⁶ S. Keukeleire, and J. MacNaughtan, *The Foreign Policy of the European Union* (New York, Palgrave Macmillan:2008), 165.

²⁵⁷ European Community, *The European Consensus on Humanitarian Aid*, Brussels: Official Journal 2008/C 25/01, 2008, Section 2.

²⁵⁸ S. Keukeleire, and J. MacNaughtan, *The Foreign Policy of the European Union* (New York, Palgrave Macmillan:2008), 166.

human rights. This we don't do, even if the government is an unlawful dictator like it was in Burma, we still try to go and help people."²⁵⁹

The birth of universal human rights, and such conventions as the UN Charter and the Universal Declaration of Human Rights, came in the aftermath of disorder and atrocities around the world, with the goal of shaping a global human rights doctrine, where all are equal in their rights.²⁶⁰ Nevertheless, such Charters signify that the defence of human rights must be maintained during times of both calm and calamity. This applies not only to conflict-based scenarios, but is also valid surrounding natural disasters. The freedom from violence or discrimination are indeed pertinent in the former of these two forms of disasters and must be recognised by states and influencing actors in crises. An individual's right to life is not restrictive, and can be extended to include other crises. In 2008, the European Court of Human Rights (ECHR) maintained:

“The right to life includes positive and procedural obligations in the context of threats arising from natural phenomena.”²⁶¹

This is a direct reference to human rights and natural disasters, where procedural obligations ensure that the implementation of legislation, such as DRR policies, will then have positive repercussions for communities affected by natural disasters, by guaranteeing their protection from hazards and thus defending their right to life. The difficulty being when a community, global or localised, experiences a period of harmony, the recognition of the necessity to uphold human rights by that group decreases over time. By embedding human rights into DRR strategies, rights will not be disregarded during a time of crisis, as the policy will indicate the procedures to be undertaken if a disaster occurs. The application of a human rights framework thus assists human security to protect individuals and their rights, and to reduce the social vulnerability of communities at risk during and following a disaster.

²⁵⁹ Interview excerpt, European Commission Humanitarian Aid and Civil Protection Cabinet, 4/11/2010.

²⁶⁰ Ken Booth and Tim Dunne, "Learning Beyond Frontiers," in *Human Rights in Global Politics*, eds. Tim Dunne and Nicholas J. Wheeler. (Cambridge: Cambridge University Press, 1999): 314.

²⁶¹ Jean Connolly Carmalt and Claudine Haenni Dale, "Human rights and disaster," in *Routledge Handbook on Hazards and Disaster Risk Reduction*, eds. B Wisner et al., (Abingdon; New York: Routledge, 2012), 64.

There is consensus that human security implies a shift away from national security towards a more humanistic approach, based on bottom-up methodology, regionalism and multilateralism. There has been an increasing acknowledgment from scholars and policy makers alike of the realignment from protecting the states' rights to the protection of people and their rights.²⁶² However, the differences in the classification of human security lie in whether the approach towards humanitarian aid should be based on the rights of individuals or on their needs. According to Kaldor et al., respect for human rights is central to the human security model.²⁶³ Conversely, until recent years humanitarian action has been provided to those faced with a natural disaster through a needs-based approach, focussing on the provisions of food, water and shelter as the priorities of aid. Flanagan et al. state it is the individuals or groups whose needs are not acknowledged in the preparedness for disaster response, who are the most vulnerable.²⁶⁴ Application of needs-based approach can lead to more than just lack of immediate assistance:

“All too often the human rights of disaster victims are not sufficiently taken into account. Unequal access to assistance, discrimination in aid provision, enforced relocation, sexual and gender-based violence, loss of documentation, recruitment of children into fighting forces, unsafe or involuntary return or resettlement (...) are just some of the problems that are often encountered by those affected by the consequences of natural disasters.”²⁶⁵

²⁶² Lloyd Axworthy, 'Human Security and Global Governance: Putting People First,' *Global Governance* 7, no. 1 (2001): 19.

²⁶³ Mary Kaldor et al., 'Human Security: a new strategic narrative for Europe,' *International Affairs* 83, no. 2 (2007): 283.

²⁶⁴ Flanagan et al., "A Social Vulnerability Index for Disaster Management," *Journal of Homeland Security and Emergency Management* 8, no. 1(2011), 3.

²⁶⁵ Brookings-Bern Project on Internal Displacement, *Human Rights and Natural Disasters*, Washington, DC.: Brookings-Bern Publications, 2008, p. 1.

However, rights and needs are not mutually exclusive. A rights-based approach, as Huysmans explains, includes basic human needs, and both represent core aspects of human security.²⁶⁶ Scheffran et al, believe the concept of human security not only implies a shift in prioritisation to the protection of individuals and their basic needs, but also the empowerment of individuals to enable resilience at a time of crisis.²⁶⁷ Thus, acknowledgement of specific social groups, which may be at risk during disasters, including children, and their rights must be taken into consideration in disaster management policy formation to cover the entire disaster cycle. The universality of human rights is progressively being recognised through the upholding of humanitarian principles by states and donors, where the Good Humanitarian Principles of independence, humanity, neutrality and impartiality underpin many of the humanitarian and development policies of states and donors.²⁶⁸ Conversely, such policies continue to be based on the provision of immediate aid, or needs-based approach rather than employing a human rights-based approach to disaster management.

Sarewitz et al. highlight the fundamental rights of individuals surrounding disasters, the obligations of the state to ensure a rights-based approach, and the lack of appreciation of such an approach in disaster risk research,²⁶⁹ but here fundamental rights surround immediate needs and ‘basic levels of protection,’ with the state as primarily accountable, rather than a multi-stakeholder approach. The United Nations Children’s Fund (UNICEF) indicate a lack of support for a human rights approach to providing immediate assistance and DRR programming:

“This belief stems from a tendency to understand the human rights-based approach as limited to civil and political rights, and to discount the collapse of the (even limited) enjoyment of social and economic rights which also tends to happen in crisis situations. Believing that the safeguard of human rights

²⁶⁶ Jef Huysmans, *The politics of insecurity: Fear, migration and asylum in the EU*, (Abingdon; New York: Routledge, 2006), 4.

²⁶⁷ Scheffran et al., *Climate Change, Human Security and Violent crises*, (Dordrecht: Springer, 2012), 14.

²⁶⁸ Development Initiatives, "Global Humanitarian Assistance Report 2011," (Wells: Development Initiatives, 2011), 91.

²⁶⁹ Daniel Sarewitz et al, “Vulnerability and Risk: Some thoughts from a political and policy perspective,” *Risk Analysis* 23, no. 4 (2003): 810.

should wait until the armed conflict or emergency is over is counter-productive.”²⁷⁰

Similar reports focussing on human rights in disaster response,²⁷¹ surround immediate assistance, rather than a holistic view of human rights throughout the disaster cycle. While immediate assistance is extremely important to address those needs, often the rights of those in the countries are disregarded by external aid donors, and the states themselves. There is the concern that states do not identify crises as an area where human rights need to be upheld, particularly in relation to natural disasters. Carmalt and Dale express that decisions from international bodies, such as the UN Human Rights Committee and European Court of Human Rights assist in informing (and at times penalising) states where they need to be more active in protecting the right to life, even if hazards are indirect threats.²⁷²

Indeed, protection is no longer limited to physical safety²⁷³ or physical risks to vulnerable groups in a time of upheaval. Instead, the concept of protection now extends to incorporate protection against social vulnerabilities to ensure the defence of cultural, economic and social rights. Woodiwiss believes sociological perspectives of human rights do not lessen the import of rights, and instead enhance them as the concept becomes less restrictive.²⁷⁴ Indeed, Turner considers the upholding of human rights in times of crisis is a “major pre-condition for social reform.”²⁷⁵ Blaikie et al. note that in order to reduce vulnerability and shift from the exploitation to protection of people, political change and the development of public policy are

²⁷⁰ UNICEF. "A Human Rights-Based Approach to Programming in Humanitarian Crises: Is UNICEF up to the Challenge?" edited by Humanitarian Policy Unit/EMOPS, (Geneva; New York: UNICEF, 2003), 3.

²⁷¹ See also Active Learning Network for Accountability and Performance in Humanitarian Action, *Protection: an ALNAP guide to humanitarian action*. (London: Overseas Development Initiatives, 2005); Brookings-Bern Project on Internal Displacement, *Human Rights and Natural Disasters: Operational Guidelines and Field Manual on Human Rights Protection in Situations of Natural Disaster*. Washington, DC.: Brookings-Bern, 2008.).

²⁷² Jean Connolly Carmalt, and Claudine Haenni Dale. "Human Rights and Disaster," in *Routledge Handbook on Hazards and Disaster Risk Reduction*, eds. B Wisner et al, (Abingdon; New York: Routledge, 2012), 65.

²⁷³ Elizabeth G. Ferris, *The politics of protection: the limits of humanitarian action* (Washington, D.C.: Brookings Institute Press, 2011), 3.

²⁷⁴ A Woodiwiss, "Taking the sociology of human rights seriously," in *Interpreting human rights – social science perspective*, eds. R Morgan and B S Turner (London; New York: Routledge, 2009), 113.

²⁷⁵ Bryan S Turner, "A sociology of citizenship and human rights: Does social theory still exist?" in *Interpreting human rights – social science perspective*, eds. R Morgan and B S Turner (London; New York: Routledge, 2009), 183.

fundamental.²⁷⁶ Previously, such a humanistic approach to disasters was deemed too difficult to quantify, thus disaster research was dominated by the argument that nature is the root cause of disasters and addressed through technical means. This traditional view of disasters dominating disaster research does indicate society has a role in reducing the effects of disasters by means of the formation of public policy, supported by technical assistance.²⁷⁷ This does not necessarily imply strengthening community structures to avoid the social repercussions of a disaster, but instead refers to the formulation of public policy surrounding infrastructural and scientific procedures to be implemented. According to this attitude, a comprehensive approach to protection inclusive of social vulnerabilities is less effective. Broad perspectives of protectionism and associated social vulnerabilities of areas such as health, natural and manmade disasters, weapon disarmament, technology, or environmental issues such as climate change, may lead to a disregard of human rights abuses by the global community, as there is no tangible protection mechanism to deploy rapidly to manage such issues.²⁷⁸ According to Dunne and Wheeler, insecurity is instigated if one is declined the right to immediate needs which allow them to survive,²⁷⁹ representing a restricted consideration of security. This narrow view of protection prioritises physical protection and can overlook important social and economic vulnerabilities. It runs the risk of marginalising vulnerable groups by discounting certain risks they face, which can lead to long-term protection concerns. The alternative approach, employed in this study, is inclusive of the associated

²⁷⁶ Blaikie et al., *At Risk: Natural Hazards, People's vulnerability and disasters*. (London: Routledge, 1994), 233, as cited in M Fordham, "Gendering Vulnerability Analysis: Towards a More Nuanced Approach," in *Mapping Vulnerability: Disasters, development and people*, eds. G Bankoff et al, (London: Earthscan, 2007), 174.

²⁷⁷ Kenneth Hewitt, "The Idea of Calamity in a Technocratic Age." in *Interpretations of Calamity*, ed. Ken Hewitt, (Winchester: Allen and Unwin inc., 1983), 6.

²⁷⁸ Eric A. Belgrad, "The Politics of Humanitarian Aid," in *The Politics of international humanitarian aid operations*, eds. Eric A. Belgrad and Nitz Nachmias, (Connecticut; London: Praeger, 1997), ; Gianni Magazzeni, "The interface between humanitarian action and human rights," *Refugee Survey Quarterly* 18, no.3 (1999): 32-39; Humanitarian Policy Unit, *A human rights-based approach to programming in humanitarian crises: is UNICEF up for the challenge?* (EMOPS, 2003); James Darcy, *Human Rights and Humanitarian Action: A review of the issues*. (Geneva: Overseas Development Institute, 2004); K Kenny, *When needs are rights: an overview of UN efforts to integrate human rights in humanitarian assistance*, Occasional Paper #38, (Providence: Thomas J Watson Institute for International Studies, 2000); Thomas G Weiss, "Principles, Politics, and Humanitarian Action," *Ethics and International Affairs* 13, no. 1, (2006): 1-22. Rama Mani and Thomas G. Weiss, "Grounding responsibility and protection in culture and politics," in *Responsibility to Protect: Cultural Perspectives in the Global South*, eds. R Mani and T. G. Weiss, (Abingdon; New York: Routledge, 2011), 4.

²⁷⁹ Tim Dunne and Nicholas J. Wheeler, "'We the peoples': Contending discourses of security in human rights theory and practice," in *Critical perspectives on Human Security: Rethinking Emancipation and Power in International Relations*, eds. D Chandler and N Hynek, (Abingdon; New York: Routledge, 2011), 21.

social vulnerability of communities or individuals, to develop community structures so when a disaster takes place associated social vulnerabilities are avoided, or are lessened. In addition to discourse of physical or social protectionism, rights-based approaches include discussions of the role of empowerment and agency in protectionism. In a report on child agency surrounding the impacts of disasters, Seballos et al. highlight a comprehensive view of risks to children surrounding natural disasters and potential measures to engage children in decision-making.²⁸⁰ The report concludes that international frameworks to reduce child vulnerability surrounding disasters will only become effective with national DRR policy formation which recognise child agency,²⁸¹ thus reinforcing the need for policy makers to recognise the rights of children as decision makers or their ability to influence policy decisions which affect them. As a report from the humanitarian policy unit of UNICEF indicates:

“A human rights based approach to programming places equal emphasis on outcomes and the process by which outcomes for children and women are achieved.”²⁸²

There has also been acknowledgment from scholars and humanitarian actors of the need to apply a human rights focus to natural disasters and climate change.²⁸³ In her article on protection in natural disasters, Elizabeth Ferris asserted that all stages of a disaster are about not only providing relief, but must equally acknowledge the rights of those affected.²⁸⁴ Ferris cited the 2006 operational guidelines on protecting people in natural disasters, which highlights the lack of attention paid to human rights when a natural disaster occurs, whilst

²⁸⁰ Fran Seballos et al. "Children and Disasters: Understanding Impact and Enabling Agency," in *Children in a changing climate*, eds. Laura Cornish. Brighton: Institute of Development, 2011.

²⁸¹ Ibid, 49.

²⁸² UNICEF, "A Human Rights-Based Approach to Programming in Humanitarian Crises: Is UNICEF up to the Challenge?" edited by Humanitarian Policy Unit/EMOPS, (Geneva; New York: UNICEF, 2003), 1.

²⁸³ See Elizabeth Ferris, 'Protection in natural disasters,' 24 June 2010, <http://www.fmreview.org/disability/FMR35/58.pdf>, Accessed: 21 July 2010; Inter-Agency Standing Committee, *Protecting persons affected by natural disasters: IASC operational guidelines on human rights and natural disasters*, (Washington, D.C: Brookings-Bern Project on Internal Displacement, 2006); Gianni Magazzeni, 'The interface between humanitarian action and human rights,' *Refugee Survey Quarterly* 18, no. 3 (1999), 32-39. John Twigg, *Disaster Risk Reduction: mitigation and preparedness in development and emergency programming*, (London: Overseas Development Institute, 2004), 209-210.

²⁸⁴ Elizabeth Ferris, 'Protection in natural disasters,' 24 June 2010, <http://www.fmreview.org/disability/FMR35/58.pdf>, Accessed: 21 July 2010.

explaining that persons affected by a disaster do not lose their basic rights at the onset of a crisis.²⁸⁵ Despite this, the section of the guidelines dedicated to children focuses primarily on the needs of children after the onset of a disaster, rather than the rights of children to protection at all stages of the disaster cycle.

The upholding of human rights extends to the implementation of DRR policies. Carmalt and Dale explain that the creation of DRR policies indicates a respect for the human right to protection, in this case against a hazard or risks of disaster, and as a consequence, the employ of such legislation will then protect the lives of those at risk.²⁸⁶ Whereas, if a state is aware of a frequent or infrequent form of disaster which it is vulnerable to but does not generate a DRR policy, it is in breach of its obligation to protect its citizens and their right to life.²⁸⁷ Some disaster-centric international organisations and non-governmental organisations are presenting human rights-based methodologies for states and local community-based DRR practitioners to incorporate human rights into disaster risk management frameworks.²⁸⁸

By embedding human rights into DRR strategies, rights do not remain disregarded during a time of crisis, as policies recognise protectionism as intrinsic to community structures, and therefore strengthened to protect children and their rights. In association with respective conceptual approaches, the rights-based approach corresponds with international legal perspectives on child protectionism, as indicated by the UNCRC, as well as aligning with protectionism in hazard-based DRR strategies to reduce risks to natural hazards. Where rights-based methodologies enrich the legal and scientific perspectives on risk reduction, is the use of DRR protectionism. The approach bridges the phases of a disaster to avoid further risks, and thus represents a comprehensive approach to protectionism - both physical and social

²⁸⁵ Inter-Agency Standing Committee, *Protecting persons affected by natural disasters: IASC operational guidelines on human rights and natural disasters* (Washington, D.C: Brookings-Bern Project on Internal Displacement, 2006), 8.

²⁸⁶ Jean Connolly Carmalt, and Claudine Haenni Dale. 'Human Rights and Disaster,' in *Routledge Handbook on Hazards and Disaster Risk Reduction*, eds. Wisner et al. (Abingdon; New York: Routledge, 2012), 67.

²⁸⁷ *Ibid*, 68.

²⁸⁸ See OCHA & UNDP, *Integrating human rights in natural disaster management in the Pacific*. (Suva: OCHA, 2007); UNESCO Bangkok, *Undertaking a human rights-based approach: A guide for Basic Programming*, (Bangkok: UNESCO Bangkok, 2008).

protection for short term, immediate needs, as well as long term requirements to reduce disaster risks.

Framing child rights

Child rights are confirmed under the UNCRC, which was established in 1989 and currently holds 140 signatories, including all EU Member States.²⁸⁹ This ensures the protection by states of the four main principles of: non-discrimination, the best interests of the child, the right to life, survival and development and the views of the child, which are set out in set out in Articles 2, 3, 6 and 12 of the CRC respectively.²⁹⁰ The UNCRC legally binds international actors into protecting all areas of human rights whether social, economic or political.²⁹¹ It is crucial states and international organisations conform to this mandate when addressing child rights in legislation. Archard states that despite the UNCRC as the international pillar for child rights, and its delineation of the rights children hold, the primary obstacle for ensuring child rights are recognised universally in policy formation is the of divergence of opinions on the status of children, both ethically and politically.²⁹² From a European perspective the Council of Europe through the European Convention on Human Rights, and partner document the European Social Charter, holds a holistic approach to protection of both civil and political human rights, and social and economic human rights.²⁹³ While the European Convention on Human Rights does not include specific indications to child protection, and child rights,²⁹⁴ the

²⁸⁹ United Nations, “Chapter IV Human Rights. Part 11. Convention on the Rights of the Child,” http://treaties.un.org/Pages/ViewDetails.aspx?src=TREATY&mtdsg_no=IV-11&chapter=4&lang=en, Accessed: 9 January 2013.

²⁹⁰ Office of the High Commissioner for Human Rights, “Fact sheet No. 10 (Rev .1) The Rights of the Child,” <http://www.unhchr.ch/html/menu6/2/fs10.htm> , Accessed: 28 July 2009.

²⁹¹ Unicef, *Convention on the Rights of the Child*, 26 August 2008, <http://www.unicef.org/crc> , Accessed: 30 July 2009.

²⁹² David Archard, “Children’s rights,” in *Handbook on Human Rights* (Milton Park, Abingdon, Oxon; New York: Routledge, 2012), 324-332.

²⁹³ Council of Europe, “The European Social Charter,” 2012, http://www.coe.int/t/dghl/monitoring/socialcharter/Presentation/AboutCharter_en.asp, Accessed: 17 September 2013.

²⁹⁴ Council of Europe, *European Convention on Human Rights*, Strasbourg: Council of Europe.

legal status of the child and the social protection of children, particularly from abuse or exploitation and discrimination, are recognised by the European Social Charter.²⁹⁵

Over the last decade, there have been significant developments in the respect for child rights within EU policies. With the formation of the EU Charter of Fundamental Rights came the first recognition of child rights in EU policies, with Article 24 expressing the right to protection and a child's well-being as the focal points.²⁹⁶ The subsequent EU Guidelines on the Rights of the Child in 2002 established key areas of interest such as the promotion and protection of child rights, along with Member State coherence in child policies and also reminds third world countries of their international obligations to protect child rights as established under the UNCRC.²⁹⁷ Alongside this holistic child rights policy formation, the internal sphere of civil liberties, justice and home affairs has also shown increases in EU child rights legislation, where child exploitation and abuse have been addressed through specific child-centred legislation, primarily through the 2010 proposal for a Directive to combat child abuse and sexual exploitation of children and child pornography.²⁹⁸ This foundational policy formation has led to the EU progressively highlighting child rights as part of an integrated EU policy, most recently with the 2011 Communication, "An EU Agenda for the rights of the child."²⁹⁹ While the EU can be applauded for certain advances in policy formation to cover child rights within internal and external action, the 2011 Agenda can be criticised as simply an overview of current action and as not being future-focussed or inclusive of an implementation strategy. According to Grugel and Iusmen, the European Commission's role in ensuring child rights internally is relatively novel, with positive shifts through increased engagement with child-centric civil society organisations, but hindered by the internal complexities of member state harmonisation and policy blockades within the EU

²⁹⁵ Council of Europe, "The European Social Charter," 2012, http://www.coe.int/t/dghl/monitoring/socialcharter/Presentation/AboutCharter_en.asp, Accessed: 17th September 2013.

²⁹⁶ European Community, "Fundamental Rights of the Child 2000/C 364/01" *Official Journal of the European Communities C 364/1*, (2000).

²⁹⁷ European Council, "EU guidelines on the rights of the child," 14 December 2007, <http://www.consilium.europa.eu/uedocs/cmsUpload/16031.07.pdf>, Accessed: 25 March 2010.

²⁹⁸ European Commission, "Directive of the European Parliament and of the Council On combating the sexual abuse, sexual exploitation of children and child pornography, repealing Framework Decision 2004/68/JHA [COM(2010)94], (Brussels: European Commission, 2010).

²⁹⁹ European Commission, *An EU Agenda for the rights of the child (COM(2011)60)*, (Brussels: European Commission, 2011).

institutions.³⁰⁰ Stalford explores the EU's role in protecting children and child rights further by looking at accountability measures, stating the EU can draw on existing internal and external structures, but the international promotion of child rights by the EU will require sustainable relationships with its partners.³⁰¹ As such, there is an overarching external action policy base for protecting children and child rights, but as yet there is minimal recognition of child rights in specific foreign policy mechanisms, such as DRR.

Children represent an important part of the concept of human security, as they can be exposed to a wide range of risks during and after a crisis. Axworthy addresses human security in terms of protecting citizens rather than state interests, and highlights children as a particular group in society in need of such protection.³⁰² Kuper shifts similar arguments to an EU framework, explaining why the EU must highlight young people as part of its human security doctrine.³⁰³

While the UNCRC³⁰⁴ does not specifically mention a child's right to resilience, or the protection of children and their rights in context of disasters, clauses surround a more political or legal context, which can be transferable and valid in relation to natural disasters. The UNCRC ensures the protection of children by states within humanitarianism through of the four main principles of non-discrimination, the best interests of the child, the right to life, survival and development, and the views of the child, or Articles 2,3,6 and 12 respectively.³⁰⁵ Often such rights are disregarded during and immediately after a humanitarian crisis as chaos ensues and consequently children are overlooked, yet all of these Articles encompass a child's right to protection and empowerment, and subsequent reduction of vulnerability and increased resilience.

³⁰⁰ Jean Grugel and Ingi Iusmen, The European Commission as guardian angel: the challenges of agenda-setting for children's rights, *Journal of European Public Policy*, (2012): 1-18.

³⁰¹ Helen Stalford, *Children and the European Union: Rights, Welfare and Accountability*, (Oxford: Hart Publishing Ltd, 2012).

³⁰² Lloyd Axworthy, 'Human Security and Global Governance: Putting People First,' *Global Governance* 7, no. 1 (2001): 19-23.

³⁰³ Jenny Kuper, 'A Minor Matter? The Place of Young People as part of the EU security doctrine.' *International Journal of Children's Rights* 18, (2010): 127-147.

³⁰⁴ United Nations, *Convention on the Rights of the Child [Resolution 44/25]*, 20 November 1989, (Geneva: United Nations, 1990).

³⁰⁵ Ibid.

McCormick views Article 4 and 27 as most important for child protection in crises due to the emphasis of these particular articles of the state as primary duty-bearers.³⁰⁶ However, the four Articles aforementioned have been included for this study as the emphasis is also on international actors as duty-bearers, as reflected through the human security model and the responsibility of donors to protect those at risk. These four articles encompass a child's right to protection and resilience surrounding a disaster. Often such rights are disregarded during and immediately after a humanitarian crisis as chaos ensues and consequently children are overlooked. It is crucial states and international organisations conform to this Convention when addressing child rights in DRR legislation, to ensure their efforts in protecting children and their rights in DRR policies are consistent and comprehensive.

Article II – The right to non-discrimination

All States must respect the rights of children regardless of race, gender, religion, ethnicity, social or political background, disability, property, or status. This is reflected in the universality of rights, and more specifically, in the notion that one's circumstances or background have no impact on the protection of those rights.

Article III – The best interests of the child

States must ensure that all actions which are undertaken that concern children, are performed in the best interests of the child. The State will ensure that the child is protected, and the persons or institutions involved in providing the protection do so appropriately.

The uncertainty of what constitutes the 'best interests of the child' can be difficult to the application of this right in practice. Commissioner for Human Rights in the Council of Europe, Thomas Hammarberg, described the need for this Article to be recognised as a procedural requirement for decision-makers to review all proposed legislation to confirm the interests of a child, or children, are taken into consideration.³⁰⁷ Ronen believes the judicial approach to the best interest of the child is often ambiguous and can result in a lack of

³⁰⁶ Christine McCormick, "Monitoring, reporting and addressing child rights and protection violations in 'non-listed' countries," *Disasters* 37, no. S1 (2013):122.

³⁰⁷ Thomas Hammarberg, Commissioner for Human Rights, Council of Europe, "The Principle of the Best Interests of the Child - what it means and what it demands from adults," [CommDH/Speech(2008)10], 30 May 2008, (Warsaw: Council of Europe, 2008).

accountability from duty-bearers to defend this particular right of children.³⁰⁸ In an extensive report exploring the concept in a national and international context, the UN High Commissioner for Refugees supported the use of ‘best interests determinants’ and assessments, based on the context of the crisis, and take into account determining factors such as family separation, and decision making processes.³⁰⁹

Article VI – The right to life, survival and development

Duty bearers acknowledge the right to life of all children, and where possible, they will ensure the survival and development of each child. However, as one UN representative indicates, sometimes the lines between development and the upholding of child rights blur at the state administration level. In the context of the Pacific:

“In many of our settings, and I think in the Melanesian setting, children are not direct beneficiaries of any kind of whatever, they are not thought of first, there are certain things which governments will think of first. And sometimes, when they’re looking at the economic progress, they don’t mind how many children they tramp over in their efforts towards economic progress. But just to pursue it at whatever cost. And then you have to remind them, ‘look, you are pursuing economic progress but look at how many children are involved in child labour, look at how many children are being affected by the tourism industry,’ they don’t want to look at it they say, ‘look at this, look at how much money we are pursuing here.’”³¹⁰

Article XII – The right to participation

³⁰⁸ Ya’ir Ronen, “On the Child’s Right to Identity, the Best Interests of the Child and Human Dignity,” Conference Paper for the Conference on Human Dignity and Humiliation Studies, Hawaii, 2009.

³⁰⁹ United Nations High Commissioner for Refugees, *Guidelines on Determining the Best Interests of the Child*, (Geneva: Office of the United Nations High Commissioner for Refugees, 2008).

³¹⁰ Interview excerpt, UN Agency, 16/10/2012.

Each child has the right to form and express his or her own views, and allowed the opportunity to be heard in any administrative or judicial processes, as is appropriate under national procedures.

The common disregard for participation of children in disaster policy formation, or implementation, can be considered as resulting from a focus on parental responsibility, rather than the state, in providing for a child's specific needs surrounding a disaster.³¹¹ Hart and Bex confirm however, there is an increasing belief that a person is still able to influence their own, or someone else's, life for the better, no matter what their status in society.³¹² Peek supports this, stating how certain attributes of children such as their intelligence, imagination, vitality and access to social networking exemplify the different means through which children can contribute before, during or after a disaster.³¹³ Many humanitarian organisations have been involved in increasing child participation by performing focus groups with children in countries prone to disasters. In one research report, Plan International states:

“By providing the opportunity to be directly involved in disaster risk reduction activities, young people can develop skills to be better prepared for potential threats, and participate in efforts to protect their safety and wellbeing.”³¹⁴

Case studies by scholars and humanitarian organisations alike carried out in Asia-Pacific countries have shown that children are keen to contribute to local DRR activities and are

³¹¹ Flanagan et al., “A Social Vulnerability Index for Disaster Management,” *Journal of Homeland Security and Emergency Management* 8, no. 1 (2011), 5; Lori Peek. "Children and Disasters: Understanding Vulnerability, Developing Capacity, and Promoting Resilience - an Introduction." *Children, Youth and Environment* 18, no. 1 (2008): 1-29.

³¹² Jason Hart and Bex Tyler, ‘Research with Children Living in Situations of Armed Conflict: Concepts, Ethics and Methods,’ *RSC Working Paper Series*, 2006, 4.

³¹³ Lori Peek, ‘Children and Disasters: Understanding Vulnerability, Developing Capacities, and Promoting Resilience – An Introduction,’ *Children, Youth and Environments* Vol.18, no. 1 (2008): 14.

³¹⁴ Plan International, ‘Children and Young People at the centre of Disaster Risk Reduction’, 2007, <http://www.plan-uk.org/pdfs/childrenindrr.pdf>, Accessed: 15 December 2010.

capable of doing so, while also being aware of potential risks associated with a disaster that can threaten their survival.³¹⁵

It may be a change in attitude is required for policy makers to implement a rights-based approach to DRR. While children have specific needs, they also have specific capabilities in a disaster context. By indicating a child's right to resilience (which therefore embraces all the individual associated rights under the UNCRC applicable to a disaster context), rather than explicitly citing a child's right to protection in policy formation, implies not only their vulnerability but is complemented by embracing the aptitudes of the child to be resilient. The acknowledgement of the right to resilience will facilitate dialogue surrounding children and DRR strategies at all levels (international, national and local), through a positive shift in attitudes toward children in disaster risk management.

This approach not only highlights children as vulnerable, with specific risks and needs in times of disaster, but also their potential resilience and autonomy in the different stages of the disaster cycle. Participation in DRR policy formation and programming can assist with a rights-based approach to community-based disaster risk management, where groups are empowered at a local level, as promoted by human security.

3.3 RECOGNISING SOCIAL VULNERABILITY IN DRR PROGRAMMING THROUGH HUMAN SECURITY

Increases in policy formation to reduce the risks of disaster have aligned with a recent scholarly trend to consider the different types of vulnerability surrounding disasters. Furthermore, the importance of implementing measures to reduce the potential risks

³¹⁵ See Emily Polack et al, *Accountability for disaster risk reduction: lessons from the Philippines*. (Sussex: Institute of Development Studies, 2010); Tom Mitchell et al., 'The Roles of Children and Youth in Communicating Disaster Risk,' *Children, Youth and Environments* 18, no.1 (2008): 254-279; Plan International and World Vision, 'Children on the Frontline: Children and young people in disaster risk reduction,' 2009, <http://www.ineesite.org/assets/childernonthefrontline.pdf>, Accessed: 15 December 2010; UNICEF, *The Participation of Children and Young People in Emergencies*, (Thailand: UNICEF East Asia and Pacific Regional Office, 2007).

throughout the disaster cycle.³¹⁶ Given the focus of this research on the social vulnerability of children, and the lack of recognition of social vulnerabilities in DRR policy implementation, the concept of social vulnerability has been elaborated on as part of a comprehensive approach to human security model. But what is vulnerability? What is risk? Through the human security model, this section discovers the relationship between vulnerability and risk, and how social vulnerability can be addressed through DRR. The discussion then shifts to focus on child vulnerability.

Vulnerability is lessened by the available resources in a society,³¹⁷ to influence the impact of a hazard on the community at risk. In conjunction with the international classification of vulnerability in Chapter II, this view of vulnerability can encompass both technical and social vulnerabilities. As will be discussed further in this chapter, recognition of social aspects of disasters allows for a comprehensive approach to risks, and thus assists in promoting the protection and empowerment aspects of human security. As one of the pioneers of social disaster research, Hewitt's approach to vulnerability focuses on the capabilities of administrations, individuals, or groups surrounding a hazard.³¹⁸ In addition, the conditions that render people vulnerable when a disaster occurs, and their impact.³¹⁹ Risk is viewed by Hewitt as representative of a broader connotation to risk, including all potential linkages to hazards and causal factors.³²⁰ This aligns with the international approach where the magnification or

³¹⁶ See Global Facility for Disaster Reduction and Recovery, "Disaster Risk Management Programs for Priority Countries." Washington D.C: GFDRR Secretariat, 2009; Douglas Paton, and David Johnston. "Disasters and Communities: Vulnerability, Resilience and Preparedness." *Disaster Prevention and Management* 10, no. 4 (2001): 270-277; John Twigg, "Characteristics of a Disaster-Resilient Community," London: Aon Benfield Hazard Centre, 2009; John Twigg, "Disaster Risk Reduction: Mitigation and Preparedness in Development and Emergency Programming." London: Overseas Development Institute, 2004

³¹⁷ Flanagan et al., "A Social Vulnerability Index for Disaster Management," *Journal of Homeland Security and Emergency Management* 8, no. 1, (2011): 1-22.

³¹⁸ The UNISDR defines a Hazard as a dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage. This study explores natural disasters as one example of a hazard. UN International Strategy for Disaster Reduction, 'UNISDR Terminology for Disaster Risk Reduction (2009),' 01 January 2009, <http://preventionweb.net/english/professional/terminology/v.php?id=508> , Accessed: 20 May, 2011.

³¹⁹ Kenneth Hewitt, *Regions of risk: A Geographical introduction to disasters*. Harlow, Addison Wesley Longman Ltd, 1997, 21.

³²⁰ Kenneth Hewitt, *Regions of risk: A Geographical introduction to disasters*. Harlow, Addison Wesley Longman Ltd, 1997, 22.

decrease of risk is caused by the hazard, in conjunction with local levels of vulnerability and available assets. This relationship can be represented as:

$$\text{Risk} = \text{Hazard} \times (\text{Vulnerability} - \text{Resources})$$

This algorithm is being increasingly recognised amongst disaster researchers.³²¹ Preventative measures are then put in place through DRR policy and programming. Despite the concept of vulnerability being inclusive of social aspects, the focus of DRR policy formation and implementation is often technically focussed, such as investigations of the geophysical, meteorological, infrastructural, or technological characteristics of a disaster, as featured in the dominant view of disasters. In 1993, Dynes emphasised the need to understand the social setting rather than simply focussing on the infrastructural facets of disaster reduction,³²² where examination of disasters is not restricted to the technical approach to disasters.

The common focus on the physical aspects of a disaster is centred in the visibility of devastation and violence than the potential or causal factors of a disaster, as they have more impact and conclusiveness.³²³ Where previously the dominant view of disasters as a scientific study of the technical aspects of crises was the primary foundation for disaster research, a more contemporary view of disasters has evolved in the vulnerability approach, to include social aspects of disaster management. The vulnerability approach encompasses sociological views of disasters, as increasingly upheld by social and physical scientists alike.³²⁴ The inclusion of social vulnerabilities in global disaster discourse is reflected in the area of disaster studies, with the dominant view of disasters being altered to evaluate social

³²¹ See Ben Wisner et al., *At risk: Natural hazards, people's vulnerability and disasters*. New York: Routledge, 2004; Flanagan et al., "A Social Vulnerability Index for Disaster Management," *Journal of Homeland Security and Emergency Management* 8, no. 1 (2011): 1-22.

³²² Russell R. Dynes, "Disaster Reduction: The importance of adequate assumptions about social organisation," *Sociological Spectrum* 13, (1993): 175-192.

³²³ Kenneth Hewitt, *Regions of risk: A Geographical introduction to disasters* (Harlow, Addison Wesley Longman Ltd, 1997), 21.

³²⁴ See Kenneth Hewitt, *Regions of risk: A Geographical introduction to disasters* (Harlow, Addison Wesley Longman Ltd, 1997); Brenda D. Phillips et al., *Social vulnerability to disasters*, (Boca Raton: Taylor & Francis, 2010); Ben Wisner et al., *At risk: Natural hazards, people's vulnerability and disasters*. (New York: Routledge, 2004).

outcomes and processes of hazardous events.³²⁵ This has become a valid method of analysis where sociologists are now exploring disasters in the goal of highlighting humanistic risks and vulnerability faced at a time of crisis, along with the influential and consequential societal aspects of disasters. Wisner confirms disasters are as much a social, economic and political issue as a natural one.³²⁶ Yoon states discussions of vulnerability surrounding disaster are inadequate without the recognition of social demographics including age, gender, race and ethnicity, particularly due to the potentially insufficient access to assistance within the disaster cycle.³²⁷ Accordingly, recognition of social vulnerabilities lead to greater comprehension of the different impacts of disasters on various community groups.³²⁸

Growing identification of the limitations of the dominant view of hazards has led to the assimilation of the social vulnerability and dominant approach to disaster research.³²⁹ This research affirms an integrated response to disaster vulnerability involves both the physical and social sciences, an estimation necessary in the goal of reducing risks faced by vulnerable communities. Table 3.1 below compares these two differing schools of disaster research:

³²⁵ See Ben Wisner et al., *At Risk: Natural Hazards, People's Vulnerability and Disasters* (New York: Routledge, 2004); Brenda D. Phillips et al., *Social vulnerability to Disasters* (Boca Raton: Taylor & Francis, 2010); Susan L. Cutter et al., "Social Vulnerability to Environmental Hazards," *Social Science Quarterly* 84, no. 2 (2003): 242-261; Russell R. Dynes, "Disaster Reduction: The importance of adequate assumptions about social organisation," *Sociological Spectrum* 13, (1993): 175-192; Kenneth Hewitt, "The idea of calamity in a technocratic age," in *Interpretation of calamity: from the viewpoint of human ecology*, eds. Kenneth Hewitt, (Winchester: Allen & Unwin Inc, 1983); Maureen Fordham in *Mapping vulnerability: disasters development and people*, eds. G Bankoff et al, (London: EarthScan, 2007).

³²⁶ Ben Wisner et al., *At Risk: Natural Hazards, People's Vulnerability and Disasters* (New York: Routledge, 2004), 4

³²⁷ D. K. Yoon, "Assessment of social vulnerability to natural disasters: a comparative study," *Natural Hazards* 63, (2012): 824.

³²⁸ Morrow, (2008) as cited in D. K. Yoon, "Assessment of social vulnerability to natural disasters: a comparative study," *Natural Hazards* 63, (2012): 824.

³²⁹ Brenda D. Phillips et al., *Social Vulnerability to Disasters*, (Boca Raton: Taylor and Francis Group), 12.

Dominant view	Vulnerability view
<ul style="list-style-type: none"> • The dominant view concentrates on the physical processes of the hazard. • Management style emphasises problem solving through hierarchies and authorities. • A top-down approach. • Uses technology, engineering, and science to address the hazard. • The goal is to reduce physical damage. • The general philosophical approach is utilitarian and the conquest of nature. • Emphasises bounded systems. 	<ul style="list-style-type: none"> • The vulnerability view addresses socioeconomic and political influences. • Management style emphasises a decentralised approach involving community-based problem solving. • A grassroots or bottom-up approach. • Uses local knowledge, networks, imagination, and creativity to address the hazard. • The goal is to reduce social vulnerability of people. • The general philosophical approach is equitable approaches to reduce vulnerability and working in concert with nature. • Emphasises open systems and complexity.

Table 3.1 Comparative assessment of dominant and vulnerability views of disasters.³³⁰

As Hewitt endorses:

‘We cannot take for granted the relationship between people and nature, between knowing subjects and objects or study or between theory and fact.’³³¹

The 1980s saw a spike in research focussed on sociological and epistemological aspects of disasters, and a shift away from the dominant view of crises as a technical study. Hewitt explains while the majority of those undertaking disaster research would not reject the idea there are economic and social aspects associated with the risks of a crisis, the dominant argument positions these influences as dependent on the geophysical nature of disasters.³³²

³³⁰ Source: Enarson et al, *Social Vulnerability to Disasters*, as cited in Brenda D. Phillips et al., *Social Vulnerability to Disasters*, (Boca Raton: Taylor and Francis Group), 13.

³³¹ Kenneth Hewitt, *Interpretations of Calamity: from the viewpoint of human ecology*, (Winchester: Allen & Unwin Inc, 1983).

³³² Kenneth Hewitt, *Regions of risk: A Geographical introduction to disasters* (Harlow, Addison Wesley Longman Ltd, 1997), 5.

“My own background is research into the physical environment and geo-hazards. Yet, I have come to believe that social understanding, and socially just and appropriate action, are the more crucial issues for the contemporary disaster scene. And while I would welcome a clearer picture of the social content of this work (...), the main problematic for us does seem to be the social construction of disaster. That concerns the often covert and taken-for granted way in which social conditions or ‘realities’ shape how we think about and act toward disasters. (...) It is to examine the relations between discourse, ideology and practice.”³³³

Hewitt’s arguments of applying a vulnerability approach to disaster research are relative to the theoretical foundations of this research on disasters, principally in supporting its central view of the role of sociological examinations of disaster management. His humanistic approach to disaster research could be applied to the area of DRR as a significant area influence of reducing vulnerability throughout the disaster cycle.

The human-centric research as promoted by Hewitt, is supported by the work of Quarantelli, whose writings around the time of Hewitt also depicted the value of examining social aspects of the various phases of the disaster cycle.³³⁴ Many fellow social scientists follow the argument that disasters not only require social intervention in terms of risk management, but confirm causal factors of disasters can also be attributed to humans, rather than nature.³³⁵ This

³³³ Kenneth Hewitt, “The social construction of disaster,” in *What is a disaster? Perspectives on the question*, ed. E.L. Quarantelli (New York; London: Routledge, 1998), 76.

³³⁴ Quarantelli, E.L. *Disaster Related Social Behaviour: Summary of 50 Years of Research Findings*. (Newark: University of Delaware, 1999); Quarantelli, E.L. *The Disaster Recovery Process: what we know and do not know from research*. (Newark: University of Delaware, 1999); Quarantelli, E.L. *The Sociology of Panic*. (Newark: University of Delaware, 1999).

³³⁵ See Ben Wisner et al., *At Risk: Natural Hazards, People's Vulnerability and Disasters* (2 ed.) (New York: Routledge, 2004); Brenda D. Phillips, et al., *Social Vulnerability to Disasters* (Boca Raton: CRC Group, 2010); Bryan S. Turner, *Human Rights and Vulnerability*. eds. Thomas Cushman, *Essays on Human Rights* (University Park: Pennsylvania State University Press, 2006); Bryan S. Turner and Chris Rojek. *Society and Culture: Principles of Scarcity and Solidarity* (London: SAGE Publications, 2001); Russell R. Dynes, "Disaster Reduction: The Importance of Adequate Assumptions about Social Organization," *Sociological Spectrum* 13 (1993): 175-92.

corresponds with the human-centric approach to DRR, where rather than the concentration on technical, economic, or political factors of disasters, the protection and reduction of vulnerability must be central to effective DRR programming. In doing so, DRR programming across the disaster cycle needs to be interdisciplinary involving both physical and social spheres DRR programming. As one DRR practitioner suggests, “It’s not about different disciplines diluting what they know, it’s about bringing them together and to understand how it integrates together.”³³⁶ Another DRR practitioner agrees, that interdisciplinary approaches to DRR which acknowledge physical and social risks will assist in more effective programming at a local level:

“It’s about taking a problem-based approach and whatever methodologies are correct for addressing that problem is the way forward. And if that happens to be using a social science methodology to understand a hazard better.”³³⁷

Paton and Johnston amalgamated the two disciplines of science and sociological research in their work as they investigate vulnerability in a community context.³³⁸ They stated that while expenditure on disaster preparedness is effective in terms of structural issues, such as increased attachments of hot water cylinders, or matters of immediate wellbeing, such as food and water storage, communities remain vulnerable to natural hazards. They do not see public education as being effective in reducing vulnerability. From the perspective of the human security model, education assists in empowering individuals and communities, but it is also a question of engagement to recognise the risks and capabilities. In addition, dialogue with stakeholders and citizens assists in mitigating against those risks. J.P Stoltman et al., have given their analysis of mitigation strategies around the globe a regional focus, looking at South East Asia and the Pacific independently,³³⁹ promoting the importance of the education

³³⁶ Interview excerpt, Helpage, 11/9/2012

³³⁷ Interview excerpt, CAFOD, 10/9/2012

³³⁸ Douglas Paton and David Johnston, "Disasters and Communities: Vulnerability, Resilience and Preparedness," *Disaster Prevention and Management* 10, no. 4 (2001): 270-277.

³³⁹ J.P. Stoltman et al., *International Perspectives on Natural Disasters: Occurrence, Mitigation and Consequence* (Netherlands: Springer, 2001).

sector for efficient natural disaster information dissemination amongst children, but without a focus on children rights in mitigation strategies.³⁴⁰

Social vulnerability is an active phenomenon due to the existing influences that social aspects within community structures can have on the impending risks of a disaster. In order to discuss risks and then generate systems to reduce them, it is first necessary to evaluate concerns in the existing social climate. In their research, Kreps, Gilbert and Dombrowsky consider social structures as intertwined with disasters, but to varying degrees. Kreps observes disasters at an institutional and organisation level, regarding a community's reaction to a disaster, while Gilbert considers a disaster as disturbing societal relationships, and the progressive dissolution of the relationships between local actors and processes.³⁴¹ Dombrowsky takes this notion further, referring to the works of Carr,³⁴² addressing disasters in terms of society as he perceives disasters as not only consequences, but causal factors of disasters where imbalanced social structures are then put under pressure when natural forces overwhelm the system.³⁴³ Dombrowsky through his work on societal structures as causal factors of disasters states:

“There is no distinction between a disaster and ‘its’ effects. Disaster do not cause effects, the effects are what we call a disaster.”³⁴⁴

Weak societal structures are potentially incapable of sustaining the onset of a natural or manmade disaster, and would collapse as a consequence. The associated risks of disasters when coupled with the destruction of societal supports, can result in communities being

³⁴⁰ Ibid.

³⁴¹ Claude Gilbert, “Studying disaster: a review of the main conceptual tools,” *International Journal of Mass Emergencies and Disaster* 13 (1995): 235, as cited in E L Quarantelli, *What is a disaster?* (London; New York: Routledge, 1998), 129.

³⁴² L T Carr, “Disasters and the Sequence-Pattern Concept of Social Change,” *American Journal of Sociology* 38 (1932): 207-218.

³⁴³ W Dombrowsky, “Again and again: Is a disaster what we call a disaster? Some conceptual notes on conceptualising the object of disaster sociology,” *International Journal of Mass Emergencies and Disasters* 13, no 3 (1995): 241-254, as cited in E L Quarantelli, *What is a disaster?* (London; New York: Routledge, 1998), 129.

³⁴⁴ W Dombrowsky, “Again and again: Is a disaster what we call a disaster? Some conceptual notes on conceptualising the object of disaster sociology,” *International Journal of Mass Emergencies and Disasters* 13, no 3 (1995): 244.

unable to prevent, prepared for, or at worst, manage a disaster.³⁴⁵ But are societal structures in vulnerable communities inherently weak? A state or community can be socially stable, but still be vulnerable, whether collectively, or as encompassing vulnerable citizens. This intrinsic level of vulnerability is depicted through the model of human security. A socially democratic society, where human rights are protected by the state or ratified UN conventions, can still comprise insecure groups whose vulnerability is amplified during an impending disaster, but whose rights are not guaranteed in ‘peacetime,’ when risks against a disaster must still be prevented. As clarified by Dunne and Wheeler, “the citizens of a social democratic society may have all their human rights protected by the state, but that does not necessarily mean their community has security.”³⁴⁶ Primary analysis of social disorder during the risk assessment phase of DRR programming will examine whether a community is cognisant of potential risks faced by its citizens. Uncovering risks in a preventative, bottom-up methodology can then assist in enhancing the social supports of a community in general. It is anticipated that applying this approach can improve the social supports for vulnerable groups in periods of calm, as opposed to a retrospective strategy post-disaster, which will ultimately focus solely on reducing risks faced during the immediate aftermath of the disaster.

Consequently, social vulnerability is also a repercussion of not including social aspects to DRR policies and creating community-based DRR programming, which focuses on reducing social risks faced by vulnerable groups during and following a disaster. According to Hewitt, the traditional view sees socio-cultural implications of natural disasters as ‘unforeseen contingencies’, where the effects on society are considered to be part of the process; that are not something to be pre-empted or strengthened in anticipation for a disaster.³⁴⁷ In his work Hewitt describes one policy document, which states although human beings often actively prepare for unanticipated events, they differ from other species since, in general, humans are more comfortable managing issues which arise in the present. The report maintains the

³⁴⁵ Brenda D. Phillips et al., *Social vulnerability to Disasters*, (Boca Raton: Taylor & Francis, 2010), 7.

³⁴⁶ Tim Dunne and Nicholas J. Wheeler, “‘We the peoples’: Contending discourses of security in human rights theory and practice,” in *Critical Perspectives on Human Security: Rethinking Emancipation and Power in International Relations*, ed. D Chandler & N Hynek, (Routledge: Hoboken, 2010), 22.

³⁴⁷ Kenneth Hewitt, “The idea of calamity in a technocratic age,” in *Interpretation of calamity: from the viewpoint of human ecology*, eds. Kenneth Hewitt, (Winchester: Allen & Unwin Inc, 1983), 15.

benefits of immediate action outweigh those of preventative action.³⁴⁸ This rationale explains the tendency of states to implement DRR policies post-disaster in a retrospective, rather than precautionary manner. However as Figure 3.1 depicts, social vulnerability is interlinked with DRR and disasters, as can be present prior to and following a disaster:

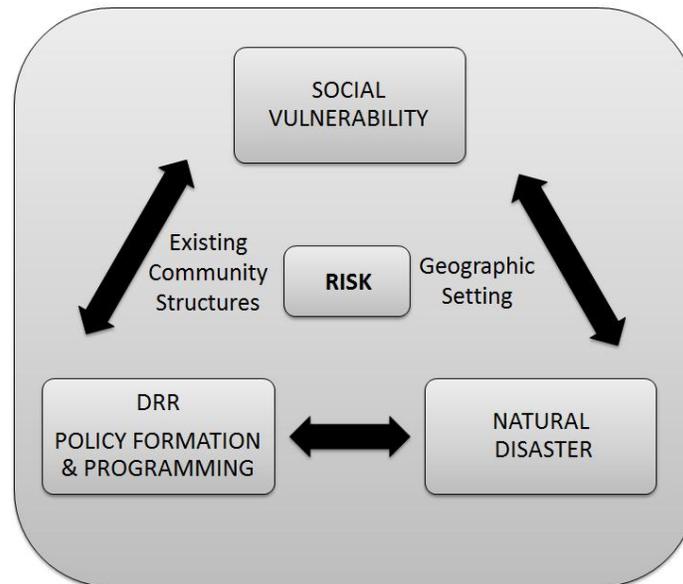


Figure 3.1 Interrelationship between natural disasters, social vulnerability and DRR.

The above figure illustrates influential factors of the social climate, geographic setting, community structures, and mitigation efforts in relation to the associated risk of disasters and the influence on the creation of DRR policies. Levels of mitigation signify where risk has already been addressed through disaster management, whether through the creation of policy formation such as DRR policies, or DRR programming.

While the geographic environment may predominantly apply to states facing natural disasters, it is also relevant in the cases of manmade disasters. Risks faced by vulnerable groups confronting conflict can be intensified if a country is also prone to the effects of frequent or infrequent natural disasters. Conflict scenarios can equally impact a state's ability to implement DRR policies or DRR programming in order to reduce the effects of natural disasters. At a community level, however, Quarantelli states natural and manmade disasters

³⁴⁸ Ibid, 15.

are dissimilar to conflict scenarios as the former are deemed ‘consensus type occasions’ affecting community structures and community behaviour, whereas decisions in warfare intentionally increase the disorder.³⁴⁹ Wisner’s supports this perception as it illustrates that the occurrence of conflict scenarios and natural disasters are interlinked with the integration of disaster management by states.³⁵⁰ This premise is also relevant in relation to the implementation of DRR strategies by external actors who are involved in providing assistance to states as part of their foreign policy.

The social climate and existing community structures are fundamental influences in the correlation between current and potential social risks surrounding a disaster, the disaster itself, and recognising vulnerabilities in DRR policy formation. The existing community structures and social climate of vulnerable communities indicate the nature of risks, and level of risk faced. These risks would then be heightened during a disaster, generating a need to strengthen social structures prior to a disaster and introduce measures to reduce associated risks for the various vulnerable groups, including children, if a disaster were to occur.

This shift in mind-set is increasing amongst the disaster community. However, recognition of social risks is yet to be mainstreamed amongst policy makers and practitioners, both in the international and domestic context. Firstly, they remain restrictive to primarily addressing physical risks, where social risks are all too often considered as too difficult to quantify. This is chiefly the case in the phases of assessment, and monitoring and evaluation in disaster management. Secondly, while immediate risks may be captured, slow onset risks can be regarded as a developmental issue, and consequently ignored in other phases of disaster risk management, such as through DRR programming. This is the case for many of social groups which face slow onset risks, including children.

The risks associated with children during a disaster are beginning to appear in literature and there have been increases the documentation of child vulnerability in a disaster. Research

³⁴⁹ Quarantelli, E.L., *Disaster Related Social Behaviour: Summary of 50 Years of Research Findings* (Newark: University of Delaware, 1999), 3.

³⁵⁰ Ben Wisner, “Violent conflict, natural hazards and disaster,” in *Routledge Handbook on hazards and disaster risk reduction*, eds. Wisner et al., (Abingdon; Routledge, 2012), 81.

undertaken on the vulnerability of children surrounding disasters assist in extending current awareness of the impacts of disasters in general, and for particular societal groups, while conveying valuable messages for future child-centric disaster risk management.³⁵¹ Phillips et al. reject the dominant theory of the physical processes of a disaster, and support the concept of social vulnerability, emphasising the increased vulnerability of children.³⁵² However, as Twigg indicated, the majority of child-based disaster literature focuses on their immediate needs rather than looking at the broader vulnerability of children in the disaster cycle and try to reduce those risks.³⁵³ Peek explains children can be acutely vulnerable to sudden and slow onset disaster situations, facing many potential physical and psychological risks following a natural disaster, as well as fast and slow onset impacts to their development particularly in the area of education, family separation, displacement, abuse or exploitation.³⁵⁴ Slow-onset risks that children can be exposed to during and after a disaster are diverse. They may vary from health concerns of general development, education, malnutrition or diseases, or abuse and exploitation through participation in forced labour or as child soldiers or sexual abuse. Psychological damage, increased poverty or separation from their families, are also long-term effects that also need to be considered.

This thesis adopts a holistic approach to such risks by recognising all dangers faced by children during and after a disaster. Nevertheless, it must be noted that there is no ‘one-size-fits all’ when it comes to potential risks which children can face, as they may be exposed to differing risks at different points of the disaster cycle. This necessitates local ownership of community-based DRR programming to identify the risks affecting each individual community.³⁵⁵ A number of non-governmental actors and academics in the field are producing practical reports highlighting risks and depicting case studies where child-focussed DRR projects have been successful in highlighting child agency.³⁵⁶

³⁵¹ William A. Anderson, “Bringing Children into Focus on the Social Science Disaster Research Agenda,” *International Journal of Mass Emergencies and Disasters* 23, no. 3, (2005): 172.

³⁵² Brenda D. Phillips et al., *Social Vulnerability to Disasters* (Boca Raton: CRC Group, 2010), 161.

³⁵³ Twigg, John, "Disaster Risk Reduction: Mitigation and Preparedness in Development and Emergency Programming," (London: Overseas Development Institute, 2004), 32.

³⁵⁴ Lori Peek, "Children and Disasters: Understanding Vulnerability, Developing Capacity, and Promoting Resilience - an Introduction." *Children, Youth and Environment* 18, no. 1 (2008):1-29.

³⁵⁵ Aradhna Duggal-Chadha, "Children and Disasters," *Refugee Survey Quarterly* 25, no. 4 (2006): 85.

³⁵⁶ See Aradhna Duggal-Chadha, "Children and Disasters: World Disasters Report." *Refugee Survey Quarterly* 25, no. 4 (2006) 85-90; Amer Jabry, "After the Cameras Have Gone: Children in Disasters." London: Plan

Cannon explores the concept of vulnerability in natural disasters in relation to the livelihood, wellbeing, self-protection of individuals and households, influenced by the social protection and governance in the institutional management of disaster impacts.³⁵⁷ This argument could maintain a holistic approach to child protection includes the use of the household as a context for vulnerability research as the role of caregivers can assist certain aspects of child protection. Alternatively, a focus on the household can allow for the concentration on the family unit, and in the case of children, put too much focus on the needs and vulnerabilities of their caregivers, which may not coincide with those of children. Peek emphasises the frequent assumption from governments and humanitarian actors, where children's needs will be met if the parent's needs are appeased, despite children's specific needs due to varying levels of development.³⁵⁸ Phillips et al. express current research in the field has a limited scope of solely studying children as part of the household; many existing research outputs in the field do not investigate other scenarios where children may be at risk should a disaster occur, such as if they are separated from their families, or schools procedures for an impending disaster.³⁵⁹ Despite this analysis of current research and a description of the various impacts on children, Phillips et al. provide few insights into furthering research on child vulnerability in disasters, nor offer strategies to counter the risks they describe. As a result, this research assists in bridging the gap between existing research on child vulnerability and donor-partner processes to reduce the risks faced. Kuper examines ways the EU should react to the risks children face in crises by focussing on specific parts of human security, with particular reference to the

International, 2003; Fran Seballos et al. "Children and Disasters: Understanding Impact and Enabling Agency." In *Children in a changing climate*, ed. Laura Cornish (Brighton: Institute of Development, 2011); Ben Wisner, *Let our children teach us! A Review of the Role of Education and Knowledge in Disaster Risk Reduction* (Bangalore: Books for change, 2006); Mitchell, Tom, Thomas Tanner, and Katharine Haynes. *Children as Agents of Change for Disaster Risk Reduction: Lessons from El Salvador and the Philippines* (Brighton: Institute of Development Studies, 2009); International Strategy for Disaster Reduction, *Towards a Culture of Prevention: Disaster Risk Reduction Begins at School* (Geneva: United Nations, 2007); Plan International and World Vision, *Children on the Frontline* (London; Monrovia: Plan International and World Vision, 2009); Lori Peek, "Children and Disasters: Understanding Vulnerability, Developing Capacity, and Promoting Resilience - an Introduction." *Children, Youth and Environment* 18, no. 1 (2008): 1-29.

³⁵⁷ Terry Cannon, *Reducing People's Vulnerability to Natural Hazards: Communities and Resilience [Research Paper No. 2008/34]*, (Helsinki: UNU-WIDER, 2008).

³⁵⁸ Lori Peek. "Children and Disasters: Understanding Vulnerability, Developing Capacity, and Promoting Resilience - an Introduction." *Children, Youth and Environment* 18, no. 1 (2008): 1-29.

³⁵⁹ Brenda D. Phillips et al., *Social Vulnerability to Disasters* (Boca Raton: CRC Group, 2010), 161.

participation of children in policy formation.³⁶⁰ Despite these research outputs in the field, there remains a deficiency of research on the institutional aspects of aid provisions and DRR processes to reduce child vulnerability.

The difficulty with the EU's complex policy and institutional systems is often immediate aid ends and development or reconstruction programmes have not yet commenced, generating a grey area where protectionism of children and their rights can be neglected. By reinforcing child protection measures to reduce the risks of a disaster faced by children, such a grey area can be avoided. States also have a tendency to focus on supporting children after a disaster by tending to their immediate needs, and long-term effects are sidelined. Often, only risks which occur as an immediate repercussion of a disaster are accounted for within disaster management strategies. Risks such as exploitation, intra-family violence, or trafficking are often ignored in policy formation, despite their ongoing nature, which makes said risks damaging to a child's future. Community structures are not in place to reduce said risks, and thus children are not prepared for the associated risks of other impending crises. Such a superficial approach in policy formation marginalises children. The adoption of a comprehensive preventative, rather than reactive, response to threats is thus necessary.

Reactions of policy makers towards the social vulnerability of children prompts discussion of the concept of universal child vulnerability surrounding disasters. If a child is at risk of, or exposed to, a form of danger prior to a disaster, the risk is more prevalent for those who were vulnerable before the disaster, such as the trafficking of children.³⁶¹ The risk is then enhanced in a post-disaster setting, when societal structures can be further weakened. This leads to the argument of whether children are to be considered less socially vulnerable after a disaster in a developed nation than those in less developed states, due to increased or more resilient social structures. Duggal-Chadha states that children are affected differently in the various social climates when there is a disaster; disasters differentiate between the diverse cultural and

³⁶⁰ Jenny Kuper, 'A Minor Matter? The Place of Young People as part of the EU security doctrine.' *International Journal of Children's Rights* 18, (2010): 127-147.

³⁶¹ Jean Connolly Carmalt, and Claudine Haenni Dale, "Human Rights and Disaster," in *Routledge Handbook on Hazards and Disaster Risk Reduction*, eds. B Wisner et al, (Abingdon; New York: Routledge, 2012), 70.

environmental situations children live in and thus have differing vulnerabilities.³⁶² According to Hewitt, in a contemporary setting, levels of vulnerability can differ according to social circumstance, as well as where societies in crises are in the stages of development.³⁶³ One Member of the European Parliament supports this notion, stating:

“One thing we must bear in mind is that disasters, natural disasters and manmade disasters, are by nature intrinsically unfair, are intrinsically unequal. Why? Because they effect most the ones that have less, typically. It’s easy to understand that an earthquake of 9-magnitude does not have the same effect if it occurs in Haiti or in Japan (...) So if the disasters approach must have any keystone, it must be to try to solve those inequalities – on the means people have to protect themselves, and their families, and their goods. Any socially fair approach to the problem must include this keystone to try to combat inequalities either among countries, or among people in the same country.”³⁶⁴

While all citizens can be at risk surrounding disasters, risks for certain societal groups, such as children are enhanced by varying factors, whether social or physical, reinforcing the need for protectionism to mitigate against those risks. Despite the universality of the need for child protection, it can be argued that the level of social vulnerability may vary, leading to the question of whether all children are inherently vulnerable simply due to their age. Wisner et al. explain humans do not all have the same experience when there is a disaster, as societal dynamics ascertain those groups or individuals who are more threatened by hazards.³⁶⁵ There are differing views of whether children should be considered as fundamentally vulnerable, simply because of their presence when there is a disaster. There has been a series of literature

³⁶² Aradhna Duggal-Chadha, “Children and Disasters,” *Refugee Survey Quarterly* 25, no. 4 (2006): 85.

³⁶³ Kenneth Hewitt, *Regions of risk: A Geographical introduction to disasters*, (Harlow, Addison Wesley Longman Ltd, 1997), 27.

³⁶⁴ Interview excerpt, Del to ACP-EU Joint Parliamentary Assembly /Committee on ENVI, 11/11/ 2010.

³⁶⁵ Ben Wisner et al., *At risk: Natural hazards, people’s vulnerability and disasters*, (New York: Routledge, 2004), 6.

on vulnerability, with the agreement that children are physically and psychologically at risk,³⁶⁶ yet by adopting holistic approach to protectionism, and embedded the subsequent needs within DRR policies and subsequent programming is not, however, to say that children are inherently vulnerable surrounding a disaster. It is a question of how the lexis in policy formation considers ‘protection,’ and rather than perceiving social factions as marginalised, look to protection to ensure all rights are upheld. The consequent praxis based on protection of all forms of risk, and agency of children, through the engagement in the decision-making process. Rather than focussing on the vulnerability of social groups, marginalised groups can be considered as resilient in certain aspects of disaster management.³⁶⁷ Tierney and Oliver-Smith describe ‘social units’ as having specific ‘assets and deficiencies’ surrounding a disaster.³⁶⁸ Often the stress is on the latter, rather than the former. Children are often stereotyped as passive victims or as being dependent on adults, and rarely considered as social capital. On the contrary, children often can have a fundamental role to play in all phases of disaster risk management, through the participation in DRR policy formation and subsequent action at a local level. In the context of manmade disasters, Hart and Tryer believe children should be considered as autonomous in their actions given that in a disaster context they are often in situations where they have to make decisions and care for themselves or others in order to manage the risks they face surrounding a disaster.³⁶⁹ Wisner looks to education and knowledge management to highlight areas for action in disaster risk management at a

³⁶⁶ See Avigdor Klingman, “Children under stress of war,” in *Helping children cope with disasters and terrorism*, eds. Annette M La Greca et al. (Washington, DC: American Psychological Association, 2002), 359-380; Aradhna Duggal-Chadha, “Children and Disasters,” *Refugee Survey Quarterly* 25, no. 4, (2006):85-90; Cannon et al., “Social Vulnerability, Sustainable livelihoods and disasters,” http://www.abuhrc.org/Documents/Social_vulnerability_sust_live.pdf, Accessed: 21 July 2011; Inka Weissbecker et al., “Psychological and Physiological Correlates of Stress in Children Exposed to Disaster: Current Research and Recommendations for Intervention,” *Children, Youth and Environments* 18, no.1 (2008): 30-70.

³⁶⁷ See Lindsey Jones et al., *Responding to a changing climate: exploring how disaster risk reduction, social protection and livelihoods approaches promote features of capacity* (London: Overseas Development Institute, 2010) 3; Mark De Bruijne et al., “Resilience: Exploring the Concept and its meanings,” in *Designing Resilience: Preparing for extreme events*, eds. L K Comfort et al., (Pittsburgh: University of Pittsburgh Press, 2010), 13.

³⁶⁸ Kathleen Tierney and Anthony Oliver Smith, “Social Dimensions of Disaster Recovery,” *International Journal of Mass Emergencies and Disasters* 30, no. 2 (2012): 129.

³⁶⁹ Jason Hart and Bex Tryer, ‘Research with Children Living in Situations of Armed Conflict: Concepts, Ethics and Methods,’ *RSC Working Paper Series*, (2006), 10

community level, particularly looking at the role of agencies, and partnerships.³⁷⁰ His work does not, however, extend his discussion on DRR education to knowledge exchange with children, and role of children in the decision-making surrounding disaster risk management.

As discussed earlier in this chapter, children's participation in mitigation and preparedness phases through DRR policy formation and programming have assisted in their resilience. In recovery phases, children can also display resiliency where a child may need to act independently, for instance if their parents have been displaced, or are occupied with post-disaster recovery actions. This is not only a benefit to provide a different lens to reducing the disaster risks, but the right of children to participate in both the formation of those policy formation and the implementation of those policies.

3.6 CONCLUDING THOUGHTS

Despite the variety of approaches to human security, there has been an increasing acknowledgment from scholars and policy makers alike of the realignment from protecting state security to the protection of people and their rights.³⁷¹ Ogata and Cels state that human security represents not so much a shift from state security to that of individuals, but assists in uniting national and development strategies, whilst presenting a context to recognise the protection of rights in volatile conditions.³⁷²

The multi-faceted nature of this research in analysing the EU and its increased action towards DRR and child rights in its foreign policy implies there is no single theoretical framework to apply to it. It is, therefore, necessary to debate human security in the context of the focal areas of human rights, and social vulnerability. When looking at human rights violations in conjunction with social vulnerability, it first must be recognised that human rights

³⁷⁰ Ben Wisner, *Let our children teach Us! A review of the role of education and knowledge in disaster risk reduction*, (Bangalore: Books for Change, 2006).

³⁷¹ See Berma Klein Goldewijk, 'Why human? The interlinkages between security, rights and development,' *Security and Human Rights* No. 1 (2008): 24-36; Georg Frerks, 'Human security as a discourse and counter-discourse,' *Security and Human Rights* No. 1, (2008): 8-14; Mary Kaldor et al., 'Human Security: a new strategic narrative for Europe,' *International Affairs* 83, no. 2 (2007): 273-288; Lloyd Axworthy, 'Human Security and Global Governance: Putting People First,' *Global Governance* 7, no. 1 (2001): 19-23.

³⁷² Sadako Ogata and Johan Cels, 'Human Security – Protecting and Empowering the People,' in *Global Governance* 9, no.3 (2003): 275.

traditionally did not have a place in the social sciences. This is due to the ethical basis of human rights and vulnerability, as opposed to strong empirical evidence or impartial research as conventional methodologies for sociological investigations.³⁷³ However Turner argues that to achieve a ‘sociology of rights’, moral discourse must be included in such studies, while also maintaining that where politics are concerned, normative appraisal forms a valid part of such analysis.³⁷⁴ This view links directly to the responsibilities of states in upholding human rights. Yet, there is an impasse where recognition of human rights in political decision-making is to be implemented. In an international context, the implementation of human rights in donor foreign policy objectives can have an impact on local levels of vulnerability of those at risk. Indeed, if rights are not effectively translated into practice, there can be a regression of reduced vulnerability, to the point where local vulnerability can be increased. Consequently, the application of the underlying principle of human rights in donor implementation strategies can impact the immediate protection of those at risk, but also future levels of vulnerability. One DRR practitioner sees the role of donors as centred on immediate needs, and the underlying causal factors of risk are disregarded:

“I think vulnerability is a real problem area for them because the underlying logic for addressing social vulnerability issues is you’ve got to change society, and disaster funders are not in that kind of business, they don’t have that kind of concept.”³⁷⁵

This statement brings with it a discussion of the whether existing local societal structures and customs need the influence of donors, and what impact their role will have on vulnerability. One DRR practitioner confirms there needs to be recognition of the impact of DRR programming, and the impact of DRR activities, “Are you, by creating a water dam, creating more conflicts in that region because you’re creating basically a focal point, for people to

³⁷³ Rhiannon Morgan, and Bryan S. Turner, *Interpreting Human Rights: Social Science Perspectives* (Abingdon: Routledge, 2009), 3.

³⁷⁴ *Ibid.*, 5.

³⁷⁵ Interview excerpt, Anonymous, 12/09/2012.

come to fight over water...unbelievably consequential.”³⁷⁶ Riddell remarked the effectiveness of donorship often centres on the impact of programming in-country, but that more attention needs to be paid on the tensions of providing both short and long-term assistance.³⁷⁷ Employ of a rights-based approach assists in bridging this gap between the immediate and sustainable development of partner countries, with a shift away from the immediate needs, to ensure donorship upholds the rights of those at risk. In doing so, a rights-based approach recognises the capabilities of local individuals and community structures in reducing risk at a local level. There have been significant increases in examining the humanistic features of disasters over recent decades, particularly looking at the interrelationship between human rights and disasters and humanitarian relief.

The basis of the human right-based approach, as promoted through the model of human security, is three-fold. It firstly confirms the responsibilities of duty bearers, primarily nation-states, international organisations, and agencies to protect individuals and their rights. This research undertakes a human rights based approach, working on the assumption that the defence of human rights shall underline disaster management of donor and recipient states, while also featuring predominantly in the humanitarian relief and disaster risk reduction strategies of donors. Secondly, the processes of those actors in fulfilling those rights must be accountable and transparent, and contextually appropriate. Thirdly, individuals and groups must enjoy the right to agency, which includes both participation and empowerment in policy formation and in the implementation of those policies.³⁷⁸ A human rights-based approach to disaster management transcends the provision of immediate humanitarian assistance in the form of disaster relief, as implemented through a needs based approach. Instead, DRR as part of disaster risk management recognises the right of individuals and communities to protection and resilience throughout the disaster cycle. It acknowledges both physical and social risks in DRR policy formation and subsequent DRR project implementation. Alongside this acknowledgement of social vulnerability, is the requirement of policy makers and

³⁷⁶ Interview excerpt, CAFOD, 10/9/2012.

³⁷⁷ Roger C. Riddell, “Does Foreign Aid Really Work?” Background Paper to Keynote Address, Australasian Aid and International Development Workshop, February 2014, <http://devpolicy.org/2014-Australasian-Aid-and-International-Development-Policy-Workshop/Roger-Riddell-Background-Paper.pdf>, Accessed: 25 February 2014.

³⁷⁸ ECPAT

practitioners to empower social groups through participation in the decision-making process, whilst remaining accountable and transparent in their implementation phases of the resultant policy.

By evaluating DRR policies and subsequent programming through the recognition and defence of human rights signifies a humanistic view of disasters, rather than traditional observations of disasters as a technical phenomenon. Because of a reliance on the dominant approach to disasters, where the focus is on tangible aspects such as the infrastructural or environmental consequences of a disaster, social risks are often disregarded in DRR policy formation and subsequent implementation. This is mirrored in humanitarian aid policy formation where humanitarian actors often do not employ a holistic approach to disaster management. Policy makers tend to focus on reducing the impact of technical aspects of a disaster through reinforcing infrastructural or environmental aspects of a disaster, and do not emphasise social repercussions of a disaster. Turner recently merged the approaches of human rights theory and social vulnerability by confirming the significance of human rights in evaluating disasters through sociological analysis.³⁷⁹ While not child-focussed, his emphasis on the defence of human rights throughout the disaster cycle assists in encouraging the application of human rights in DRR policy formation. This is represented in the figure below:

³⁷⁹ Bryan S Turner, *Vulnerability and Human Rights* (University Park: Pennsylvania State University Press, 2006).

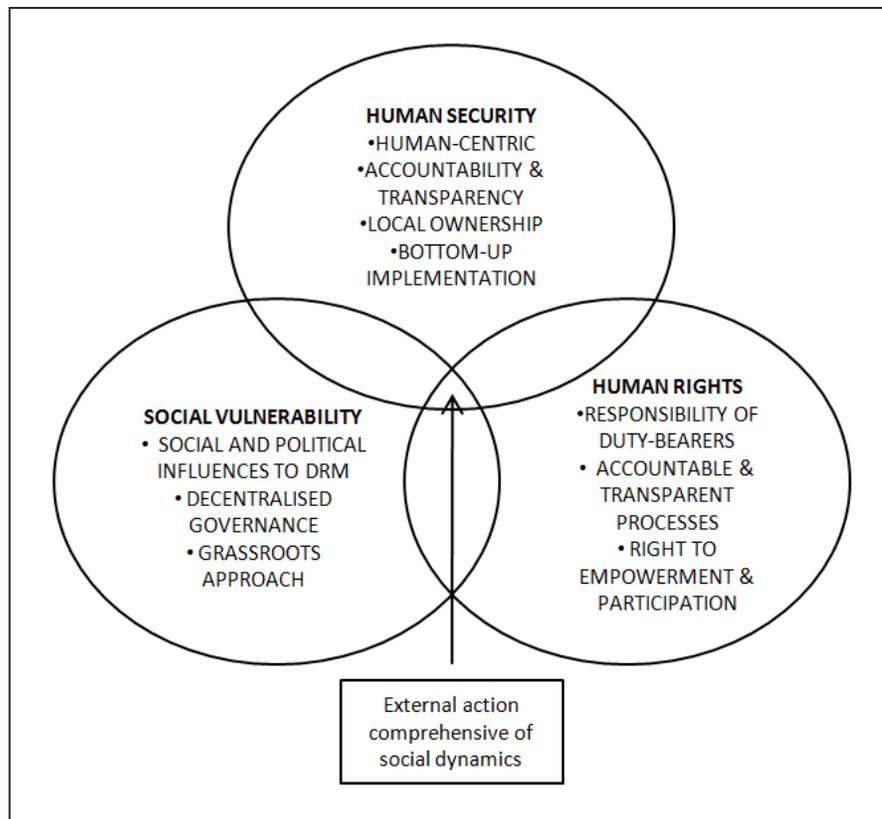


Figure 3.2 Conceptual model based on human rights, social vulnerability, and the core principles of the human security model to create a comprehensive DRR policy formation

The human security model which ensures a rights-based approach to policy and practice, and which is recognisant of social vulnerabilities, provides the basis for holistic DRR policy and project implementation. The umbrella human security model, when coupled with lexis of human rights and social vulnerability, merge to create a single conceptual framework. Holistic approaches to vulnerability and any subsequent risks enable a rights-based approach through DRR programming. The theoretical basis for this research can then be applied to DRR as a facet of foreign policy, providing a strong foundation for the analysis of praxis.

Figure 1.1 from Chapter I outlined the rights-based methodological components of this research, which can consequently be adjusted to reflect the conceptual framework basis of this research. In doing so, Figure 2.7 below assists in acknowledging the association between a

rights-based approach to child protection in DRR, the research methodology and the theoretical framework.

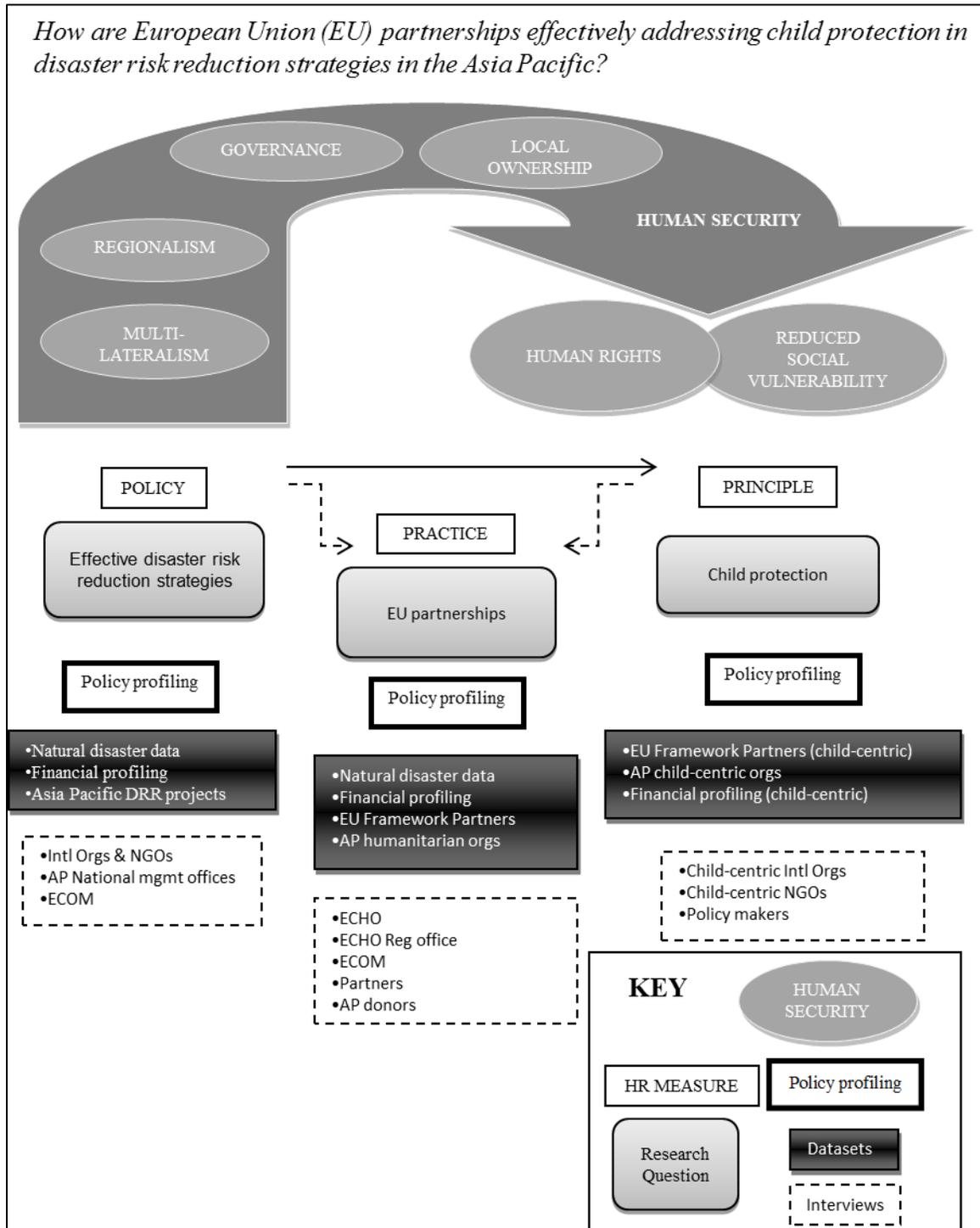


Figure 3.3: A comprehensive theoretical and methodological framework for assessing EU partnerships in DRR in the Asia Pacific.

As shown in the above figure, the theoretical framework of human security assists in providing an umbrella justification for how and why lexis on rights and vulnerability in DRR strategies influence levels of child protection through DRR praxis.

While there is existing literature available on DRR education and learning, Phillips et al. clarify there is a lack of social research on the capabilities of children as recipients or sources of risk information to influence decision making.³⁸⁰ Sen describes the complementarity of human rights and capabilities, where human rights can be considered as ‘entitlements to certain basic capabilities,’ but this needs to be based on a universal approach to human rights and capabilities.³⁸¹ Indeed, Cannon views the concept of resilience as the ‘non-victimhood’ of individuals or actors, thus focusing on their capability to recover from the impacts of disasters.³⁸² Yet resilience within this research implies a broader view of the concept to embody the entire disaster cycle, rather than just the response from a disaster. If resilience implies immediate losses, as Cannon suggests and the UNISDR promote,³⁸³ the focus of the term is the ability to ‘build back better’ in response and recovery phases, rather than prevent against such losses.³⁸⁴ The reference to ‘build’ also indicates a technical approach to recovery and reconstruction, and can sideline the strengthening of social constructs to reduce the risk of the collapse of community structures in a future disaster context. Kapucu et al. suggest the term should be inclusive of the capability of a community to modify disaster risk management processes founded on local values and goals, and with a focus on social capital.³⁸⁵ This study agrees with the essential role of social capital in a community’s resilience, particularly of societal groups such as children, but the term continues to be centred on individual and community evolution in the aftermath of a disaster. There is a need for increased recognition in the employ of the term *resilience* to embrace an individual or group’s ability to withstand

³⁸⁰ Brenda D. Phillips et al., *Social Vulnerability to Disasters* (Boca Raton: CRC Group, 2010), 161.

³⁸¹ Amartya Sen, “Human Rights and Capabilities,” *Journal of Human Development* 6, no. 2 (2005): 151-166.

³⁸² Terry Cannon, *Reducing People’s Vulnerability to Natural Hazards: Communities and Resilience [Research Paper No. 2008/34]*, (Helsinki: UNU-WIDER, 2008), 9.

³⁸³ UN International Strategy for Disaster Reduction, ‘UNISDR Terminology for Disaster Risk Reduction (2009),’ 01 January 2009, <http://preventionweb.net/english/professional/terminology/v.php?id=508> , Accessed: 20 May 2011.

³⁸⁴ Naim Kapucu et al., “Emerging Research in Disaster Resiliency and Sustainability,” *Disaster Resiliency: Interdisciplinary Perspectives*, eds. Naim Kapucu, Christopher V. Hawkins, Fernando I. Rivera, (New York; London: Routledge, 2013), 357.

³⁸⁵ *Ibid.*, 357.

the impacts of a disaster. The role of empowerment and participation of societal groups in holistic rights-based risk assessments (comprehensive of both technical and social risks) in the pre-disaster phases will assist in mainstreaming resilience, as preventative measures to reduce risk. Agency of children and social factions in general through participation and engagement in decision-making and DRR practices ensures not only that risks are registered, but also empowers citizens to draw on their capabilities to respond and act autonomously to the risks they face, whether immediate or long term. Empowerment then also can be cost-effective in that capabilities are drawn on, and risk reduction is realistic and contextual to the citizens' requirements.

This chapter assisted in intertwining aspects of the human security model, as the theoretical basis of this research. Discussions of current literature and observations on human security, and the respective spheres of rights, and the concept of social vulnerability in humanitarianism, have provided scope as to whether foreign policy mechanisms can be effective in upholding child rights, and reducing vulnerability. In doing so, this chapter has established a platform for discussing specific areas of EU lexis and praxis, both child-centric and general, surrounding DRR programming at a local level in the Asia Pacific. This chapter has drawn on the key concepts underpinning the human security model, in order to look at specific examples of lexis and praxis in EU DRR partnerships in the following chapters.

The following chapters analyse further the empirical components of this thesis, firstly through lexical analysis in policy formation at an EU level in Chapter III, followed by features of DRR praxis at both an institutional level, and local level in the subsequent Chapters IV and V.

CHAPTER IV

IDENTIFYING RIGHTS-BASED APPROACHES IN EU & MEMBER STATE DRR POLICY LEXIS

4.1 INTRODUCTION

The first part of the data analysis presented in this chapter accounts for the recognition of the rights-based lexis. Specifically, it looks at indications of child risks and child protection measures in EU and Member States development and humanitarian, and DRR policies. As the preliminary aspect of the lexis-praxis methodology, tangible examples of rights-based lexis towards DRR within EU institutional and Member State humanitarian and development policies, allows for greater understanding of EU and Member State coherence and the mainstreaming of human rights, particularly the rights of children, prior to the analysis of channels used to implement those values through praxis. This is achieved through content analysis of the policies, as part of the rights-based impact assessments.³⁸⁶ EU and Member States' policy formation throughout the decade of 2002-2012 to be covered in this chapter looks to the primary themes of this research: reducing risk and increasing child protection.

The following lexical analysis depicts the disparities between the DRR policies of the EU and Member States, despite all having signed up to the international equivalent of the HFA. DRR falls into the awkward grey area between humanitarian aid and development, making EU foreign policy implementation more complicated. The lack of an effective policy continuum, or indeed a policy overlap of EU agency functions, has an effect on how the EU implements its DRR policy in projects around the world. This also has an effect on how the EU acknowledges its values, including human rights, within its DRR strategy.

Child protection in DRR policy lexis is then reviewed to translate into partnerships between the EU, its Member States, and third parties. The identification of lexis chosen in policy

³⁸⁶ See Appendix II for full outline of the policies included, and terms of analysis.

formation then establishes a foundation for the application of the model of human security, in order to review praxis channels in Chapters IV and V.

4.2 THE SCOPE OF LEXICAL ANALYSIS

A holistic presentation of patterns of lexis in policy formation embodies features of the rights children possess and need to be retained in internal policy formation, external action policies, and specific DRR strategies as foreign policy mechanisms. This is particularly important within the sphere of external action, where the values and objectives of donors must be comprehensible to implementing partner organisations, and partner countries, to ensure a cohesive response to overseas assistance. As the EU and Member States generally act through third parties to assist countries when there is a disaster, policies must clearly define the parameters of the actions to take place for consistent implementation.

As such, this chapter reviews the EU and its Member States' regard for child protection as part of DRR programming, by reviewing lexis vis-à-vis the international convention specific to children and child rights, the UNCRC. Lexis indicative of the EU and Member States' ratification of the UNCRC denotes whether such behaviour is symptomatic of the European Community. The child rights applicable to the provision of aid and disasters within the UNCRC are found notably in Articles 2, 3, 6, and 12 of the Convention, as expanded on in the previous chapter. The EU and Member States' recognition of those rights in the lexis used in policy formation denotes specific actions to protect those rights surrounding a disaster. As this chapter presents, variations of terminology in EU external action policy formation has institutional and external implications on how the EU acts surrounding a natural disaster. Variations in terminology for disaster management can cause ineffective decision-making and weaken a formal position from the EU as a supranational entity on foreign policy matters. That is, a lack of stable lexis can lead to confusion for EU institutions and external partners of the EU's position on disaster management. The need to address the employ of disaster terminology has been supported by an external evaluation of DG ECHO, undertaken in 2008 by a group of DRR experts, who also found the EU needed to:

“clarify and simplify terminology by immediately and singularly adopting the term ‘disaster risk reduction,’ for all activities under preparedness, mitigation, prevention, response and recovery.”³⁸⁷

This chapter surrounds comparisons of needs and rights-based approaches to foreign policy formation, based on the lexical methodological grounds expanded on in Chapter I. Policy analysis used the following rights-based lexis to evaluate whether the EU and Member States are employing needs-based or rights-based approaches to assistance and DRR in particular. Any reference in policy formation to ‘needs’ or ‘rights’ were evaluated to focus solely on references to these terms in the context of the protection of needs or rights. Human rights are progressively being highlighted in both EU and Member State foreign policy, as rights seem to play an increasing role in foreign policy decisions and partner dialogue. South et al. reported on the position of human rights in external action supports the development of human rights within the area of humanitarian assistance:

“A defining feature of the ‘protective turn’ in humanitarianism was a shift from viewing vulnerable civilians as passive victims, to assisting and protecting them as active rights holders.”³⁸⁸

Such a statement emphasises the EU’s role in protecting victims of crises, through ensuring their right to protection and their right to life. Though until recently, the EU has favoured more coercive ways of dealing with human rights violations, looking at prosecuting those who have carried out human rights abuses.³⁸⁹ However, there has been a small but necessary shift by the EU in its internal policy formation from an anti-crime methodology to a more integrated approach with an acknowledgement of human rights, based on prevention and protection. Yet the implementation of these positive shifts to a rights-based approach in policy formation leaves much room for improvement, regarding the alignment of EU and

³⁸⁷ I Wilderspin et al., *Evaluation of Disaster Risk Reduction Mainstreaming in DG ECHO’s humanitarian actions: Final Report* (Brussels: European Commission, 2008), 7.
<http://www.ec.europa.eu/echo/files/policies/evaluation/2008/DRRMmainstreaming.pdf>, Accessed: 15 July 2011.

³⁸⁸ Ashley South, Simon Harragin, et al. "Local to Global Protection in Myanmar, Sudan, South Sudan and Zimbabwe [HPN Paper No 72]." edited by Humanitarian Practice Network (London: Overseas Development Institute, 2012), 1.

³⁸⁹ Silvia Scarpa, *Trafficking in human beings: modern slavery* (Oxford: Oxford University Press, 2008), 171-205.

Member State policies. This is also the case for a more rights-based approach to EU and Member States external policies and consequently EU policies are evaluated to deduce whether the shift to a more human rights-based approach conveys a positive shift to protecting child and their rights. Do the policies reflect the responsibilities of the EU and its Member States through the employ of a rights-based approach? Or, do they represent a needs-based approach based on immediate, limited assistance? Have child rights been recognised in Member State policies to reflect the values promoted by the EU in its overarching policies? Have Member States highlighted child rights in both umbrella foreign policy documents and in specific disaster management policies to incorporate rights into DRR programming?

Due to the many institutions shaping the EU’s external action, this study undertook content analysis of EU policies³⁹⁰ from various agencies under the European Commission, as the EU’s executive branch. The figure below shows the focal Commission departments involved in aspects of this study.

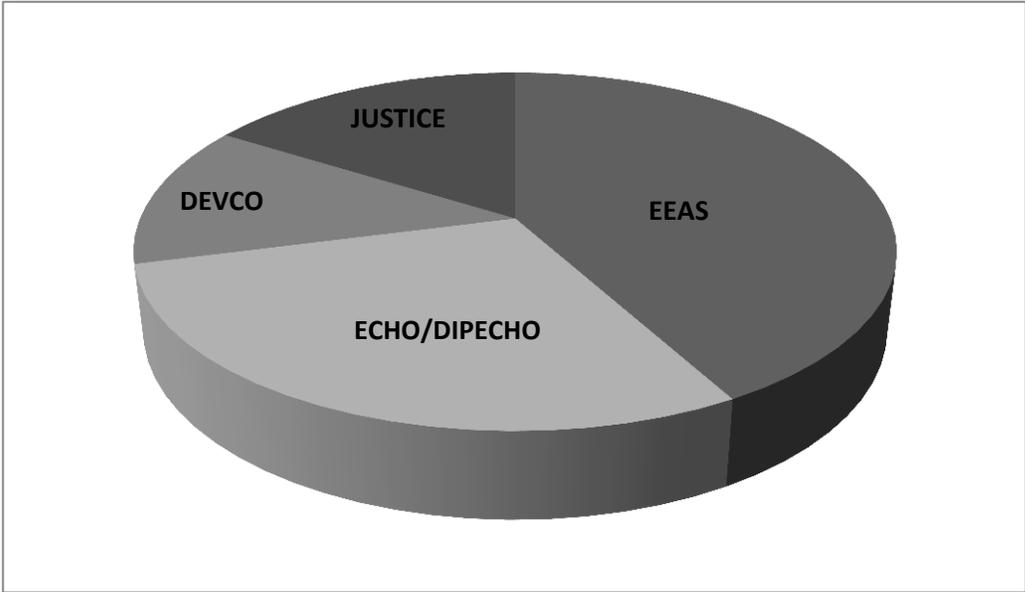


Figure 4.1 Proportion of European Commission policies applicable to child-centric DRR.

³⁹⁰ See Appendix II for a full list of the EU policies included in this study.

Figure 4.1 represents the distribution of policies analysed for each of the EU agencies depicted to represent the EU's administration of the various facets of this research. The Directorate General of Justice is charged with representing fundamental rights of all citizens. While not involved in the implementation of external policies per se, many of the overarching human rights policies under its governance concern both European Community citizens and third country nationals.³⁹¹ The management of disaster risk forms part of humanitarian and development aid, and as such, is performed through both DG ECHO and DG DEVCO. After being classified as a DG in 2004, from 2010 DG ECHO now also incorporates civil protection for cases of humanitarian assistance within the European Community.³⁹² DIPECHO, or Disaster Preparedness ECHO, is the branch of the EU, which engages in specific DRR actions, under the mandate of ECHO. The EEAS as the umbrella institution for external action represents the holistic policies on human rights and democracy, activating all policies concerning child rights in external action. Due to the complexity and multi-faceted nature of the data pulled from the policy analysis, it was necessary to streamline the variables to highlight specific lexis to evaluate coherence amongst the members of the European Community. At the supranational level, the EU EEAS, and the Directorate Generals of Development and Cooperation (DG DEVCO), European Community Humanitarian Office (DG ECHO), and Justice were included to provide a comprehensive view of all external assistance and approaches to rights.

Given the number of policies relevant to this research, all policies under the EEAS, DEVCO and ECHO have been filtered to the thematic areas of human rights, child rights, general development, humanitarian aid, DRR, and procedural documents for partnerships with third parties, namely FPA partner documents. Analysing thematic trends amongst policies indicates the scope of each policy, in addition to deducting whether policy lexis differs between the themes of policy documents. Table 4.1 below depicts the breakdown of European Commission policies analysed by these thematic areas.

³⁹¹ See Appendix II for a full list of the EU policies included in this study.

³⁹² European Commission website, "European Commission Humanitarian Aid and Civil Protection," http://ec.europa.eu/echo/about/index_en.htm Accessed: 1 October 2013.

EUROPEAN COMMISSION	CHILD RIGHTS	HUMAN RIGHTS	HUMANITARIAN AID	DEVELOPMENT AID	DRR	PARTNERS	TOTAL
DG DEVCO				4			4
DG ECHO/DIPECHO			2		5	2	9
DG JUSTICE	5						5
EEAS	5	5				3	13
TOTAL	10	5	2	4	5	5	31

Table 4.1 Thematic classification of European Commission policy profiling.

Of the foreign policies evaluated from the European Commission,³⁹³ the prevalence of ownership resides under the External Action services, covering the human rights and partnership aspects of the study. The distribution of development, humanitarian, and DRR policies demonstrates the similar roles, and potential overlap of the institutions. Partnership documents for humanitarian and development assistance are implemented under both ECHO and EEAS, which can also cause confusion for partner countries and organisations. DRR-specific policies are solely under the governance of DG ECHO, given the role of DRR in the common development and humanitarian aid documents with reference to important aspects of DRR, there is also potential for policy overlap, as will be analysed further throughout the subsequent chapters.

In addition to European institutional document analysis, the foreign policies of EU Member States were also included in the study. By the end of the period under scrutiny, the EU incorporated 27 Member States for policy analysis. The table below demonstrates the European countries and policies examined through content analysis.

³⁹³ See Appendix II for a full list of the EU policies included in this study.

Member States	2005	2006	2007	2008	2009	2010	2011	2012	2013	Total
Austria			1		1					2
Belgium			1	1						2
Cyprus					1					1
Czech Republic						2				2
Denmark	1					1	1	1		4
Estonia							1			1
Finland						1	1			2
France						1	1			2
Germany			1			1		1	1	4
Hungary		1								1
Ireland			1	1		1				3
Italy						1				1
Latvia							1			1
Luxembourg					1		1			2
Malta			1							1
Netherlands			1					1		2
Poland							1			1
Portugal					1	1				2
Romania						1				1
Slovakia					1					1
Slovenia				1						1
Spain					1					1
Sweden				1		1	1			3
United Kingdom		2					1			3
Grand Total	1	3	6	4	6	11	9	3	1	44

Table 4.2 Member State foreign policy formation from 2003-2012 corresponding to a rights-based approach to DRR.³⁹⁴

Not all Member States had a current humanitarian or development policy document available for analysis by means of their foreign policy website at the time of data collection. As such, the policy profiling of Greece, Lithuania, and Bulgaria was omitted from the study. Some websites were inaccessible, as was the case of Lithuania and Bulgaria, while the website for Greece's aid mechanism, Hellenic Aid, was not translatable into English. That is not to say these three Member States are not involved in providing assistance. Indeed, Greece is an Overseas Development Assistance provider under the Organisation for Economic Cooperation and Development (OECD), but any assistance in most recent years has been directed at European Neighbourhood partners, rather than a focus on the Asia Pacific. As demonstrated in Table 3.2, 2010 and 2011 saw a spike in policy formation from Member

³⁹⁴ See Appendix II for a full list of the EU policies included in this study.

States, both old and new Member States. This could be due to the inauguration of the Lisbon Treaty and enhanced European external action strategies, and in response to the 2009 Commission Report on improved coherence within the European Community development assistance.³⁹⁵

As most policy documents of Member States embrace specific themes, data analysis was assisted by thematic categorisation synonymous to that of the EU policies. As such, Member State policies encompassed human rights, child rights, development, humanitarian aid, and DRR, as indicated in Figure 3.2.



Figure 4.2 Thematic policies of European Union Member States.

³⁹⁵ European Commission, *EU 2009 report on policy coherence for development*, (Brussels: European Commission, 2009).

Besides Germany, Finland and the United Kingdom, there was no recognition of the importance of DRR as a foreign policy mechanism in a separate policy document, but was sometimes incorporated as part of humanitarian or development assistance. Similarly, some Member State approaches towards humanitarian aid and development have merged the two areas of assistance into one policy document, providing a broad overview for third parties of assistance as part of foreign policy, as was the case of Estonia and the Czech Republic, who became international donors in the 1990s,³⁹⁶ and joined the EU in the 2004 enlargement. The choice to outline foreign policy objectives in holistic or thematic documents can have two outcomes. They may lessen the value in reducing risks of disasters and make it more difficult for third parties to identify and align with the Member States foreign policy objectives. Alternatively, this may assist in mainstreaming DRR and child rights through European humanitarian aid and development assistance. The tension around mainstreaming or isolating risk and protection measures will be analysed further through the following chapters, in both lexis and praxis measures.

As previously mentioned, there is a tendency for states to favour a needs-based approach to providing assistance in partner countries, through the focus on immediate risks, or needs, rather than a rights-based approach,³⁹⁷ which incorporates both needs and other forms of vulnerability in order to uphold the rights of those at risk. This short-term approach with a focus on immediate needs of those at risk, while applicable for disaster response does not cover risks throughout the disaster cycle. A rights-based approach ensures not only the needs of individuals and groups are met but their rights to participation in policy formation, and non-discrimination, in the protection and assistance provided throughout the disaster cycle. To review whether policies across EU external action agencies are synthesised in representing the EU's principle of human rights, lexical analysis in Figure 3.3 of external policies is depicted, according to the policy themes of human rights, development, humanitarian aid, DRR, and partner documents.

³⁹⁶ Organisation for Economic Cooperation and Development, <http://www.oecd.org/dac>, Accessed: 1 September 2013.

³⁹⁷ K Kenny, *When needs are rights: an overview of UN efforts to integrate human rights in humanitarian action* [Occasional paper #38], (Providence, The Thomas J. Watson Jr. Institute for International Studies, 2000), 6.

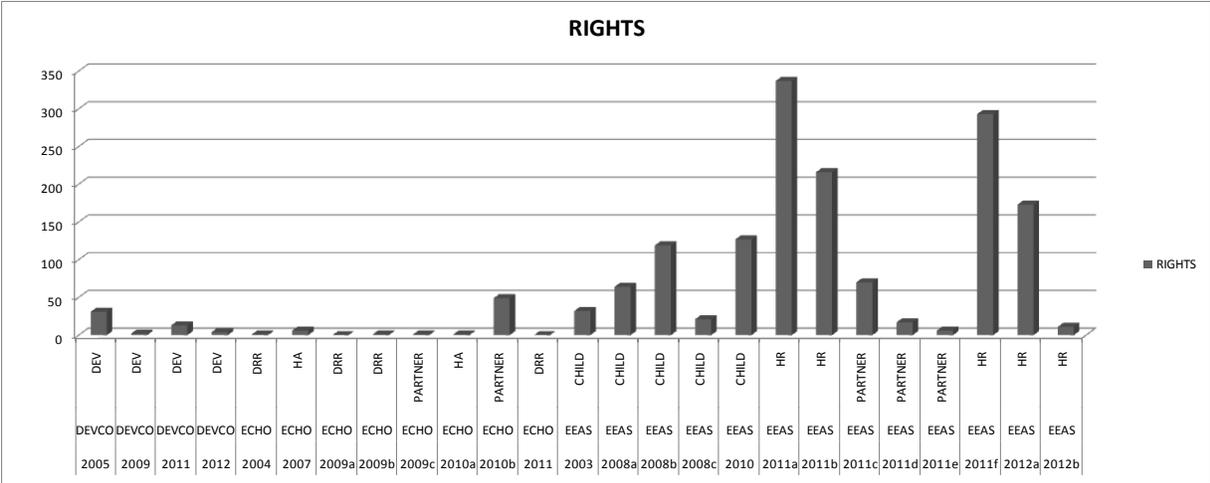


Figure 4.3 Representation of rights across EEAS and DG ECHO and DG DEVCO

For the European Union, the umbrella agency for EU foreign policy mechanisms, the EEAS, has explicitly cited human rights as the ‘silver thread weaving through all external action, both at home and abroad.’³⁹⁸ The thematic areas of the EEAS policies indicate its prerequisite to uphold human rights in policy lexis, where its policy documents primarily surround children, human rights, and partner documents. In comparison, the thematic areas of DG ECHO and DG DEVCO demonstrate the focus of the agencies is on the development and humanitarian action, and to a lesser degree, partner documents. In these areas, there is a significant reduction of the incorporation of rights lexis in the policies. As such, Figure 3.3 demonstrates how the principle of human rights underpinning its holistic EEAS policies, do not translate to the specific policies under DG ECHO and DG DEVCO. This indicates a lack of transference of the principle of human rights in policy lexis to specific external mechanisms. Yet between DG ECHO and DG DEVCO, the EU’s use of rights-based, or needs-based approaches in external action may vary for the type of assistance given, whether development or humanitarian, as demonstrated in the following Figure:

³⁹⁸ European Commission, *Human Rights and Democracy at the heart of EU external action – towards a more effective approach*, (Brussels: European Commission, 2011), 4.

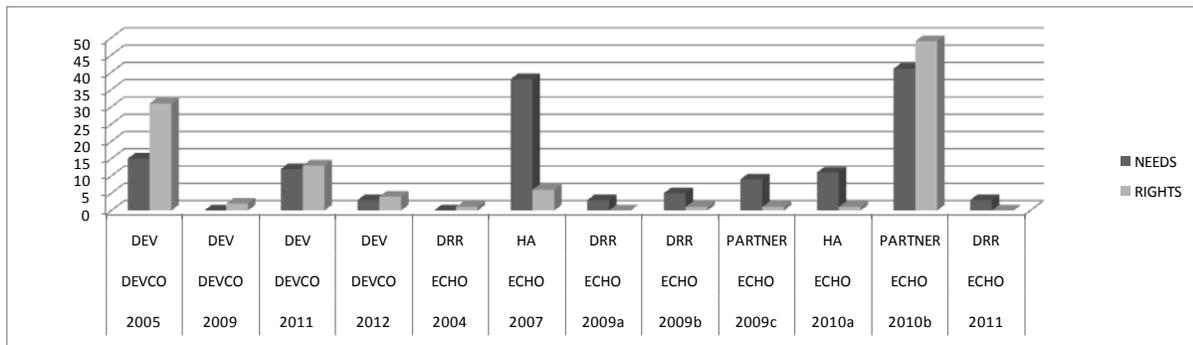


Figure 4.4 EU approach to needs and rights in DG DEVCO and DG ECHO policy lexis.

As depicted in Figure 3.4 above, the respective DGs of the EEAS employ differing rights and needs based approaches in their policy lexis. When looking at how the EU illustrates its position on human rights in its developmental and humanitarian policies, there are major differences in what is included in the overarching policies of the EEAS, and what filters to specific policy mechanisms under the DGs. With the exception of ECHO's partner document, Figure 3.4 demonstrates how policy formation under the humanitarian arm, ECHO, does not embody a rights-based approach, where the needs of individuals and groups surrounding a disaster are represented at a significantly higher rate than rights. Paradoxically, the solitary case of human rights being fully recognised in ECHO policy formation is represented in a partner document, the 2010 Framework Partnership Agreement Supporting Documents,³⁹⁹ which outlines the specific of ECHO activities in the field. Not only are the rights and obligations of the parties involved in the partnership insured, but also the rights of the beneficiaries of assistance. Mainstreaming of crosscutting issues is highlighted as a positive area of project implementation, particularly concerning child rights and DRR.⁴⁰⁰ Under the premise of due diligence and risk management, the rights of recipients to 'efficient aid' must be met, expanding on specific working conditions and social rights, which must be considered in the implementation of assistance.⁴⁰¹ This documentation of rights in project implementation is positive in ECHO policy formation. Nevertheless, the rights-based approach more accurately embodies the mandate of the EEAS, rather than its humanitarian mechanism ECHO. This is because humanitarian assistance, according to ECHO, represents

³⁹⁹ European Commission, *Partnership with DG ECHO: Supporting Documents*. (Brussels: European Commission, 2010).

⁴⁰⁰ *Ibid*, 20.

⁴⁰¹ *Ibid*, 62-63.

short-term assistance, coinciding with the response and recovery phases of a disaster, which necessitates the provision of aid based on immediate need. Yet despite being primarily needs-based, Article 8 of ECHO's overarching mandate, the EU Consensus for Humanitarian Aid, upholds the rights of those they are protecting.⁴⁰² The clause is therefore contentious when lexis in specific policy mechanisms are based on the needs of individuals. This is affirmed by one representative of ECHO:

“Exploitation of women, of children, of whomever, is something you cannot address through humanitarian aid; it's a long-term effort and also very much involving political players.”⁴⁰³

And yet, thematic implementation plans under ECHO, which followed this directive, such as the 2011 Implementation plan for DRR in Developing Countries, are still very much needs-based. While acknowledged by international human rights law within the 2007 European Consensus on Humanitarian Aid,⁴⁰⁴ human rights are yet to be acknowledged in any of ECHO's DRR policy documents. Clearly, this is evidence of the humanitarian office being unable to mainstream rights across policy formation.

Consequently, the responsibilities of ECHO to provide protection and assistance remain tangible in essence, while exploitation of the rights of individuals is considered to be part of the longer term projects under DG DEVCO. Policy formation under DEVCO does denote a more rights-based than needs based approach, particularly in the 2005 Consensus for European Development.⁴⁰⁵ In the common objectives, human rights are pivotal to sustainable development, subsequently promoted as a common value in any interchange with third countries.⁴⁰⁶ The rights-based approach of DEVCO is promising for activities aligned with DRR programming, specifically CCA activities under EuropeAid and through the EU-ACP Agreements. However, it seems DEVCO policies formed following the widespread

⁴⁰² European Commission, *The European Consensus on Humanitarian Aid*, (Brussels: Official Journal of the European Union, 2008), Article 8 and adjoining Annex.

⁴⁰³ Interview excerpt, ECHO Staff, 10/11/2010.

⁴⁰⁴ European Community, *The European Consensus on Humanitarian Aid 2008/C25/01* (Brussels: Official Journal: 2008), Article 16.

⁴⁰⁵ European Commission, *The European Consensus on Development [2006/C 46/01]*, (Brussels: Official Journal of the European Union, 2005).

⁴⁰⁶ *Ibid*, Articles 7 and 13.

promotion of human rights in 2011 by the EEAS, indicates a lack of mainstreaming of rights within external action policy formation.

In order to review human rights-based approaches across the European Community, the formation of EU Member State humanitarian and development policies firstly required a review of needs and rights-based lexis. Analysis of Member State policies interpreted the type of approach Member States use (whether policies employ a needs or rights-based approach) for their foreign policies, as well as applying a thematic filter to the foreign policies (that is whether policies are focussed on development, humanitarian assistance, DRR, partner organisations, children, or rights.) Member State policies are then reviewed for active responses to recognising child rights in activities in third countries by categorically evaluating the policies according to the UNCRC. The mirrored policy analysis between the EU and Member States assists in identifying whether European Community humanitarian approaches are cohesive towards respecting child rights, as promoted by the EU overarching policies, are whether there are lessons which the EU could learn from the Member State policy formation and implementation strategies.

Some Member States demonstrated their acknowledgement of the important role of human rights through a separate human rights mandate. Denmark, France, the Netherlands, and Sweden have all created separate documents to discuss the importance of respecting human rights in overseas assistance, to align with humanitarian and development policies.⁴⁰⁷ It could be argued the creation of a separate document to elaborate on human rights assists in the mainstreaming of action towards human rights in a humanitarian and developmental context as part of the umbrella foreign policy legislation. However, in the cases of the Netherlands a separate policy outlining action towards respecting the rights of third country nationals has not led to a holistically rights based approach to aid, as their current 2012 development policy is fundamentally based on the needs of those they are assisting.

Similarly, Slovakia's development policy represents primarily the needs of individuals needs-based, while all other Member States' development policies being rights-based, led by Spain, Sweden, and France. For those states which have humanitarian aid policies, Denmark is the

⁴⁰⁷ See Appendix I for further details of the policy documents.

sole advocate for a rights-based approach to humanitarian assistance, with the majority of States with humanitarian policies preferring an approach which focuses on the immediate needs of individuals, in particular, Austria, Ireland, and UK prefer needs-based implementation. This tendency for humanitarian assistance to be needs-based, and for human rights to be the focus of development aid, is consistent with the EU's approach to its external policies. The overall trend of Member State overarching aid policy formation to apply a needs-based approach is also analogous to the EU's general vision for their assistance. While the Netherlands stands out in its dual policy methodologies, where development aid is needs-based, rights lexis in its human rights policy formation puts it significantly above the other Member States in the respect for human rights and acknowledgement of the important role of human rights in providing overseas assistance.

Across the Member States there is a distinct variation in policies surrounding human rights, DRR, and partner documentation. The lexis in many is not fully representative of the rights of those at risk, whom the states, as donors, have a responsibility to protect, indicating a lack of harmonisation across Member State policy formation in upholding the rights indicated as a core principal of EU policy. In addition, this indicates a disregard for the donorship principles under the Paris Declaration, which the Member States donors have an obligation to uphold and reflect in praxis. Besides humanitarian and development policies, countries which have the highest representations of rights in policy formation is Denmark in their 2011 document which depicts a rights-based approach to cross-cutting monitoring for partnerships with implementation agencies. There have been very few DRR policies formed by Member States, preferring to mention any disaster management strategies as part of the holistic humanitarian or development legislation. Similar to the depiction of needs in DRR policy formation by EU institutions, there is convergence amongst Member States' Member States in the promotion of the needs of individuals in DRR programming.

4.3 LEXIS TOWARDS CHILD RISKS AND CHILD RIGHTS IN EU & MEMBER STATE POLICY FORMATION

You need to do much more than you are doing to reduce risks. Why should any children look like this if they are malnourished, or crushed, or flooded? We should be saying ‘Why? How can you accept this?’⁴⁰⁸

When a disaster occurs children are often overlooked, yet they can be the worst affected. At the time of a natural or manmade disaster, children may be frightened or traumatised, while also being at risk of separation from their families, without forms of identification, and can become potential victims to many forms of exploitation or abuse. In theory, a comprehensive approach to DRR also identifies the social vulnerabilities of children associated with disasters, with have a focus on marginalised groups such as children with particular needs surrounding a disaster.⁴⁰⁹ In doing so, lexical representation of child risks upholds child rights. The following section looks at EU and Member State representation of child risks and child in policy lexis in conjunction with the specific Articles 2,3,6, and 12, of the UNCRC⁴¹⁰ as the international doctrine for upholding child rights. This section looks initially at EU and Member State lexis of child risks, followed by analysis of EU and Member State lexis surrounding action to uphold child rights. The objective is to analyse whether policy lexis solely indicates the risks faced, or indeed, whether policies include measures of child-related praxis to protect children, and uphold child rights.

Lexis representing child risks

Depictions of child risks and child rights abuses as lexis and references to the UNCRC within EU and Member State policy demonstrate the perceptions of the EU and its Member States towards the vulnerability of children. Lexical manifestations of the Articles of the UNCRC of the risks to children and child rights abuses from EU institutions primarily surround Article 6

⁴⁰⁸ Everett M. Ressler, United Nations Children’s Fund, as cited in Sarah La Trobe and Paul Venton, *Natural Disaster Risk Reduction: The policy and practice of selected institutional donors*, (Middlesex: Tearfund, 2003), 10.

⁴⁰⁹ Terry Cannon, *Reducing People’s Vulnerability to Natural Hazards: Communities and Resilience [Research Paper No. 2008/34]*, (Helsinki: UNU-WIDER, 2008).

⁴¹⁰ Articles 2,3,6, and 12, of the UNCRC: a child’s right against discrimination, the best interests of the child, the right to life, survival and development, and the right to participation in decision-making policy and processes.

- the right to life, survival, and development. The predominance of child risks under EEAS policies coincides with the recognition of child vulnerability in the 2008 ‘Children in External Action’ policy package. The focal 2008 ‘Communication on Children in External Action’⁴¹¹ to a lesser extent depicts child risks, with vulnerabilities surrounding child exploitation rather as a withstanding issue to be addressed, than immediate risks to children, and with no explicit mentions of risks to children in natural disasters. Child vulnerability is largely endorsed by the adjoining ‘Working Paper on Children in Crises and Emergency Situations.’⁴¹² References to child vulnerability in the Working Paper feature both short-term and long-term risks. Protection issues, family separation, as well as long-term concerns of development, education, and exploitation are depicted, particularly where conflict scenarios see increased cases of children engaging in warfare as child soldiers, as well as the exploitation of female children. References to children in relation to Article 2 promoting the non-discrimination, Article 3 on the best interests of the child, and Article 12 promoting the participation of children in policy formation, remain minimal throughout EU and Member State policies.

To give context to the EU’s stance on discrimination, for the most part discrimination appears as general references. In the analysis of the EU’s institutional approach to child vulnerabilities coinciding with Article 2 above, risks to the discrimination of children are only referred to specifically in the 2010 policy document on child labour, through the lens of gender-based exploitation.⁴¹³ The policy alluded to child labour as difficult to ascertain due to unreliable data on child exploitation, particularly surrounding ‘undeclared economic activities,’ such as bonded labour and trafficking, which the policy document linked to the discrimination of children based on a child’s ethnic or national origins.⁴¹⁴ Trafficking itself is transnational by nature, which can go towards the reasons for which children are discriminated on the basis of their identity. The fact that the sole reference to specific discrimination is economically-focussed indicates, once again, the frequent misrepresentation of alternate forms of discrimination requiring social protection. A 2010 Press Release outlining the European Council’s position on child labour also implies a general push forward

⁴¹¹ Represented in Appendix II as EEAS 2008(a).

⁴¹² Represented in Appendix II as EEAS 2008(b).

⁴¹³ European Commission, *Combating Child Labour [SEC(2010)37]*, (Brussels: European Commission, 2010),10.

⁴¹⁴ *Ibid*, 10.

from the European Council to increase measures towards addressing child labour using a holistic approach to ‘discrimination’, as well as a regional and sector-specific approach towards preventing such forms of child exploitation.⁴¹⁵ Interestingly though, the Council recognised the issue as not only a violation of human rights, but the need to look at child labour as an issue of corporate social responsibility, involving a wider participation from the business community, international organisations, and civil society, to discuss socially responsible procurement processes at a multilateral level. This is a positive response from the Council in the response to draw on linkages with external actors involved in internal and external processes, as an effective means to reduce child rights violations, and increase protection mechanisms as promoted under human security.

Risks to the best interest of children are not mentioned at all, while risks to the participation of children are mentioned once in the 2008 Action Plan towards children in external action.⁴¹⁶ This policy package applies to all external action mechanisms, including ECHO, but if ECHO’s specific external policies contain no acknowledgement of child vulnerability, child protection against the risks faced does not translate to specific external action mechanisms, including ECHO and DIPECHO. ECHO policies exhibited no concrete examples of child risk. While not included in the content analysis as a specific mention of action towards child vulnerability, Article 39 of the 2007 Consensus for Humanitarian Aid alludes to vulnerability as an aspect of humanitarian need, which the EU and its Member States must respond to.⁴¹⁷ The Article refers to children as one particularly vulnerable group, while also broadly advocating for the mainstreaming of protection measures against gender or sexual abuse.⁴¹⁸

Child vulnerability and subsequent risk are represented throughout DEVCO policies. Risks to children from DEVCO surround long-term vulnerabilities such as exploitation, education and health, but with no reference to immediate risks. This is somewhat surprising due to the increased role of DEVCO in undertaking programmes similar to DRR, through the funding of climate change adaptation, which must address the causal factors and existing vulnerabilities

⁴¹⁵ European Council, *Council conclusions on child labour* (Brussels: Council of the European Union, 14 June 2010,) 2.

⁴¹⁶ Represented in Appendix II as EEAS 2008(b).

⁴¹⁷ European Community, *The European Consensus on Humanitarian Aid 2008/C25/01* (Brussels: Official Journal: 2008), Article 39

⁴¹⁸ *Ibid.*

surrounding a disaster. This includes both immediate and long-term risks. It can be argued the lack of immediate child risks in DEVCO policies is due to EU institutional delineation and the consideration of immediate risks to be the responsibility of ECHO, and yet none of ECHO's policies recognise child risks whatsoever.

The fundamental lack of responses towards child risks, and UNCRC Articles from EU institutional mechanisms is mirrored by the lack of recognition of the UNCRC from EU Member States. Only five of the 27 Member States recognised the Convention on the Rights of the Child in their external action policies. These five Member States have no correlation to old or new Member States, East-West or North-South geo-political stances.⁴¹⁹ The lack of Member State correlation in policy formation is a moot issue for child protectionism. By nature, rights are universal, and thus need to be detached from political decision-making. Child rights should not require political alignment of policies from Member States. Indeed, child rights and the ratification of the UNCRC should be seen as a universal obligation for duty bearers, and an opportunity for dialogue between all Member States to uphold responsibilities, to underpin child protectionism within foreign policy objectives and practices. The five diverse Member States, which have recognised the UNCRC could provide grounds to dissolve disparities in Member States' overarching approaches, to positively influence the other Member States to ratify the UNCRC in their foreign policy documents.

In addition to the weak representation of international obligations in overarching foreign policy documents, Belgium and Denmark are the only two countries with exclusive child-focussed policies for their overseas assistance, formed in 2007 and 2005 respectively.⁴²⁰ While somewhat dated, the two policies embody a rights-based approach to assistance and fully recognise the state's obligations under the UNCRC to protect children and their rights. Both states outline the four core principles of the UNCRC, with Denmark going further to outline its actions towards meeting its obligations to the Convention. Belgium's policy document classifies the principles of the UNCRC into areas of provision, protection, and participation to outline actions towards putting the Convention into practice in its foreign

⁴¹⁹ The five Member States with UNCRC references in foreign policy documents are Belgium, Denmark, Malta, the Netherlands, and Spain.

⁴²⁰ See Appendix II for full details of the policy documents.

policy objectives.⁴²¹ There is a strong focus on the rights to life, survival and development, and participation, but with little outline of action towards the principle of non-discrimination and the best interests of the child. For the latter, it is again arguably the definition of what constitutes the best interests of the child, which hinders explicit actions towards endorsing this Article.

The prevalence of recognition of child vulnerability focuses on Article 3 as the right to life, survival, and development with limited indications of the accompanying focal Articles. Denmark's child and partner policy,⁴²² and Estonia's development policy mention the risks of discrimination. Denmark explicitly mention minority, disabilities and gender related risks to children. Risks associated with inadequate levels of participation of individuals and groups in the various phases of policy formation and the decision-making process are highlighted by the Netherlands and Spain in their human rights and development policy respectively. In the overarching development policy of Spain covers the period from 2009 to 2012. The document describes the risks associated with a lack of *participación* of individuals and groups, particularly those most vulnerable, along with the importance of implementing structures to allow their voices to be heard. Against the context of human rights, the Netherlands discuss the violation of girls' right to participate in early phases of the decision-making processes, due to limited access to opportunities to participate in public and domestic debate. This is often hampered by traditional and cultural factors which are discordant to the universality of this right.⁴²³ In addition, the document highlights reduced participation of those experiencing hardship in decision-making prevents individuals the opportunity draw attention to their circumstances, and enrich their situation through the recognition of their right to the freedom of expression.⁴²⁴

References within Member State policies associated with Article 6 of the Convention of the right to life, survival, and development indicate wide-ranging existing vulnerabilities and potential risks to children, through the acknowledgement of both immediate and slow onset risks, within a technical and social context. For those with development policies, the slow

⁴²¹ Federal Public Service Foreign Affairs, Foreign Trade and Development Cooperation, *The Rights of the Child in Development Cooperation*, (Brussels: Plan Belgium and UNICEF Belgium, 2007), 5.

⁴²² Represented in Appendix II as DK (A) and DK (C).

⁴²³ Represented in Appendix II as NL(A), 2007, 43.

⁴²⁴ Represented in Appendix II as NL(A), 2007, 80.

onset risks to a child's health, education and general development, are considered, with specific examples of exploitation and abuse mentioned. Protection also has been highlighted by Ireland, Luxembourg, Malta, and the Netherlands in the context of ensuing risks to children and their rights. Indeed, Malta has the highest indications of child vulnerability out of all Member State development policies, surrounding both immediate and slow onset risks to children.⁴²⁵ While classified as a development policy, which consequently surrounds a long-term risk context, Sweden also recognise the immediate needs of children, which is assuring in the event of a natural disaster, so the immediate needs or those are attended to, as well as long-term concerns of exploitation and a child's health.⁴²⁶ Conversely, the humanitarian aid policies of Denmark and Ireland indicate risks to the development of children and child mortality, a core aspect of the Millennium Development Goals, and consequently do not reflect the immediate needs of children often associated with humanitarian assistance, adding to the confusion of policy content. The partner documents of Denmark and Germany indicate the impact to children's education and health, and protection. For Denmark, the focus surrounds a holistic approach from partners to protection, referring to the specific case of Save the Children protecting against the genital mutilation of girls, and early marriages.⁴²⁷ For child-based policy formation, Belgium and Denmark both have strong indications of child exploitation and abuse,⁴²⁸ with Belgium focussing on the prevention of conflict-orientated exploitation scenarios, and instances of sexual exploitation. Denmark states that in many regions, 'trafficking, sexual exploitation and economic exploitation are daily realities for children,'⁴²⁹ while highlighting risks surrounding conflict, poverty, health, and child protection. As the sole Member State reflecting potential risks to children in its DRR policy, the United Kingdom best reflects vulnerabilities in its 2006 DRR-centred policy, where vulnerability, in general, is complemented by specific illustrations of risks to a child's development and health surrounding a disaster. Unfortunately, the 2011 thematic policy on disaster resilience by the UK fails to recognise child vulnerabilities in depth, with a sole reference to child vulnerability, exemplifying the need for states to mainstream child risks throughout policy formation.

⁴²⁵ Represented in Appendix II as RO, 2010.

⁴²⁶ Represented in Appendix II as SE(C), 2010.

⁴²⁷ Represented in Appendix II as DK(C), 2011, 28.

⁴²⁸ Represented in Appendix II as BE(B) and DK(A).

⁴²⁹ Represented in Appendix II as DK(A), 9

Across the Member States, there is a strong level of acknowledgement of pre-existing vulnerabilities and the risks children face in a humanitarian and development context. These cover a range of risks from short to long-term issues, and from technical aspects post-disaster such as the risk of not meeting the needs of children, to social issues of exploitation, abuse, health, and education.

Lexis representing child rights

The following section looks at indications of EU and Member State action to uphold child rights aligning to Articles 2, 3, 6, 12 of the UNCRC. Through lexical analysis, this section reviews whether child rights are mainstreamed or isolated across EU and Member State foreign policy mechanisms, in order to reduce child vulnerability. With a significant amount of focus on the immediate and physical risks of children, corresponding to Article 6 on the right to life, development, and survival, emphasis lies on the physical protection of children. As such, the action-based lexis towards child protection in this section reflects the needs-based approach of many of the EU and Member States' policies.

The recognition of child protectionism as part of the internal policy formation of the EU has now extended the acknowledgement of child rights as part of Community external action in third countries. Yet the respect for the rights of children within external policy formation has been a gradual process within the last decade, and varies across the different agencies. Overall, representation of the UNCRC as the international basis for responsibilities of actors to protection children and their rights, and child rights is minimal in the EU external action policies analysed. Besides the child-centric policy documents included in this study, the only EU policy to include the UNCRC was the ECHO policy aforementioned concerning ECHO aid partnerships, where the acknowledgement of the Convention indicates the age of a child as 18 years or less.⁴³⁰ The policy document does not, however, reiterate the Convention's affirmation of the duties of countries, donors, and partners, nor does it affirm children as rights bearers. Representation of child rights in EU external action has been essentially achieved through the Commission Communication, "A Special Place for Children in EU External Action," and two supporting working documents in 2008. The policy package has

⁴³⁰ European Commission, *Partnership with DG ECHO: Supporting Documents* (Brussels: European Commission, 2010), 13.

become fundamental in promoting a rights-based approach to children and the protection of their rights in EU humanitarian action during times of crisis.⁴³¹ According to the data collation on lexical representation of children and the respective UNCRC rights, the adjoining working document, ‘Children in Emergency and Crisis situations,’ presents itself as a general outline of the dangers children are exposed to in crises situations, while also including preventative measures to specific threats. This is a promising initiative to address the vulnerability of children and risks they face, yet is not all-encompassing of the potential forms of exploitation or trauma children can face after a natural or manmade disaster.

The Communication and working documents are the only external action policies considered in this study to have explicit references of the core Articles of the UNCRC relative to international assistance, while providing various actions towards respecting child rights in external actions. The Communication itself affirms the responsibility of the EU and Member States to international and regional agreements, while broadly stating the areas of EU external policy where children and adolescents can participate, such as in trade policy, political dialogue, development cooperation, and humanitarian aid.⁴³² It cites the 2001 Commission communication on respecting human rights and democracy in third countries, with reference to a purely needs-based approach to emergency responses, ‘solely according to the victim’s needs.’⁴³³ Moreover, in one instance protectionism and the protection of rights is considered to be achieved through military intervention, or displacement:

“I mean, shelter you can provide shelter, and specifically in such a way that caters to the specific needs of children, the same you can do for women, that, I don’t have a problem with. You just have to be very careful when you start bringing in specific ... children have specific rights which we try to protect but there is a point where you have to say, well if we have to have guns, you know as a protection issue, then

⁴³¹ European Commission, *A Special Place for Children in EU External Action [SEC(2008)135]*, (Brussels: European Commission, 2008).

⁴³² *Ibid*, p. 7.

⁴³³ European Commission, *The European Union’s role in promoting human rights and democratisation in third countries [COM(2001)252]*, 13, as cited in European Commission, *A Special Place for Children in EU External Action [SEC(2008)135]*, (Brussels: European Commission, 2008), 6.

maybe it's the wrong place where we're setting this up, because they're not protected. It doesn't matter what we do, they're not in security. So we better do this, we should be doing this somewhere else."⁴³⁴

These examples of physical vulnerabilities and immediate needs form a restricted view of vulnerability, resulting in other risks, such as psychosocial risks, being disregarded. This is mirrored by concrete forms of protectionism putting children at risk, In the case above, military action, or the change of location of assistance requiring the displacement of children, which can render children more vulnerable. In addition to the context of humanitarianism, policies imply that human rights are to be addressed in later phases of development, rather than the EU's immediate assistance in a humanitarian context. But the classification of such child risks as developmental or long-term issues, does not in fact go towards reducing child vulnerability, and represent a blatant disregard for the required protection of children surrounding a disaster.

The lexis analysis of child rights policies broadly outlined efforts from the EU to address child rights, and yet despite this, all humanitarian assistance will only 'contribute towards respecting the rights of victims.'⁴³⁵ The use of the term 'victims' as the recipients of assistance can promote an environment of victimhood, where those affected by disasters are categorised into an oppressive sense where their capabilities following a disaster are not considered. As Mercer et al suggest, participation with those at risk of disasters assists in the empowerment of vulnerable groups.⁴³⁶ A narrow view of protection discounts preventative measures such as participation in policy formation to ensure better protection. To achieve effective DRR programming, participation in DRR decision-making must be based on effective engagement of those at risk, to enable self-empowerment rather than mere knowledge transfer.

⁴³⁴ Interview excerpt, ECHO Staff, 10/11/2010.

⁴³⁵ European Commission, *The European Union's role in promoting human rights and democratisation in third countries [COM(2001)252]*, as cited in European Commission, *A Special Place for Children in EU External Action [SEC(2008)135]*, (Brussels: European Commission, 2008), page 6.

⁴³⁶ Mercer et al., "Reflections on use of participatory research for disaster risk reduction," *Area* 40, no. 2 (2008): 181.

The following figure outlines the various types of action and protection mentioned in the chosen EU external policies to look at whether this view of protectionism and action toward reducing risk is consistent throughout EU external approaches.

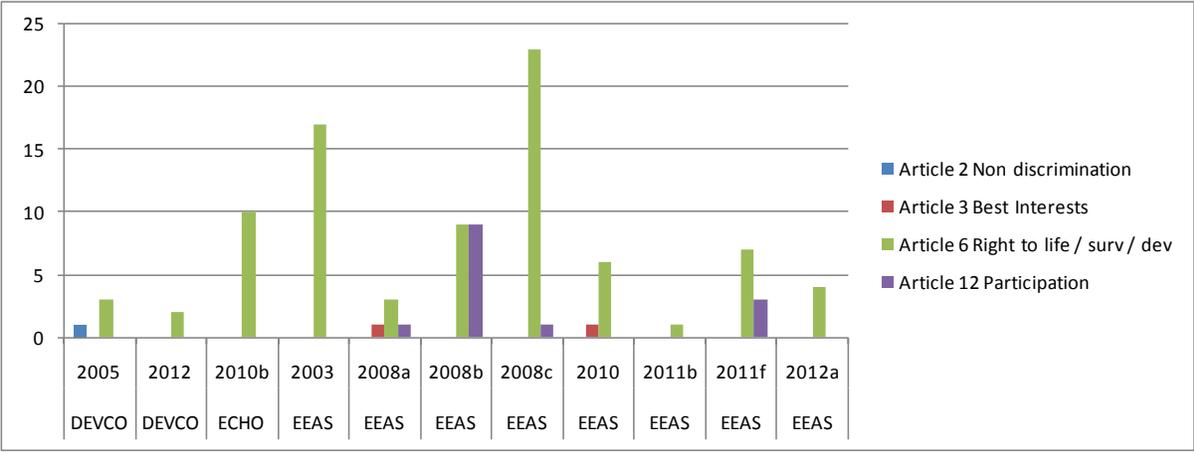


Figure 4.5 Mentions of EU lexis towards child rights in policy formation in adherence with UNCRC.

The Figure above represents the 11 external action policies that indicated specific actions towards reducing the vulnerabilities of children in an external setting. These actions were isolated to correspond with the relative Articles under the UNCRC. Action references to children and child rights in EU DRR strategies are minimal. Not only are there no specific mentions of child rights in any of the EU internal or external policies focussed on disaster risk reduction, there are also no broad indications of upholding the UN Convention itself. Regardless of the lack of recognition of child rights, there are some general references towards children within the external DRR policies of the EU. The 2009 DRR Communication highlights increased information dissemination through awareness-raising campaigns and education for children.⁴³⁷ The 2011 implementation plan indicated cross-cutting issues of gender, socio-economic vulnerability, environmental sustainability and vulnerable groups were alluded to but not expanded on in any form. The 2011 plan was thus a broad adaption of the 2009 Strategy, with improvements towards dialogue between actors, and a community-based approach, yet was not inclusive enough to describe what risks of vulnerable groups

⁴³⁷ European Commission, *EU Strategy for supporting disaster risk reduction in developing countries*, (Brussels: European Commission, 2009), 9.

such as children, would be included.

This assists in preparing children and informing them of possible risks they may face. These grassroots measures are vital to enhancing local ownership of disaster risk processes. The strategy does not, however, indicate any protection measures for vulnerable groups, nor did it include the participation of such groups in policy formation, which would enhance both accountability and ownership.

To implement the EU's holistic 2009 DRR strategy, the European Commission published a working document in 2011 outlining the strategies towards reducing risks in third countries.⁴³⁸ The document asserts it solely surrounds natural disasters and the policy does not apply to conflict situations. As stated previously, many risks faced during and following a natural or manmade disaster are parallel in both situations. Therefore, it could be more efficient to have a comprehensive child-focussed DRR policy to cover both areas. While this could cause institutional complications between DIPECHO and the EEAS, this could be a joint document applicable to both mechanisms. Paradoxically, the only DRR-related policy, which has multiple mentions of children, is the 2009 Communication on Disaster Preparedness in the Pacific.⁴³⁹ Children are discussed not only as a vulnerable group, but as a cross-cutting issue to be mainstreamed across Pacific DRR methodologies. This is promising in ensuring measures of protecting children and their rights are addressed at the various levels of governance, and across the different sectors. Information and education through awareness campaigns targeted at children assist in their protection, through the implementation of activities across the education system to assist in the creation of a 'culture of prevention,'⁴⁴⁰ There is a particular focus on DRR child-centric activities appropriate to remote communities within the Pacific.⁴⁴¹ While there are many elements of effective child-centric DRR programming cited, the policies would benefit from stronger acknowledgement of the

⁴³⁸ European Commission, *Commission Staff Working Document: Implementation Plan of the EU Strategy for supporting disaster risk reduction in developing countries 2011-2014*, (Brussels: European Commission, 2011.)

⁴³⁹ European Commission, *Commission Decision on the financing of disaster preparedness actions in the Pacific from the general budget of the European Union, [ECHO/DIP/BUD/2009/07000]*, (Brussels: European Commission, 2009).

⁴⁴⁰ European Commission, *Commission Decision on the financing of disaster preparedness actions in the Pacific from the general budget of the European Union, [ECHO/DIP/BUD/2009/07000]*, (Brussels: European Commission, 2009), 6.

⁴⁴¹ *Ibid*, 6.

participation in children in policy formation and implementation,⁴⁴² as this would allow for more effective vertical and horizontal mainstreaming of child rights to ensure effective DRM governance.

The majority of indications of action in Figure 4.5 above within the policies analysed reside under Article 6. Actions by the EU within its external policies represent a wide range of acts in ensuring the protection of a child's right to life, survival and development, as outlined in this Article. As anticipated, the majority of the responses to child vulnerability through external action in line with the UNCRC came from EEAS policy lexis, specifically the 2008 child policy package. The Communication itself surrounds long-term action towards children in EU external action, such as their development and education.⁴⁴³ The working documents go into more detail, with the Action Plan on child rights promoting long-term social issues of abuse and exploitation and cross-cutting themes including gender mainstreaming throughout all EU external actions.⁴⁴⁴ The Working Document on Children in Emergencies and Crisis Situations describes actions to reduce immediate vulnerabilities following a disaster such as family reunification and protection concerns. These short-term concerns in the aftermath of a disaster are coupled with longer-term risks including disease and ill health, exploitation and abuse, education and development. Not only are actions towards technical and social risks recognised, the working document also promotes preventative measures such as awareness-raising activities to highlight the risks children may face surrounding a disaster. Some of these instances could be considered an overlap with Article 2, representing the responsibilities and strategies of the EU, its Member States and implementing partners to ensure the best interests of the child, as exemplified by the cases of exploitation and abuse, family reunification, violence, and general protection against risks to a child's development.

Through the analysis of ECHO lexis, the 2010 partner document comprises the sole ECHO action toward child risks. This centres on awareness-raising, and action to address short and long-term social concerns. The types of child-centric actions included in the FPA supporting

⁴⁴² Mercer et al. "Culture and disaster risk reduction: Lessons and opportunities," *Environmental Hazards* 11, no. 2 (2012):79.

⁴⁴³ European Commission, *A Special Place for Children in EU External Action [SEC(2008)135]*, (Brussels: European Commission, 2008).

⁴⁴⁴ European Commission, *The European Union's Action Plan on Children's Rights in External Action*, (Brussels: European Commission, 2008).

documents include child friendly spaces, preventative measures to family separation, birth certificate registrations, foster care, family tracing, and education and recreational activities. Long-term abuse and exploitation risks are reduced through preventative training and education of children to avoid recruitment of demobilised children as child soldiers, whilst the certification of suppliers partnering with EU implementing organisations ensures against child labour. The inclusion of action to deal with social risks is somewhat unexpected from the humanitarian arm, which embodies a staunch stance on managing immediate, technical needs, rather than social risks. If these actions are included in the obligations of implementing partners, it would be beneficial to mainstream these actions throughout each of ECHO's humanitarian policy documents, to ensure a cohesive approach within humanitarian action by the EU and its Member States. This juncture between Articles and action can pose a problem in meeting the obligations of parties to reduce the risks posed to a child and their rights, and consequently abide by the Convention as a whole. The recognition of the need to increase child agency in humanitarian policy formation was evident in the 2008 action plan towards children in external action. This is encouraging in the consequent empowerment of children to voice their vulnerabilities and capabilities. This recognition is not far-reaching across external policies, but remains situated within child-centric policy formation or the overarching human rights legislation.

For DEVCO, the 2005 Consensus for Development under DEVCO highlights actions to manage long-term risks of exploitation and abuse, such as trafficking and child labour, achieved through dialogue with local partners, and implemented through regional and country strategy papers.⁴⁴⁵ The 2012 DEVCO Communication additionally highlights the slow onset risks to a child's development, particularly health, income, education and care, which can be addressed through effective social protection strategies. Equal and universal access to social protection through the lifecycle and for the most vulnerable must be intrinsic to policy dialogues with partner governments.⁴⁴⁶ In addition, the Communication asserts the EU can 'up-scale' assistance to develop systems when partner countries face a disaster, in order to assist quick economic and social recovery for affected populations, and the most vulnerable,

⁴⁴⁵ European Commission, *The European Consensus on Development* [2006/C 46/01], (Brussels: Official Journal of the European Union, 2005).

⁴⁴⁶ European Commission, *Social Protection in European Union Development Cooperation* [COM(2012)446], (Brussels: European Commission, 2012).

in the early phases of a disaster.⁴⁴⁷ This is important to ensure action towards the social vulnerabilities children can face following a disaster, when infrastructural and community systems are in chaos. In spite of this, it seems to be a retrospective course of action, which could be better implemented as preventative risk management prior to a crisis. A comprehensive social protection system, which can withstand the disaster cycle, would be more effective than the rapid establishment of a system in the immediate aftermath, which could have potential loopholes, and ultimately lead to increased vulnerability. Moreover, as this Communication is under the Commission development arm, rather than its humanitarian arm, this measure runs the risk of not being realised until later phases of reconstruction, which can increase levels of vulnerability, rather than in the immediate phase of disaster. The recognition of child rights throughout policy formation, to cover risks to children across the disaster cycle, is also a concern for Member States, where divergences in the approaches to child rights can lead to ineffective harmonisation of policies.

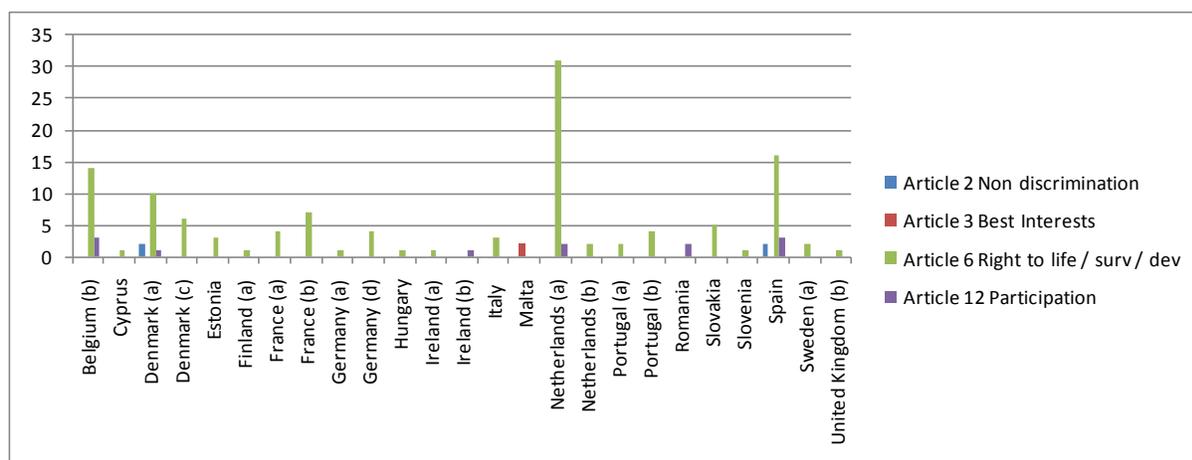


Figure 4.6 Mentions of Member state legis towards child rights in policy formation in adherence with UNCRC

According to the Member State lexical analysis depicted in Figure 4.6, while children are present within the majority of the policies, there is an extremely low count of references to action towards meeting the all obligations of the UNCRC, besides examples corresponding to Article 6. As such, Member State implementation of the Convention in its foreign policy runs parallel to the EU where action to ensuring a child’s right to life, survival and development is

⁴⁴⁷ European Commission, *Social Protection in European Union Development Cooperation* [COM(2012)446], (Brussels: European Commission, 2012), 10.

easier to be implemented than the other core Articles. This may be explained by cultural differences between donor & partner countries.⁴⁴⁸ Notions of discrimination, what is considered to be best interests of a child and ensuring children participate in the decision-making process could be considered by donors as problematic in the dialogue and implementation of strategies in third countries, despite the widespread recognition of these rights of children. Despite having a separate DRR document, there are minimal strategies included centred on children and child vulnerability, in order to reduce the risks of children through preventative measures. Indeed, some of the Member States without a DRR policy had more references to children and comprehensive strategies to reduce the risks of children through various actions in judicial processes, policy formation, partner programmes and dialogue, and preventative activities across the disaster cycle. As such, one can question the need for a separate DRR policy document, if the overarching policy is comprehensive of actions to reduce child vulnerability and ensure the protection of children and their rights.

For EU Member State DRR policy formation, Germany's 2010 DRR policy highlights social elements of a society, including the legal backdrop and the level of respect for human rights, are highlighted as determining a community's level of vulnerability.⁴⁴⁹ Children are also included as aspects of a community's vulnerability. While not providing specific actions to reducing social vulnerability, or that of children, the policy document identifies the role of decentralisation and education as important aspects towards mainstreaming DRR.⁴⁵⁰ The DRR policy of Finland,⁴⁵¹ with quite a recent publication in 2011 has no recognition of rights, social vulnerabilities or marginalised groups in its 'checklist' to implementing DRR, but remains focused on the technical, infrastructural aspects of disaster risk management. This is somewhat surprising considering the increased global recognition of societal factors as influential to disaster risk and the importance of including social aspects in DRR policy and subsequent programming. The two DRR documents produced by the Department for International Development (DFID) of the United Kingdom represent two different attitudes towards needs and rights in DRR strategies. The basis of the strategy papers shifts from high

⁴⁴⁸ Mercer et al. "Culture and disaster risk reduction: Lessons and opportunities," *Environmental Hazards* 11, no. 2 (2012):79.

⁴⁴⁹ German Development Cooperation, *Disaster Risk Management*, (Bonn: Schoemer Gruppe, 2010), 9.

⁴⁵⁰ German Development Cooperation, *Disaster Risk Management*, (Bonn: Schoemer Gruppe, 2010), 9.

⁴⁵¹ Ministry for Foreign Affairs of Finland, *Checklist on DRR issues*, (Helsinki: FORMIN, 2011).

references to needs in the 2006 policy, focused on the employ of DRR to assist in poverty reduction, to the recognition, albeit minimal, of rights in the 2010 DRR document centred on the concept of resilience. Human rights and the rule of law are viewed as an influential factor to risk, where political structures can be put under stress, and consequently more at risk in the context of a disaster.⁴⁵² The policy does not however allude to measures to address human rights abuses within the disaster cycle through DRR programming. Despite no recognition of child rights or the UNCRC, the DFID 2006 DRR policy were the only of the four policies to have any significant references to children, and cites preventative action towards child vulnerability through educational programmes.

Member State action towards the non-discrimination of children is minimal. Thanks to a new legal basis for humanitarian aid, however, Spain is able to take legal action against cases of discrimination in humanitarian aid. A prosecutorial methodology towards ensuring child rights in a disaster context, provoked by an event taking place, when combined with preventative measures to reduce the risk of discrimination occurring, and protection across the disaster cycle, can allow for a holistic approach to the respect of child rights. Indeed, Spain sees education as crucial to the prevention of non-discrimination, and supports activities to combat the discrimination of children, particularly towards child exploitation and abuse, promoting psycho-social support, foster care, and adoption programmes.⁴⁵³ To mainstream non-discrimination in partner country legislation, Denmark assists in the formation of National Plans of Action, in addition to cross-sectoral non-discrimination activities for both male and female children, allowing for vertical action towards child rights at the different levels of governance and horizontal implementation within the various divisions of governance.

The data analysis illustrated Malta as the sole Member State conscious of the best interests of the child. Malta acceded to the EU in 2004, and in the following few years, embarked upon its role as a donor-country.⁴⁵⁴ Malta's promotes the rights of children through the engagement

⁴⁵² DFID, *Defining Disaster Resilience: A DFID Approach Paper*, (London: DFID, 2011), 8.

⁴⁵³ El Consejo de ministros, *Plan Director de la Cooperación Española 2009-2012* (Madrid: Consejo de ministros, 2009).

⁴⁵⁴ European Commission, "Malta – Donor Profile", http://ec.europa.eu/europeaid/what/development-policies/financing_for_development/documents/malta-donor-profile.pdf, Accessed: 18 October 2013.

with child-focussed partner organisations and child-centric initiatives, as actions towards upholding the best interests of the child, in support of Article 2.⁴⁵⁵

The common acknowledgment of Article 6 of the UNCRC on the child's right to life, survival, and development is apparent in the inclusion of some form of child-centred action towards this Article displayed by 18 of the 27 Member States included in the study. For the majority, this represents measures to address the longer-term aspects of child development as negative occurrences following a disaster, such as health issues, education, and forms of abuse and exploitation. However, the Netherlands focuses on addressing the immediate needs of children, through the employ of needs assessments in its humanitarian aid policy. Despite this technical approach to risk management, the human rights foreign policy document of the Netherlands suggests long-term, socially-orientated risks are recognised through mechanisms to protect against human rights abuses, and several forms of exploitation. Some Member States focussed on the social aspects of disasters in their thematic policy documents. Denmark, which continued its comprehensive rights-based approach to policy formation in their child-focussed document, referred to measures towards both immediate and slow-onset risks, and technical and social issues. The needs and rights of children are reinforced through programmes towards child protection, such as education, awareness raising, reintegration of child soldiers, and ensuring such activities are included in the National Action Plans of partners. In addition, the Danish policy for partner agencies on the monitoring of cross-cutting issues suggests preventative measures such as capacity building and governance structures in ensuring protection against child rights abuses in humanitarian situations.

Several Member States recognise the importance of participation of citizens, particularly those with particular needs or vulnerabilities, in policy formation. Along with participatory actions from Belgium and Denmark in their child-focussed policies, Spain identifies its role as the primary agent for the protection, promotion, and participation of children through an integrated perspective based on social cohesion.⁴⁵⁶ Participation is reinforced through the establishment of participatory channels for young people and their families, which in addition

⁴⁵⁵ Government of Malta, *An Overseas Development Policy and a Framework for Humanitarian assistance for Malta* (Government of Malta, 2007), Clause 3.10.4.

⁴⁵⁶ El Consejo de ministros, *Plan Director de la Cooperación Espanola 2009-2012* (Madrid: Consejo de ministros, 2009), 165.

to greater understanding of their vulnerabilities and capabilities, can promote the engagement of youth as active citizens.⁴⁵⁷ Romania demonstrates its capacity as a donor and recognition of the importance of youth engagement through the funding of project-based civic education and community participation.⁴⁵⁸

4.4 CONCLUDING THOUGHTS

Through lexical content of policy formation, this chapter has shown the differentiation between EU Commission mechanisms, and EU Member States in the approaches and measures towards acknowledging children and child rights through lexical references in policy formation. This chapter has indicated a comprehensive view of risks faced by children, both in the short and long-term, needs to be achieved in policy formation. The resulting analysis indicated the need for the EU and Member States policies to adopt a stronger focus on reducing risks by upholding the rights of children, through the employ of rights-based lexis to reveal rights-based DRR praxis, specific to the Articles of the UNCRC. The interconnectivity of risk and rights in lexis, through the embodiment of a rights-based approach, generates a basis of applying human security in policy formation.

To review the European Community's approach to risk, and establish how the EU and its Member States address child rights in DRR programming overseas, this chapter reviewed the internal policies which influence the formation of an effective European DRR strategy, both common and those of the Member States. The unique institutional structure of the Community has significant effects on the legislative and executive decision-making of the EU towards DRR in third countries. The lack of cohesion in policy formation, and disparities of lexis across the institutions highlights the potential need to better compartmentalise DRR within its external institutions, and review child lexis surrounding the risks children face, to uphold child rights under its international obligations. Not harmonising disaster terminology across the institutions of the EU is counter-productive. As highlighted through the human security framework, lexis in policy formation measures in core external action policies not only channel the values of the EU, but lexical disparity undermines the position of the EU. It

⁴⁵⁷ El Consejo de ministros, *Plan Director de la Cooperación Espanola 2009-2012* (Madrid: Consejo de ministros, 2009), 165.

⁴⁵⁸ Romanian Ministry of Foreign Affairs, *New donors can make a difference!* (Bucharest: Development Assistance Unit, 2010), 12.

can cause difficulties for not only those acting within the Commission, but for the Parliament, and Member States who are in the process of implementing their own DRR policies. Disparate views amongst the EU and Member States regarding holistic policy formation, inclusive of human rights, or separate human rights and DRR policies, beg the question - is it important to have a separate child-centric policy formation to ensure action to address child vulnerability? Or does it suffice to incorporate action into overarching aid policies, but run the risk of marginalising children? According to the Danish Ministry of Foreign Affairs, Danida, in their Guidelines on Children in Danish Development Cooperation, it is more efficient to address the specific rights and needs of children when targeted in a separate policy document, than if they are embedded within overarching policies.⁴⁵⁹ Holistic foreign policies are often only targeted at adults, and do not recognise specific vulnerabilities of societal groups.

In addition, choices of lexis and policy formation act as precursors towards the obligations of international actors, and what will eventuate in humanitarian and development assistance in partner countries. For the EU, action-based lexis to reduce child risks in external action strategies focuses on assisting partner countries in meeting their obligations towards child protection and child rights, and the presence of child rights in bilateral and regional dialogue. However, one could question the EU's role in imparting assistance for the portrayal of child rights in partner countries' policy formation, considering the lack of presence of children and their rights in the EU's own policy formation. This is particularly in the case of DRR and DRR implementation strategies. Perhaps, for the EU it is a case of reduced accountability and transparency due to the overlap of responsibilities of its institutions and external action mechanisms, as this chapter has revealed. Human rights, are representative of one of the EU's core principles, and consequently embody Member States' internal obligations to uphold human rights in policy formation.⁴⁶⁰ As donors, the EU and Member States must uphold human rights as part of their international obligations to protect those at risk, particularly

⁴⁵⁹ Danida, *Children and Young People in Danish Development Cooperation – Guidelines*, (Copenhagen: Danish Ministry of Foreign Affairs, 2005), 13.

⁴⁶⁰ Becker et al., "Human Rights in EU Law," *Human Rights Law*, eds. Brid Moriarty and Eva Messa, (Oxford: Oxford University Press, 2012), 174

through strengthening partnerships.⁴⁶¹ For some partners, both governmental and non-governmental entities, human rights can be a sensitive issue, and therefore often can be sidelined for other more pressing economic, political, and environmental priorities. It is then a question of *how* the EU translates human rights from a fundamental principle and upholds its international obligations, in its practical applications of lexis in policy formation to human rights praxis in external action.

There is consequently a direct correlation between lexis in policy formation and the implementation channels, through the partnerships the EU holds with actors external to the EU active within Europe, in other regions, or in-country. However, the effectiveness of the translation from policy to praxis is conditional on the subsequent evaluation, from within the EU, and from partners, of policies and institutional structures, to ensure it upholds its obligations.⁴⁶² More importantly, policy evaluation can confirm if, in reality, the actions stated in policies are realised in making a difference to address the vulnerability of children throughout the disaster cycle, whether through effective preventative or protective DRR measures. The next chapters analyse measures of praxis at an institutional level, and local level, to review the second component of the lexis-praxis methodology of the human security model. They examine whether overarching child rights and specific measures of child protection are more effectively implemented by way of mainstreaming across policy and praxis, or specific identification of child risk and child protection in praxis mechanisms.

⁴⁶¹ Lloyd Axworthy, 'Human Security and Global Governance: Putting People First,' *Global Governance* 7, no. 1 (2001): 22-23.

⁴⁶² Barkin, J. Samuel, *International Organization: Theories and Institutions*, (New York: Palgrave Macmillan, 2013), 48.

CHAPTER V

EU INSTITUTIONALISATION & PARTNER DIALOGUE FOR DRR IMPLEMENTATION

5.1 INTRODUCTION

From EU and European Member State DRR lexis in DRR policy formation in the previous chapter, this chapter reviews various aspects of EU and Member State praxis in the implementation of DRR. Praxis as part of a rights-based approach centres on accountability and transparency in governance, and makes use of multilateral, regional and local implementation channels, in order to reduce vulnerability and ensure rights are upheld. This chapter uses the model of human security and a rights-based approach to review the EU-partner relationship in the implementation of child-centric DRR projects. To review EU DRR praxis through the rights-based impact assessments,⁴⁶³ lexical data analysis from policy profiling in Chapter III shifts to in-depth data analysis of the functional, fiscal, rights and child protection aspects of EU partnerships in order to measure the effectiveness of implementing DRR. In doing so, this analysis reviews whether EU praxis reflects its responsibilities to uphold rights as part of its external action.

This chapter firstly examines the EU's infrastructural basis for implementing DRR, and reviews the EU's channels for financing DRR programming. Through policy profiling as part of the human rights impact assessments for this research, this chapter identifies the ramifications of the decision by the EU to administer DRR through the European Commission's humanitarian arm, ECHO, rather than through DG DEVCO. The analysis of the EU's institutional approach to DRR programming and funding mechanisms leads to a

⁴⁶³ The data components of the rights based impact assessments are outlined in Appendix II

review of the FPA system, and policy decisions for European FPA agency selection. This is undertaken to reveal trends in the EU's support for European agency DRR programming, in particular child-centric DRR partners.

The second level of the human rights impact assessments applicable to this chapter surrounds analysis of EU-financed DRR programming, evaluating the themes of child risks and child protection in DRR programming. Thematic analysis allows for an enhanced understanding of DRR implementation, and how FPA partners undertake child-centric DRR programming in conjunction with humanitarian or development assistance activities.⁴⁶⁴ The approach of DRR programming through FPA partners denotes the alignment of DRR activities with the EU's humanitarian or development Directorate General, and the effectiveness of EU channels in facilitating partnerships between the EU and agencies undertaking DRR. Child-centred DRR projects are then isolated into geographic and partner trends to review the financial assistance afforded to certain countries and partners for DRR programming. Subsequently, fiscal and thematic trends on EU funding demonstrate whether partner activities enhance child protection surrounding disasters.

As the third tier of the rights-based impact assessments, data from interviews with European Commission staff at a European and local level, in addition to European partner agencies who have applied for and / or undertaken EU-financed humanitarian, development or DRR projects. The disclosure of information through these interviews regarding EU processes at an institutional level, assists in evaluating the EU's effectiveness in DRR programming. As part of a rights-based approach to DRR programming, this centres on accountability and transparency throughout the DRR project cycle, to cover risks throughout the disaster cycle, and consequently uphold the rights of those at risk. Funding proposals, assessments, monitoring and evaluation of project deliverables, ECHO's reporting requirements of partners and the reflection and dissemination of project outcomes are reviewed to assess whether the

⁴⁶⁴ To review the thematic trends of the FPA partners, website content of the partners alongside the pairing of data collated from the GLIDE database and Financial Tracking Service, administered by the Asia Disaster Reduction Centre, and the UN Humanitarian Office, OCHA respectively. This universal approach filtered to information published on the websites of FPA partners focussed on children, in addition to data associated with funding from the EU agencies to provide assistance in the Asia Pacific. The collation of data from the 191 FPA partners of 2011⁴⁶⁴ generated activities of 24 FPA partners focussed on child vulnerability in their projects, pertaining to disasters and general development.

EU's support for DRR programming is accountable and transparent, and effective in the implementation of its funded projects. Equally important are the indications of protection and empowerment in the implementation of EU-financed projects to future-proof against child vulnerability. This evidence base reveals the defence of, or barriers to effective EU DRR partnerships and the implementation of EU-funded DRR programming. This provides a foundation of EU praxis at an institutional level to review the localisation of EU praxis within the Asia Pacific in Chapter VI.

5.2 TRENDS OF EU PARTNERSHIPS IN DRR PROJECT IMPLEMENTATION

There is a general disregard by states to translate their obligations towards human rights through the lexis indicated within foreign policy into the implementation of human rights into external praxis. In the disaster context, there can often be a focus from donors on immediate responses when providing assistance, but equally, if not more important, is ensuring external activities uphold the rights of those at risk, as the foundation for humanitarianism. Often the two approaches can be at loggerheads for international actors such as the EU. Yet as Sen states, duty bearers have a responsibility to perceive human rights as freedoms.⁴⁶⁵ Internal and external praxis must 'safeguard and expand these freedoms.'⁴⁶⁶ EU partnerships must maximise on existing implementation channels, through effective governance, and engagement with partners - a solution often undervalued at the executive level.⁴⁶⁷

Reflection on the partnerships between the EU and its partners assists in understanding the decisions of the EU in financing DRR programming, and whether it upholds its responsibilities to protect children and child rights, as part of its internal and international obligations. Analysis of partnerships at a European level reflects not only the translation of the EU's principles in praxis, but measures the effectiveness of EU partnerships in the filtration of the protection of children and child rights through to the local level, in the subsequent chapter.

⁴⁶⁵ Amartya Sen, "Human Rights and Capabilities," *Journal of Human Development* 6, no. 2 (2005): 152.

⁴⁶⁶ Amartya Sen, "Human Rights and Capabilities," *Journal of Human Development* 6, no. 2 (2005): 152.

⁴⁶⁷ Stephan Keukeleire and Jennifer MacNaughtan, *The Foreign policy of the European Union* (New York: Palgrave Macmillan, 2008), 251

As previously stated to protect children throughout the disaster cycle, a rights-based approach to DRR promotes the recognition of social vulnerabilities throughout the disaster cycle, with the focus on reducing immediate and slow onset risks to children. Investigations into child-focussed DRR projects identifies whether there has been an increased recognition of risks to children, and the translation from interrelated lexis in policy documents explored in Chapter III to DRR programming, in order to reduce such risks. There is contention over whether to mainstream child protection into holistic DRR programmes, but in doing so, this potentially marginalises children and the risks they face. Alternatively, whether it may be more effective to have specific child-centric projects focussed on the child resilience but can potentially disengage children from the whole community approach to DRR. Child-centric DRR projects in particular are an area which lack implementation. Previously this was attributed to the lack of evidence base in the documentation of the circumstances children are in surrounding a disaster, and inadequate child agency in policy formation and disaster mitigation. As Cutter suggested in 1995:

“...children currently bear a disproportionate burden of environmental degradation in both the developed and developing countries yet have restricted abilities to adjust to or mitigate the consequences of these deteriorating environmental conditions. As the driving forces behind environmental change become better documented, more reliable data on the differential impacts on women and children will be available. When we can adequately document impacts, then we can address likely individual and societal adjustment strategies for these sub-populations, strategies that will no longer marginalize women and children, placing them in the terra incognita of forgotten casualties.”⁴⁶⁸

The increase in recognition of the vulnerabilities and capacities of children surrounding natural disasters, in the field of DRR since this statement from Cutter is limited but important

⁴⁶⁸ Susan L Cutter, "The Forgotten Casualties: Women, Children, and Environmental Change," *Global Environmental Change* 5, no. 3 (1995): 194.

in the role children play in implementing DRR at a local level. The reference to various societal factions including children, and the identification of risks they face, is not only reliant on recognition of risks in policy and programming in order to reduce marginalisation, but requires the additional level of empowerment, through the engagement of individuals and groups in decision-making.⁴⁶⁹ Participation in the implementation of programming is also important to assist in identifying specific risks according to various vulnerabilities, and identify their capabilities throughout the disaster cycle.

The primary objective of the investigations into EU FPA partners was to review ECHO decision-making towards European partners. In turn, if priority was given to large organisations or certain Member States, and the thematic features of the projects undertaken. In doing so, trends in EU FPA partnerships reveal whether there is a translation of the EU's approach in lexis to effective DRR praxis in protecting children and child rights. An initial holistic approach to EU partnerships in the Asia Pacific therefore involved scoping of the FPA partners.

EU FPA partner trends

Data analysis of the FPA partnership agreements demonstrated a concentration of FPA partnership agreements with organisations located in large Member States. As the country with the highest number of organisations holding FPAs with the EU, the UK positions itself well above the other states, holding 41 agreements in 2011. This is somewhat surprising given the UK is not considered to be a Member State which is fervently dedicated to European integration, and prefers on many occasions to retain its sovereign rule, particularly surrounding foreign policy and engagements overseas. Besides the UK, countries with numerous organisations holding partnership agreements with the EU represent the 'old' Member States, which formed the European Coal and Steel Community in the 1950s, as the establishing supranational system of the European Union. France, Italy, and Germany along with the Belgium, Netherlands, and Luxembourg hold nearly half of the partnerships, despite the significantly low count of Luxembourg. In tandem with funding organisations located within Member States, the EU also holds partnerships with organisations residing in

⁴⁶⁹ Martha C. Nussbaum, *Creating Capabilities*, (Cambridge, Mass.: Belknap Press of Harvard University Press, 2011), 120.

European countries, which do not form part of the Community, such as Switzerland. The extension of international assistance provided by the EU through non-Member State European countries is positive in supporting the impartiality clause, which underpins European humanitarian assistance. The overall distribution levels of FPA partners is mirrored by the geographic locations of child-centric organisations. The majority of child focused humanitarian organisations concentrated in the United Kingdom, Germany, Italy, and the Netherlands, which is consistent with the overall distribution of FPAs, but the number of child-centric organisations, are minimal.

There is also limited scope of the EU partnering with European organisations with restricted capacity to implement comprehensive aid programming. Financial data accumulated until 2011,⁴⁷⁰ illustrated that significant amounts of EU funding was received from partners located in the following Member States: Germany, the UK, Italy, France and Austria. These international organisations have the capacity to reach countries in the Asia Pacific, despite their distance from Europe. Indeed, the positive comments from both European and in-country FPA partners of ECHO in Figure 2.3 of Chapter II, as flexible and accommodating came from representatives of large international organisations, which had a long-standing relationship with ECHO and the capacity to generate the project proposals, fulfil the objectives, and produce the deliverables. As an ECHO representative remarked:

“If we took any NGO that comes through the door, you know, you would have the problem of do they have qualified staff, do they know what they’re doing, do they have access, do they have infrastructure, can they report back to us (...)”⁴⁷¹

In addition to the frequent selection of organisations with the capacity and resources, there is also a concentration on those organisations from the large or old Member States formerly listed. This domination of organisations from the majority of the founding Member States, as the most active goes against the EU rhetoric present in the policy documents, where the EU

⁴⁷⁰ From both the FTS system and FPA partner dataset.

⁴⁷¹ Interview excerpt, ECHO Information Officer, 25/02/2011.

promotes a harmonised approach to aid,⁴⁷² when in reality it is those which the countries have the capacity and the mandate to support large organisations becoming EU FPA partners. As Mahoney and Beckstrand state, organisations favoured by the EU represent those with a recognised capacity to produce results.⁴⁷³ Partner organisations from recently acceded, or smaller Member States may be less active in the Asia Pacific as they do not have the capacity to promote activity in the Asia Pacific, and their strategies focus instead on neighbouring regions in need such as Africa or Eastern Europe.

Data analysis reveals that there is limited recognition of organisations involved in protecting children surrounding disasters and general development. From the 188 FPA partners, 24 implemented solely child-centric activities. Of the 484 projects logged, 100 were from the 24 child-centric FPA partners. According to the information on the websites of the 24 child-centric FPA partners,⁴⁷⁴ the projects implemented vary in the risks that they covered, with a number of projects consisting of several different activities. FPA partners solely implementing projects surrounding the vulnerability of children represent just 12% of all partnerships held with European partners, excluding international organisations. These statistics demonstrate the low representation of partnerships held between the EU and child-centric organisations, which administer DRR programming, and which promote a holistic approach to child risks and upholding child rights. Consequently, the limited responses of the EU to translate child rights from overarching policy lexis leads to questions over child-related praxis in programming at a local level in order to respond to its responsibilities of protecting children and their rights. A review of the representation of FPA agencies in the Global Financial Tracking Service for humanitarian and development aid, confirmed that of the 24 child-centric FPA partners, only 10 of 101 agencies featured in the Asia Pacific disaster funding received from EU agencies. The projects in the Asia Pacific have been undertaken by mainly large international organisations, with the activities surrounding mainly immediate assistance and reconstruction, even general development such as wells. Only one of the

⁴⁷² Christine Mahoney and Michael J Beckstrand, "Following the Money: European Union Funding of Civil Society Organisations," *Journal of Common Market Studies* 49, no. 6 (2011): 1339-1361.

⁴⁷³ Ibid, 1358.

⁴⁷⁴ Data analysis of project implementation is dependent on regular updating by the partner organisations of the information on their websites. Often information available surround finished projects, rather than continuing or future projects. As such, the information visible on their websites may not fully reflect the levels of activity by organisations.

projects contained child protection, education, and health, along with child protection spaces and training for internally displaced children in Timor Leste, surrounding civil unrest. DG DEVCO's funding mechanism, EuropeAid is also acknowledged in one instance where Enfants du Monde administered development assistance to assist children with disabilities in Vietnam to improve standards of education and health. This minimal recognition of EU funding on the partner websites does not reflect reality, according to the Financial Tracking Service, where funding from the European Commission agencies financing these major European humanitarian organisations to provide assistance is much higher.

FPA activity trends

The activities of the agencies depicted on the websites have been analysed to review the thematic foundations of the projects carried out by these organisations, according to the major themes of this research and underlying aspects of the human security model for DRR. That is, the concentration on the provision of immediate assistance, specific recognition of DRR, social vulnerability, child rights, and child protection – either immediate or long term. Of the roughly two hundred European organisations holding FPAs with the EU, none are DRR focussed and 22 carry out such activities. Overt mentions of DRR in project descriptions correspond to long term assistance, and aid towards education; community reconstruction; disaster preparedness – the only instance of DRR featuring ECHO funding on Plan UK's website; and, finally, one case of strengthened child-led DRR, following Cyclone Sidr in Bangladesh. While these were not promoted as DRR explicitly, cases of activities surrounding social vulnerabilities and long term child protection issues represent a holistic approach to risk reduction, as supported by a rights-based approach. Particularly as they were promoted alongside activities of general development, thus bridging the gap between humanitarian and development assistance. While these were not promoted as DRR explicitly, the cases of activities surrounding social vulnerabilities and long term child protection issues represent both corrective and prospective risk reduction, particularly as they were promoted alongside activities of general development.

The child-centric FPA partner activities, for the most part, concern general humanitarian assistance, applicable to all affected populations. The assistance provided through the projects tends to the immediate needs of all disaster victims, such as aid kits, essential items and the

provision of food, shelter and water. While several of the partners mentioned reconstruction, this could be considered as short term and not necessarily long term developmental assistance. In a positive turn, there were several projects stressing social issues which correspond to various phases of the disaster cycle, including support against slow onset risks, such as the provision of psychosocial help, improved education, support for abuse victims, training for teachers, and the social integration of children.

There is a significant lack of representation of child rights in the FPA partner activities. FPA partners only mentioned child rights twice in their projects, both in the context of increased awareness and general development. World Vision promoted child rights as part of their activities surrounding both immediate aid and reconstruction, particularly through increased awareness of rights of disabled children following the 2004 Tsunami. Child rights were also emphasised by Care Austria alongside general development and peace building in East Timor. A third of the activities undertaken in the projects promoted child protection measures corresponding to immediate risks, or the response phase of a disaster, such as reunification of families, child friendly spaces, and psychological assistance in the aftermath of a disaster. Child protection measures aligned with long-term development of the reconstruction of communities included the rebuilding of schools, psychosocial awareness and education of children and teachers, the creation of a helpline and the construction of orphanages.

The activities depicted on the FTS matched against natural disasters in the Asia Pacific, support the trends depicted on the websites of the FPA partners. Of the 38 instances of projects by the 10 child-focussed partners funded by the EU, which are active under the FTS, the majority surrounds immediate aid, with minimal activities towards DRR or children, let alone child-centric DRR. Despite being administered by child-focussed agencies, such as Plan International and Enfants du Monde, there is an insignificant amount of activities, explicitly classed as representing child protection. It is unknown whether the development aid activities indicated were child-centric, as the project narratives were not as descriptive as the detail given on the websites. The long-term child protection measures surrounding health matters or development activities for displaced children could double as DRR activities, similar to those depicted above.

The narrow review of the child-centric FPA partner activities demonstrates that despite the EU external action policies promoting a rights-based approach to aid, it is clear that the activities funded centre frequently on technical issues in humanitarian assistance. Examples of these technical aspects of natural disasters surround the immediate provision of food, and general humanitarian assistance, namely food, shelter, and water. Similarly, for development assistance, child protection in a development setting is successive to issues of fishing rehabilitation, health, water and sanitation. Similar to the trends of the FPA websites, there are also cases of assistance to manmade disasters, primarily Myanmar and Timor Leste. Indeed, the majority of cases reflecting child protection on the FTS data for FPA partners, surround manmade disasters, where child protection centres have been established or there was all-purpose protection for internally displaced children affected by conflict.

As aforementioned, there can also be overlap in the institutional accountability towards risks in natural and manmade disaster risks. EU institutional concerns extend to the relationship between activities undertaken by ECHO and the EEAS.⁴⁷⁵ As Bindi and Angelescu suggest, tensions between EU foreign policy mechanisms continue to be at odds, even following the adoption of the Lisbon Treaty, which aimed at streamlining EU external action.⁴⁷⁶ Through the European Consensus for Humanitarian Aid,⁴⁷⁷ ECHO does provide assistance for both natural and manmade disasters, but DIPECHO firmly provides funding to prepare for the response of natural disasters only. The duality of risks relating to natural and conflict as a manmade disaster is often disregarded in discussions surrounding DRR,⁴⁷⁸ particularly in EU policy documents. The difficulty being that the involvement of the EU in crisis management can affect ECHO's activities and underlying mandate of respecting humanitarian principles:

“Usually it works, I mean there are always situations where humanitarian principles are being compromised, particularly by difficult regimes, difficult governments, we've seen that in

⁴⁷⁵ Martin Holland and Matthew Doidge, *Development Policy of the European Union*, (Basingstoke: Palgrave Macmillan, 2012).

⁴⁷⁶ Federiga Bindi, and Irina Angelescu, “The Open Question of an EU Foreign Policy,” *The Foreign Policy of the European Union*, (Washington DC., Brookings Institute Press, 2012), 330.

⁴⁷⁷ European Commission, *European Consensus for Humanitarian Aid*, (Brussels: European Commission, 2007).

⁴⁷⁸ Ben Wisner, “Violent conflict, natural hazards, and disaster,” *The Routledge Handbook on R2P*, eds. W Andy Knight and Frazer Egerton. (London; New York: Routledge, 2012), 71-81.

Sri Lanka, we are seeing that in Myanmar, a very prominent case...⁴⁷⁹

The recognition of the overlap of risk surrounding disasters, as exemplified by both practitioners and EU FPA partners can assist in streamlining assistance to recipient countries, and more importantly assist in the protection of children and increased awareness of the risks they face. One interview respondent considered the duality of risks to be an issue amplified by institutional barriers:

“ I don’t think anyone’s dealing with that very well...Outside food security in Africa, where people are used to chronic crisis, where you need to have a certain flexibility between doing developmental work and responding to, let’s say stressors, I don’ t think the system as a whole is structured that way – it’s still structured into relief and development. Within development, it’s structured into sectors – even getting sectors to talk to each other is a bit of an effort. So that relief-development divide just doesn’t work. They’ve tried to make you work around reconstruction and recovery...”⁴⁸⁰

One other interview participant, working for an international organisation, which held an FPA with the EU supported this implementation barrier, stating that the institutional structure, “affected the interface between conflict prevention and DRR programming.”⁴⁸¹ Yet according to the FPA partner websites, there were several projects undertaken by the FPA partners in response to manmade disasters, namely conflict situations around the Asia Pacific, in addition to instances where projects incorporated activities in response to both natural and manmade disasters affecting the recipient countries. Some of the DRR projects explicitly refer to the reduction of risks associated with both conflict and natural disasters, while others include activities representing DRR in the sense they reduce the risks surrounding the hazards in

⁴⁷⁹ Interview excerpt , ECHO Staff, 10/11/2010.

⁴⁸⁰ Interview excerpt, 12/09/2012.

⁴⁸¹ Interview excerpt, UNICEF, 28/08/2012.

question. In one project in Indonesia, risks to children surrounding ongoing conflict aligned with risks associated with the 2004 tsunami, requiring the construction of an orphanage, for example. In another Indonesian example, schooling and psychosocial awareness for teachers assists in reducing the risks to children surrounding armed conflict and natural disasters. Vulnerabilities surrounding armed conflict and Typhoon Lekima in Vietnam resulted in assistance to disabled children, and increased education surrounding. As such, there are opportunities to link manmade and natural disaster programming for a holistic approach to reducing the risks of children. While there is the mandate for these types of DRR projects, the institutionalisation of DRR at an EU level still requires streamlining, for effective implementation. Alongside the institutional barriers to effective DRR implementation, there is also the need for strong accountability and transparency in DRR donorship,⁴⁸² in the facilitation of DRR implementation throughout the project cycle, as the following section suggests.

5.3 FISCAL MATTERS AND ACCOUNTABILITY WITHIN EU DRR PROJECT IMPLEMENTATION

Effective implementation of DRR programming through a rights-based approach to EU-partner relations in DRR programming includes the demonstration of accountability and transparency in the provision of funding for humanitarian and development aid in practice. Donor responsibilities formally represented in the Paris Declaration state funding must be provided with humanity, impartiality, neutrality and independence.⁴⁸³ Funding for humanitarian projects must be humane, with a strong regard for a recipient's needs, rights, and customs; it must be provided to all those in need irrespective of an individual's nationality, gender, age, ethnicity, or circumstance. Humanitarian investments must be neutral in nature, and independent of external influence. In turn, organisations receiving donor funding to execute humanitarian action, including DRR programming, must comply with the requirements attached to donor funding. The funding and implementation obligations should recognise the importance of risk assessments, monitoring and evaluation of the project activities and objectives, final reporting and dissemination of project resultant outcomes and

⁴⁸² J Twigg et al., *Guidance notes on participation and accountability in disaster reduction*, (London: UCL, 2001).

⁴⁸³ OECD Development Assistance Committee (DAC), *Paris Declaration on Aid Effectiveness*, (OECD, 2005).

lessons learned. This shifts the discussions of humanitarianism and human rights beyond immediate interactions with those at risk, to accountable and transparent processes of humanitarian actors to ensure a rights-based approach to implementation and funding of foreign policy activities. As Crosston emphasised with the example of the United States' government, it is necessary to hold states accountable to translate core foreign policy objectives, and to respect human dignity through accountable processes, in order to uphold their obligations towards international human rights norms.⁴⁸⁴ The human security model pivots on robust accountability measures from donors in foreign policy processes. In addition, decentralised governance through increased local ownership in decision-making, and the participation of all actors in said processes, ensures a rights-based approach.

When looking at the financial aspects of DRR programming as part of foreign policy, it becomes apparent there have been significant increases in donors allocating funds to DRR as part of their ODA. Yet this assistance to affected countries can be as an element of humanitarian aid, similar to the EU's approach, or DRR as part of general development aid, such as incorporated into climate change initiatives, and as such, recurrent data analysis indicates DRR initiatives are often present in both spheres.

Within the EU's combined development aid budget of 132.7 Euros from the Commission and Member States in the 2012 budget, 35.15 million Euros was assigned to DRR, or 0.2%. This is a comparatively minor fraction of the total development budget, despite the EU's global title of the largest aid donor, and the Union labelling DRR as an important element in its development and external action agenda. An examination of DIPECHO budgets since its inauguration does show, however, significant growth in DIPECHO's annual budgets to complement increased DRR policy formation and field operations by the EU over the last decade, as depicted in Figure 4.2.

⁴⁸⁴ Matthew Crosston, "Fighting Terror and Spreading Democracy: When Theory and Practice Collide," in *Global Community*, eds. Randall E. Osborne and Paul Kries, (Amsterdam; New York: Rodopi, 2008), 23.

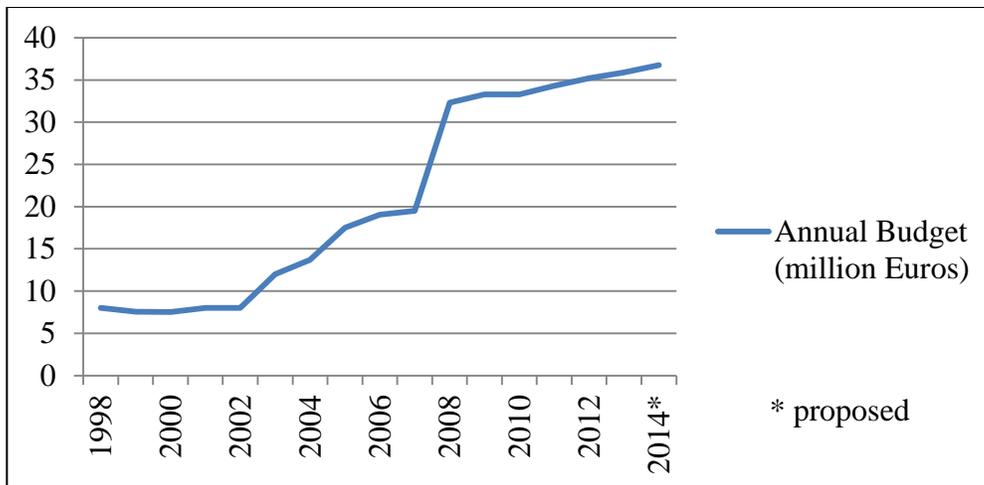


Figure 5.1 The annual budgets for DIPECHO⁴⁸⁵

Given its rather humble beginnings of 8 million Euros in 1998, the funding of DIPECHO operations has grown dramatically to over 35 million Euros from 2012. The significant increase in 2007 is mirrored by the commitment of the EU to DRR in the 2007 Consensus for Humanitarian Aid. One member of DG ECHO explains this increase in funding has resulted in the expansion of the DIPECHO programme:

“I remember years where, in the 2000s, we didn’t have more than 8 million. Now we have 34 million, so you can do more. That’s also why we have expanded a program in these regions and we have even included new regions such as the Southern Africa Indian Ocean rim, Western Pacific – that’s a very new initiative – and a little bit in the Caucasus area.”⁴⁸⁶

Data analysis reviewed how DRR implementation impacts on EU visibility, and affects the funding of partner agencies. Out of the 91 Asia Pacific projects illustrated on the websites of

⁴⁸⁵ European Commission, “Disaster Risk Reduction,” http://ec.europa.eu/echo/policies/prevention_preparedness/dipecho_en.htm, Accessed: 7 January 2014; European Commission, *Draft General Budget of the European Commission for the Financial Year 2012 [COM(2011)300]*, (Brussels: European Commission, 2011); European Commission, *Commission Implementing Decision on the financing of humanitarian aid operational priorities from the 2013 general budget of the European Union [C(2012)9883]*, (Brussels: European Commission, 2013); European Commission, *Commission Implementing Decision on financing humanitarian aid operational priorities from the 2014 general budget of the European Union [C(2013)9533]*, (Brussels: European Commission, 2014).

⁴⁸⁶ Interview excerpt, ECHO staff, 10/11/2012.

child-focussed FPA partners, 5 mentioned the support of ECHO. The lack of visibility of the EU on the websites of partners contradicts the EU's aspirations of recognition as a global power in external action through the provision of aid. Data depicted in the Financial Tracking Service (FTS)⁴⁸⁷ referring to the European Union as a donor, separated ECHO from the other European Commission mechanisms. According to the mandate, ECHO would represent humanitarian action and DRR, with DG DEVCO to embody development aid, either through EuropeAid or the ACP partnership, and any action undertaken by the EEAS would be in terms of conflict management. The EU has also committed funding bilaterally in two instances to Thailand in 2004 and 2005, for flood preparation and mitigation and humanitarian assistance for the Boxing Day tsunami, respectively. For the latter, the amount provided is undisclosed. The other major bilateral commitment represented on the FTS is a USD\$2million commitment from the European Commission to the Pacific in 2009, towards recovery assistance. Nevertheless, in a Pacific context, according to the FTS, funding was given to Save the Children for the 2009 Samoa tsunami, but activities were undisclosed. One director of a Pacific NDMO suggests that bilateral funding can be obtained, but that the process can be quite difficult.

“Currently that is another window that has been made available through the EU – the EU also have been willing to give money directly, we also have direct access, but to get funding it's a bit difficult, and the process is a bit lengthy, and we need to meet all the EU requirements to be provided with funding directly. The process and the requirements you have to satisfy...”⁴⁸⁸

The use of both ECHO and Commission as a donor increases the confusion surrounding the institutional roles. For not only logistical reasons but also the provision of funding bilaterally

⁴⁸⁷ According to the information on the Financial Tracking Service, data collated in the form of donor funding for organisations towards emergencies represent pledges, commitments or paid contributions. *Pledge* - A non-binding announcement of an intended contribution or allocation by the donor. Can be specific as to appealing agency and project, or specify only the crisis; *Commitment* - The creation of a contractual obligation regarding funding between the donor and appealing agency. Typically takes the form of a signed contract. Once a funding commitment is made, agencies can begin spending against it, using cash reserves; *Paid Contribution* - The payment or transfer of funds or in-kind goods from the donor towards the appealing agency, resulting from a commitment.

⁴⁸⁸ Interview excerpt, Anonymous, 15/10/2012.

leads to queries concerning ECHO's mandate, and its assured autonomy, independent from political influences attached to its aid.⁴⁸⁹ The long-term impact of not acting through partnership can have direct reflections on the upholding of governance principles and a rights-based approach to humanitarian and development assistance. The accountability of partnerships⁴⁹⁰ and the EU's neutrality in donorship, are underpinned in the core values of the Paris Declaration, and the concepts represented in HFA agreement to reduce the risks of disasters, which the EU promotes.⁴⁹¹ Again, there is a degree of self-reflection required of the EU's own policy lexis, and the need to uphold these core values in its partnerships to implement a rights-based approach to DRR.

One FPA agency representative attests DIPECHO funding can be 'a bit restrictive,' particularly with the need to reapply for subsequent phases of DRR programming.⁴⁹² Indeed, EU representatives have recognised the limited length of DIPECHO projects. At Brussels level, an ECHO representative acknowledged that for 'lasting change in disaster preparedness, you cannot do that within just a short period of time, you have to do years. Even that eighteen months is too short but there is always ways to continue...'⁴⁹³ Historically, the DIPECHO timeframe was 12 months, and as one practitioner suggests, 'the timeframe for DIPECHO has always been ridiculous – it used to be 12 months, which was 9 by the time you've done everything else, which is no time at all.'⁴⁹⁴ Indeed, the increase to 18 months is still 'not enough time to do anything successful.'⁴⁹⁵ An in-country partner organisation presented this to ECHO during a monitoring visit:

“We were talking about how the 18 month funding arrangements weren't long enough to get anything done – I think it was Phase I for the EU DRR funding for DIPECHO. We were pointing out, 'you've come to see, you can see after

⁴⁸⁹ Daniel S. Hamilton, "The Lisbon Treaty and Relations between the European Union and the United States," *The Foreign Policy of the European Union*, eds. Federiga Bindi and Irina Angelescu, (Washington DC: Brookings Institute, 2012), 219.

⁴⁹⁰ J Twigg, *Characteristics of a disaster-resilient community*, (London: UCL, 2009), 11.

⁴⁹¹ European Commission, *EU Strategy for supporting disaster risk reduction in developing countries*, (Brussels: European Commission, 2009).

⁴⁹² Interview excerpt, CAFOD, 10/09/2012.

⁴⁹³ Interview excerpt, ECHO staff, 10/11/2012.

⁴⁹⁴ Interview excerpt, Anonymous 12/09/2012.

⁴⁹⁵ Interview excerpt, World Vision [regional], 29/08/2012.

9 months what we've been able to do. There's so many remote locations, all the logistics etc, it's not doable – 18 months is not a timeframe we can show any sort of tangible progress.”⁴⁹⁶

Yet according to an ECHO administrator, the longevity of specific DIPECHO programming may not be in the provision of DRR for the same community it assisted through the initial funding, but to a different community in the region. “If you look through DIPECHO programmes, they are in a way ongoing, no always in the same country or location but in the region.”⁴⁹⁷ While a regional approach can ensure reduced vulnerability in neighbouring communities, the original phase may not have implemented sustainable DRR in the eighteen months provided. “What DIPECHO wants is to demonstrate how community-based disaster preparedness can be done, and test methodologies, which are appropriate to the context, and once they have proven to work, advocate them for a roll-out, or replication.”⁴⁹⁸ This statement from ECHO demonstrates not only a concentration on preparedness, rather than a holistic approach to risk reduction, but also that there is the assumption that methodologies can be ‘replicated,’ despite a potential difference in risks and approaches to said risks within regions, or even provinces, let alone differences in social and cultural context. In order to sustain DRR programming, certain agencies are looking to alternative funding sources. One DRR programmer representing a faith-based organisation explained access to funding from supporters meant a shift away from the limitations of institutional funding: “70% of our funds come from supporters of the catholic church... so basically what that means is we have a certain amount of flexibility around our programmes. So we're not always fighting for institutional funding.”⁴⁹⁹ While this source of financial assistance for programming requires less implementation barriers from donor funding, it is not always accessible, with many organisations focussed on grant funding:

“Instead of just going to Australia and New Zealand, we think we can access more funding from the EU, for projects that

⁴⁹⁶ Interview excerpt, Save the Children, 18/10/2012.

⁴⁹⁷ Interview excerpt, ECHO staff, 10/11/2012.

⁴⁹⁸ Interview excerpt, ECHO staff, 10/11/2012.

⁴⁹⁹ Interview excerpt CAFOD, 10/09/2012.

can be implemented for a period of time – because one of the struggles we have, is that we are grant funded, dependant on grant funding. Other offices in other parts of the world, they have other funding through child sponsorship... but our main source of funding comes from grants...”⁵⁰⁰

Yet some smaller organisations simply do not have the resources to rely on institutional grants, if there is a gap within funding cycles. “If you’re a big enough organisation, and you’ve got enough in the piggy bank, you can stretch yourself, but you have to have the confidence that you’ll get the second round of funding...You’ve got the smaller ones that either have to depend on giving their project to a larger organisation, or just letting it drop, but it’s not good.”⁵⁰¹

Not only do the intervals between funding between projects affect the sustainability of the project affected, the lack of continuity of DRR programming can result in subsequent impacts on communities, particularly with regards to employment and knowledge exchange:

“If there’s a gap of 2 or 3 months, your people are unemployed or they find work elsewhere...so it’s very difficult to get any continuity or build on what you’ve done, set up a programme...But programmes are not designed to be long-term sustainable programmes... hopefully some things stick, but they always need to be followed up with something in the communities, to keep them engaged.”⁵⁰²

As such, timeframe restrictions for funding meant often funding had to be acquired from several donors:

“We had CIDA Canada funding, we had USAID funding, we had a little bit of DFID funding, we had some other bilateral funding. You just try to stagger the projects so there are not

⁵⁰⁰ Interview excerpt, World Vision [in-country], 15/10/2012.

⁵⁰¹ Interview excerpt, Save the Children, 18/10/2012.

⁵⁰² Interview excerpt, ICRC, 27/09/2012.

gaps between the projects...The 18 month timeframe is difficult because it takes you a couple of months to get people hired, get the projects started, sell the project to the community.”⁵⁰³

One ECHO official in Brussels confirmed that given the length of DIPECHO funding, it is understood that funding is expected to be used in collaboration with other external funding.

“The funds ECHO can make available to DIPECHO programme are not sufficient to give out to every country, it has to be done by others coming on board, either development donors, or the government taking share.”⁵⁰⁴

In theory, this is effective for donors as collaborations between development donors can be cost-effective, ensure continuity of programming at a community level, and ensure there is a lack of duplicity of donor funding. For partner organisations, such strategies require substantial levels of capacity and resources to generate the project documentation to be submitted at the behest of numerous donors, with various pro forma requirements. This line of attack can lead to intervals between funding, increasing risks at a local level. While government involvement in DRR programming is positive in terms of commitment against vulnerability, in some situations local governmental bureaucracy can have consequences on the implementation and outcomes of the programming at a community level.⁵⁰⁵ However, one representative of a partner organisation states the importance of funding short-term pilots, as achieved with DIPECHO funding. Yet the representative stresses the need to link to the second phase:

“... It comes down to [the donors’] area of interest, what their area of interest has been in the past, and what they stick to... So when they do something new, or get new funding to do something new, let’s say for DRR or CCA, that they need to

⁵⁰³ Interview excerpt, ICRC, 27/09/2012.

⁵⁰⁴ Interview excerpt, ECHO staff, 10/11/2012.

⁵⁰⁵ Such repercussions of the timeframe and financing of DRR programming on local levels of protection and empowerment, and local governance structures to undertake DRR programming are looked at in more detail in the subsequent chapter, specific to the Asia Pacific region.

be a bit more open minded that piloting is a really great way of starting a trial based project approach. So, you can see the sustainability and all the things they want to see – the longer-term impact, that’s almost guaranteed before they sign the second cheque... I applaud organisations and donors that can be open-minded enough. They don’t want you to do the whole country in one year – they’re happy to see how things go at a smaller scale, more quality and more quantifiable data. I’d rather save one person’s life than kind of save a thousand, and some donors are heading that way.”⁵⁰⁶

Along with matters of funding structures, and proposal design, many of the DRR practitioners indicate the subsequent phases of the project cycle contain aspects of implementation, which require flexibility, or even concrete change, in donor-partner DRR linkages. Ineffective or unlined phases of the project cycle, namely, the assessments, monitoring and evaluation, reporting and the dissemination of project outcomes, can in some instances compromise the effectiveness of DRR programming in-country. From a rights-based perspective, accountability and transparency measures throughout the project cycle reflect the need for coordination and dialogue with partners active at all levels.⁵⁰⁷ In addition, a holistic approach to risk identification, of all the risks faced by a community in the assessment phases of DRR programming,⁵⁰⁸ signal a rights-based approach to DRR implementation. In turn, this requires a reflection on the attitudes towards risk, and shifting from a technical focus of risk, based on needs, to a more holistic approach, inclusive of social vulnerabilities. As Hyslop and Collins state, “the description and measurement of risk are important to the identification, evaluation

⁵⁰⁶ Interview excerpt, ECHO staff, 10/11/2012.

⁵⁰⁷ Mark Rhinard, and Bengt Sundelius, “The Limits of Self-Reliance,” in *Designing Resilience: Prepare for extreme events*, eds. Louise K Comfort, Arjen Boin, and Chris C. Demchak, (Pittsburgh: University of Pittsburgh, 2010), 201.

⁵⁰⁸ Louise K. Comfort et al. “Resilience revisited: an action agenda for managing extreme events,” in *Designing Resilience: Prepare for extreme events*, eds. Louise K Comfort, Arjen Boin, and Chris C. Demchak, (Pittsburgh: University of Pittsburgh, 2010), 283.

and estimation of risk,”⁵⁰⁹ and in doing so, upholds a rights-based approach and reduces vulnerability across the project life, and throughout the disaster cycle.

This is not reflected in the EU’s needs-based approach to DRR project implementation. Content analysis of the ECHO FPA partner contractual papers and supporting documentation indicate a propensity towards the use of needs assessments, and to a lesser degree, risk assessments. The 2010 supporting documents for FPA partners demonstrate the focus on the employ of needs assessments in the initial phases of ECHO-financed humanitarian assistance.⁵¹⁰ The favouring of needs assessments centres on the concentration of alleviating the immediate needs of those at risk - namely food, shelter, and water - with a disregard for social issues. Despite policy declarations to uphold human rights demonstrated in lexis in the previous chapter, interview participants at the various levels of EU administration did not considered human rights as an element of humanitarian response. This reflects the needs-based approach towards humanitarianism, promoted by the ECHO mandate. One European Commission representative established this needs-based approach:

“Humanitarian aid, there is no focus or conditionality on human rights, it’s about needs, even if the government is not abiding by human rights...”⁵¹¹

This approach is conveyed through the assessments used by the EU:

“Needs assessments– they see 100,000 people on a plateau and they know where to put the tents, things like that. But if we start to engage in political movement, regional integration and that sort of things, we start to spend all our time there ...”⁵¹²

At the regional level, one ECHO representative confirms the mandate, and the view of human rights in humanitarian assistance:

⁵⁰⁹ Maitland P. Hyslop and Andrew E. Collins, “Hardened institutions and disaster risk reduction,” *Environmental Hazards* 12, no. 1 (2013): 20.

⁵¹⁰ European Community Humanitarian Office, *Partnership with DG ECHO: Supporting Documents*, (Brussels: European Commission, 2010).

⁵¹¹ Interview excerpt, European Commission Humanitarian Aid and Civil Protection Cabinet, 4/11/2010.

⁵¹² Interview excerpt, European Commission Humanitarian Aid and Civil Protection Cabinet, 4/11/2010.

“...The main objective of both, of the crisis response and humanitarian aid is providing humanitarian assistance... If we had to look at the human rights situation in certain countries every time we are getting active, of course we’re active in a country doesn’t mean we’re making a judgement call on their human rights situation and we don’t want to be doing that.”⁵¹³

The view of the EU officials, in such cases, does not surround an individual’s right to protection and assistance surrounding a disaster, but of the government’s approach to human rights, and ECHO’s impartiality in the provision of aid. Yet due to the assumed density of the issues, ECHO has deemed that social issues, and social risks associated with human rights, do not hold a place within EU humanitarian assistance, administered under ECHO. Instead, rights-based assistance is deemed to be incorporated into subsequent phases of projects, under the umbrella of development. There is a need for a broader perspective of the correlation between rights and assistance from duty bearers such as policy makers, and recognise vulnerabilities to violations of rights, as risks. One practitioner confirms, the necessity for those involved in humanitarianism to expand their view from a needs-based approach to a more comprehensive view of risks:

“Need is essentially an emotional reaction to a situation...Where we started out in this sector is the unprofessional volunteerism, get whatever you can, throw it in at them... And we’ve tried in the sector over the last twenty years to move away from that, to try and professionalise, trying to think, ‘no, airdrops are not the way, they kill a lot of people, there is a much more professional way of doing aid, of doing this.’ But the next step to take on that road to professionalising, is being able to take on these big issues of uncertainty and managing risk.”⁵¹⁴

⁵¹³ Interview excerpt, ECHO Information Officer, 25/02/2011.

⁵¹⁴ Interview excerpt, Helpage, 11/09/2012.

ECHO's narrow outlook on humanitarianisms restricted to needs affects its approach to DRR programming. The project design and subsequent activities undertaken by the partners can become constricted, and can affect the levels of DRR at the community level. There is a recognition of the requirement for risk assessments and an outline of project outcomes prior to implementation, but with a lack of financial support for partners to undertake such assessments.

“When you put in for a proposal for a DRR project, in theory a DRR project should be very flexible, and the ideal situation would be that you have the money to do a community based risk assessment, and then identify the needs, then apply for whatever mitigation is required, or action, but unfortunately in the proposal you have to write what you're going to do, so you have to write your end result in the proposal at the beginning, which just goes against the whole ethos of DRR, but I don't know what the solution is across the board...I'm sure ECHO would say you need to do that risk assessment before applying, but you still need the money to be able to do that assessment.”⁵¹⁵

Furthermore, with an underlying conception of humanitarianism based on needs, risk assessments can remain limited and often ignore social risks, along with a disregard for slow onset risks. In addition to reflecting on adapting the underlying needs-based attitude of the EU towards assessments, an all-embracing approach to monitoring and evaluation is necessary for a rights-based approach to DRR implementation in order to recognise such slow onset risks and societal risks throughout the disaster cycle. Operational monitoring and evaluation throughout the project is central to a rights-based approach by ensuring effective governance in DRR project implementation. By ascertaining the phases and deliverables of projects are subject to rigorous monitoring and evaluation ensures a holistic reduction of risks throughout the disaster cycle. De Guttery et al. emphasise the importance of assessments and monitoring and evaluations to identify the specific needs

⁵¹⁵ Interview excerpt, CAFOD, 10/09/2012.

and capabilities to better protect vulnerable groups in disaster management.⁵¹⁶ During project implementation, ECHO and DEVCO employ results-oriented monitoring of aid. This implies greater attention given to the quality of the results and indicators, and thus the formation of indicators during the needs assessments. Despite a results-based approach being more in line with monitoring qualitative data, and thus social risks, the limited nature of the initial needs assessments suggests social risks can be overlooked.⁵¹⁷ Local governance structures can also influence levels of accountability in project implementation and the monitoring and evaluation of project deliverables, with the responsibility shifted to the partner agencies. As a local donor indicates:

“We are conscious too that we operate in a high risk environment. We acknowledge that fraud does occur, we just need to manage the risks attached to that...We have a funding agreement with a recipient...and we then acquit those funds against the budget and the milestones in the contract...the onus is on them to ensure that there are adequate systems in place, and if they’re not then they need to improve them, or justify to us why they did something, which ran contrary to what they signed up to when they were accredited.”⁵¹⁸

According to one DRR practitioner, EU monitoring and evaluation can be so extensive it requires high levels of local partner capacity to undertake the project monitoring and evaluation, affecting the undertaking of EC projects to the extent that some European agencies will not apply for EU funding.

“Arguably, some partners wouldn’t go for it because as I say, their capacity for monitoring and evaluation sometimes can be quite low, and we help them build that capacity, but if you’re doing an EC project, or a DIPECHO project, there are

⁵¹⁶ Mariangela Bizzarri, “Protection of Vulnerable Groups in Natural and Manmade Disasters,” in *International Disaster Response Law*, eds. Andrea de Guttry et al. (The Hague: Springer, 2012), 410-411.

⁵¹⁷ David McEntire, “Understanding and reducing vulnerability: from the approach of liabilities and capabilities,” *Disaster prevention and management* 21, no. 2 (2012): 216.

⁵¹⁸ Interview excerpt, AusAID, 16/10/2012.

quite stringent requirements in monitoring and evaluation and it's no bad thing – it helps us do projects better and I imagine, some partners would say they've benefitted from that...but other partners won't touch it – they'll just say, 'no, we did it before, and it was too much, it's too much.' It's a balancing act really.”⁵¹⁹

Nevertheless, results-oriented monitoring of EU assistance remains static as monitoring and evaluation only goes so far. As already established, to address existing and impending risk, DRR programming requires long term project timeframes to ensure the sustainability of the reduction of risks. This also requires long term monitoring and evaluation, far beyond the existing timeframes of DIPECHO programming. Such is the example of high impact disasters, which can take decades to recover from, but project financial configurations denote that milestones throughout project implementation are transitory.

“...Let's see if we can build some of these engagements and let them run for a long time, because the situation ... is going to take a long time to fix, but as we go along, have people take the time to evaluate, to change the direction it's going, and make sure that funding goes to the right places, because that's the important thing. It you're not evaluating what's going on, how can you tell where it's supposed to be going?”⁵²⁰

But with short project timeframes, and limited monitoring and evaluation of the impacts of projects on communities, it is unsure whether reduced vulnerability is achieved at a local level, particularly over a number of years. A holistic approach to sustainable DRR is lengthy, and thus requires monitoring and evaluation over an extended period. This leads to matters of responsibility in facilitating identification of the long term status of risk at a community level, and the effectiveness of DRR programming to reduce vulnerability, beyond the project timeframe. One DRR practitioner points to the limitations of funding, and agencies'

⁵¹⁹ Interview excerpt, CAFOD, 10/09/2012

⁵²⁰ Interview excerpt, Anonymous, 11/09/2012

obligations to pursue funding streams and the priorities of the donors, thus community-level DRR programming can discontinue at the expense of potentially increased community vulnerability:

“This whole business with the lack of evaluation that NGOs don't do around projects. They go in, they do whatever they do, the funding runs out and they move out and moves onto the next thing. Well who goes in a year, three years, five years later to look at what they did, and evaluate - has it reduced vulnerability? Has it *increased* vulnerability?”⁵²¹

Indeed, the relationships between the EU and its partners beyond project implementation can influence subsequent funding for the organisation, and the levels of vulnerability in the community. Views from practitioners on the EU's responses post-project vary between regions. One European-level partner previously working on EC funded projects in the Caribbean conversely emphasised the importance placed on building on previous projects by both parties.

“We're very proactive about doing that whether right after the project, regional evaluations, working on a number of different projects. The next time you put a proposal forward, [ECHO] were very critical on how does this build on the past project...Critical in a positive way. The guy that was in charge... he was dedicated, he wanted to make things work.”⁵²²

The relationship between this particular regional DRR practitioner with the EC was a positive one, where ECHO “would bring the different partners together and were very good about making sure the ECHO projects didn't duplicate.”⁵²³ However, despite having an effective working relationship with ECHO staff at a local level, there could still be gaps between funding for DRR programming, due to the overarching ECHO funding policies at Brussels

⁵²¹ Interview excerpt, Anonymous, 11/09/2012

⁵²² Interview excerpt, ICRC, 27/09/2012.

⁵²³ Interview excerpt, ICRC, 27/09/2012.

level. For the Pacific regional DRR practitioner, the different reporting mechanisms at Brussels and Bangkok meant the EU had limited understanding of what was being undertaken, despite the organisation cohering to reporting requirements, “They get their programme progress reports... it goes to Brussels, or Bangkok, but they don’t get to know what happens next. Which is a shame...”⁵²⁴ The secession of a partnership with the EU following project implementation indicates there may be repercussions on project design, monitoring and evaluation, and additionally, the effectiveness of in-country and regional DRR activities overall.

Reporting on project milestones, outcomes, and outputs, allows for assurance of effective governance of project implementation. Indeed, a core component of the Paris Declaration on effective donorship indicates the need for donors to harmonise their monitoring and reporting requirements with local processes.⁵²⁵ For the EU, its extensive reporting for project implementation administered at an EU level requires partner organisations with the capacities and resources to undertake the reporting. As such, the vetting process carried out by ECHO when granting FPAs requires that partners not only have the prerequisites of qualified staff and uphold humanitarian principles in their legislation, including recognition of the rights of those they are working with, but they must also provide regular reporting to Brussels of developments in the project. One information officer at the Bangkok ECHO office explains:

“Because of our detailed reporting requirements, we want to make sure the partners we choose have the capacity to report back both in writing but also in financial reports. We also want to make sure that the partners we want to work with in a certain region have a presence in that region, they have qualified staff, so that it’s not just a mom and pop organisation that just pops up somewhere...”⁵²⁶

In the general conditions applicable to EU grant agreements with humanitarian organisations for humanitarian aid actions, Article 10 stipulates the humanitarian organisations must submit

⁵²⁴ Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012.

⁵²⁵ OECD Development Assistance Committee (DAC), *Paris Declaration on Aid Effectiveness*, (OECD, 2005), Article 45.

⁵²⁶ Interview excerpt, ECHO Information Officer, 25/02/2011.

intermediate and final narrative and financial reports, which outline the objective and resultant activities, in addition to a financial report, which indicates all expenses incurred.⁵²⁷ These reporting requirements augment the infrastructural constraints for project implementation where proposals and final reporting must be submitted to ECHO in Brussels, while mid-project implementation reporting is conveyed to the regional ECHO offices, such as Bangkok. As an EU official aforementioned, it is the agency's responsibility to report to the EU, but there may be capacity or financial constraints to produce public documentation. As Barkin suggests, successful monitoring can be hampered by inadequate technology, and excessive cost.⁵²⁸ If these barriers are overcome, additional hurdles exist in the form of breakdowns in communication between the EU and its partners as to who makes the project information public via UN-administered online portals, such as the UNISDR's *Preventionweb*,⁵²⁹ or the *Asia Pacific DRR portal*,⁵³⁰ which accumulate humanitarian and DRR project details including project documentation, financial and thematic information. Data is contributed by the donors or the agencies but the complication lies in the definition of the EU, and again, EU institutional overlap.

“I'm not going to tell our partners to fill it in if in three months someone else will have to redo everything because the entry point into the donors is not correct and at this stage it is not... So the Pacific projects are registered under ECHO, and this is wrong...A small decision on something like that has an implication which is far beyond anybody or one person deciding and that's also the point of a common position within the EC, or even ECHO to position itself...”⁵³¹

⁵²⁷ European Commission, “Annex III: General conditions applicable to European Union Grant Agreements with humanitarian organisations for humanitarian aid actions,” (Brussels: European Commission, 2009), 7.

⁵²⁸ J Samuel, Barkin, *International Organisation: Theories and Institutions*, (New York: Palgrave MacMillan, 2013), 46.

⁵²⁹ UNISDR, “Prevention Web” <http://www.preventionweb.net>.

⁵³⁰ United Nations International Strategy for Disaster Reduction (UNISDR), “Disaster Risk Reduction DRR Project Portal: Asia-Pacific's tool for effective DRR planning,” <http://www.drrprojects.net/drrp/drrpp/home> . Accessed: 4 April 2013.

⁵³¹ Interview excerpt, ECHO DRR Coordinator, 25/02/2011.

In addition to ineffective information dissemination tools, humanitarian agencies' policies can constrain organisations in the production of project outputs and outcomes. The information to become public is limited due to potential intellectual property risks, and agencies seeking to protect the future direction of projects. Subsequent documentation disclosed to the public, therefore, does not necessarily include the practical information surrounding the project. This would assist in knowledge exchange with other agencies, and the subsequent applications of community-based DRR.

“Your project outcomes tend to be slightly propaganda styles, so they all say, ‘we did participatory mobilisation etc,’ it all sounds the same – you could be reading about the same project every time. If you were another organisation wanting to do that work – what does it teach you about how to do it? Actually nothing.”⁵³²

The dissemination of project designs and evaluations can assist in the efficiency of DRR across different communities, countries, and regions, and in addition, lead to the avoidance of duplicity of project implementation at country or regional level.

Despite the extensive reporting requirements, project outcomes are not always published, affecting the transparency of project reporting. Public dissemination of project implementation, and the effects on community levels of vulnerability, are central to the concept of transparency in the financing of DRR programming. An interview participant from UNDP suggests:

“My own opinion, being mindful of others in the resources that we have, in sharing the resources, and actually having the right of someone benefiting from the same output, or whatever the project or whatever development initiative is coming up...”⁵³³

⁵³² Interview excerpt, Anonymous, 12/09/2012..

⁵³³ Interview excerpt, UN Agency, 16/10/2012.

Such a statement emphasises every member of the community's right to freedom from fear, and their access to any aspect of DRR programming, whether it was effective or not in reducing levels of vulnerability. It is their prerogative to consider the actions to reducing risk, and if it can be applied to their own context and situation. This is the essence of agency-based programming, and a rights-based approach to community-based DRR programming in general. Increased knowledge exchange between actors, through the dissemination of DRR project documentation, will be discussed further in the following chapter vis-à-vis EU-facilitated DRR implementation in a local context. Chapter VI also focuses on the importance of recognising in-country structures, and the cultural context of implementing DRR to reduce risks within communities.

5.4 CONCLUDING THOUGHTS

This chapter has demonstrated the institutional and implementation barriers in translating rights-based lexis in DRR policy to praxis at an EU level, through to project implementation at a local level. DRR programming can exist as a component of both humanitarian and development assistance, funded through ECHO and DEVCO respectively. The difficulty being projects can include multiple activities to be carried out at various stages of disaster, making the EU's institutional structure a hindrance to project implementation. This can be remedied through the reduction of barriers in linking to subsequent phases of project implementation between immediate and long-term assistance.

The existence of DIPECHO does not assist in reconciling this hindrance, but adds to it, as another institution for organisations to have a rapport with, in order to obtain funding. The objective of unifying the grey area between humanitarian and development assistance is not achieved if partner rapport is not facilitated in carrying out this assistance.

There can be significant repercussions of implementation barriers through DRR programming project cycle. Firstly, a needs-based approach to project implementation indicates a short-term approach to protectionism in donorship. Liu suggests that speed and efficiency in short-term programming is less important than the quality of the result of disaster efforts.⁵³⁴ The

⁵³⁴ Liu, A., *Building a Better New Orleans: A Review of and Plan for Progress One Year after Hurricane Katrina*, The Brookings Institution Metropolitan Policy Program, August 2006.

assurance of upholding rights, and the reduction of social vulnerability, as the underlying values of human security ensures a holistic approach to risks, both in the short and long-term. Engagement with partners throughout the project cycle and following the projects ensures the effectiveness of DRR programming, and sustainable reduction of vulnerability at a local level.

The upholding of child rights and implementation of child protection within project implementation is also impacted by implementation barriers. The perception of child risks and child protection by the EU in its policy lexis, and praxis through the decisions made on partnerships, and partner decisions on project praxis, impacts on the vulnerability and agency of children at a local level. This therefore requires dialogue between the EU and its partners, and those involved in DRR at all levels of governance, not only at an EU institutional level, but throughout governance structures in-country. The following chapter draws on these comments to promote effective DRR donorship in-country.

CHAPTER VI

LOCALISATION OF CHILD PROTECTION IN DRR PROGRAMMING IN THE ASIA PACIFIC

6.1 INTRODUCTION

Chapter VI unites the previous chapters of lexical and practical applications of child protection through the human security model, in specific reference to EU donorship facilitating DRR in the Asia Pacific region. It reviews the effectiveness of funding DRR in a regional context, followed by analysis of local governance and community-based DRR mechanisms. This chapter investigates the in-country fusion of contemporary and traditional methodologies to DRR, and cultural influences on levels of social vulnerability in the context of child protection throughout the disaster cycle. It looks at the localisation of child protection and child rights, as part of the broader context of upholding child rights in effective donorship. In doing so, local channels of praxis demonstrate the filtration of rights to reduce vulnerability at a local level, in addition to the rebound effect of ensuring child agency at a global level, through measures of child protection in DRR programming.

This chapter draws on interview data collated from within the Asia Pacific, specifically the regional and in-country offices of ECHO, along with DRR practitioners in Vanuatu, who are, or previously have been affiliated with the EU or who have received EU funding. Accordingly, individuals from implementation partner agencies holding FPAs with the EU, in addition to other donors active at the local level, were interviewed to review whether perceptions of the EU in-country matched the opinions of their European counterparts.

6.2 EU AS A PROMOTER OF DRR IN THE ASIA PACIFIC

The action of the EU in DRR through its humanitarian arm, ECHO, promotes partnerships in reducing the risks to disasters in partner countries. Indeed, as explained in the previous

chapter, it requires effective partnerships with international organisations at a European level, and their subsequent partnerships with local organisations, in order to preserve its legitimacy in humanitarian assistance, by acting through third parties. The institutional structures in Brussels, as described previously can assist, or indeed hinder, the effective implementation of these partnerships in executing DRR programming. The levels of capacity at this European-level to realise the EU’s humanitarian assistance requires support from its regional offices. Not only to execute humanitarian programming facilitated by the EU, but regional offices are also well positioned to promote the EU’s endorsement of regional integration.

The transcendence of EU focus from beyond the European periphery to the Asia Pacific is believed to influence regional policy and actions, both in a broad sense, and in specific areas of concern, such as disasters. Through regional strategies for both South East Asia and the Pacific,⁵³⁵ the EU supports and coordinates with the respective regional governmental alliances, ASEAN and the Pacific Island Forum, and additionally with regional organisations, such as the Secretariat for the Pacific Community. As stated, ECHO is limited in its capacity to do so, yet the EU regional office in Bangkok plays an important role in synchronising Brussels’ donorship priorities, with local activities on the ground. To identify views on the EU’s donorship actions in facilitating DRR, Figure 6.1 represents the perspectives of various local actors in-country.

IN-COUNTRY EU DELEGATION	I cannot be that concrete on DRR as we participate by the World Bank, or ECHO via Red Cross. Reporting is managed directly by ECHO in Bangkok [...] ⁵³⁶
UN AGENCY STAFF	The EU’s here, but except that it is not very strong as when you find it in other countries. ⁵³⁷
IN-COUNTRY ORGANISATION	In some ways the EU presence here is tiny, but for the Pacific I think they do need to ramp up their presence. Even in-country, there’s only a handful of staff and sometimes they’re so overloaded. In terms of getting them to attend events that are funded by them, sometimes it’s really hard because they’re completely overstretched. ⁵³⁸
IN-COUNTRY ORGANISATION	Maybe AusAID is more physically present here, but we can communicate a lot with the team in Bangkok and have some support if we need it [...] ⁵³⁹

⁵³⁵ Ibid.

⁵³⁶ Interview excerpt, Anonymous, 15/10/2012.

⁵³⁷ Interview excerpt, UN Agency, 16/10/2012.

⁵³⁸ Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012

⁵³⁹ Interview excerpt, Care International, 17/10/2012

IN-COUNTRY ORGANISATION	I think in-country perhaps donors need to adopt - particularly seeing as in some cases donors are funding the same organisations. Maybe that's a cross-referencing thing[...]
IN-COUNTRY ORGANISATION	A lot of donors coming into the Pacific, but not working collaboratively. So you've got the EU, EC, AusAID, NZAid, USAID have just launched a \$20 million programme based out of Port Moresby on community-based adaptation across the Pacific, UNDP about to announce 18 million coming through AusAID for DRR. ⁵⁴⁰
IN-COUNTRY ORGANISATION	It depends if you're talking about DRR or emergency humanitarian response. DRR in a development context, is a priority in this country for development programming, so I say the EU should have a role in supporting development that is aligned to risk reduction, or risk reduction activities that are part of a broader community programme, and climate change adaptation. ⁵⁴¹
IN-COUNTRY DONOR	I think it comes down to AusAid giving other donors that perspective, whether it's talking about our own humanitarian action policy and the focus it gives on vulnerable groups, or providing a bit of a Pacific perspective on things that are going on in other countries, highlighting examples of where things are working. I think a lot of it comes down to information sharing, but also capacity – we're the biggest donor in Vanuatu by far so the EU has a very small presence here, as do the Kiwis, so I think often they look to Australia for the lead or consistency on issues such as this.

Figure 6.1 Views of donorship in the Asia Pacific

Paradoxically, the local *chargée d'affaires*, or in-country EU ambassador, has little influence of the reporting process of project implementation, further than general updates on project achievements from partners. The in-country EU delegation reiterates the role of the Bangkok office to undertake the administration of DRR programming in the region, both South East Asia and the Pacific. Some partners believe this role to be inappropriate for Pacific regional implementation.

“When it comes to DRR, I think the Pacific does need to be standalone. I disagree with agencies having an Asia focus when we're totally different regions of the world, and there should be considerable investment into the Pacific as a standalone. [...] If you're based in Bangkok, how can you

⁵⁴⁰ Interview excerpt, Save the Children, 18/10/2012.

⁵⁴¹ Interview excerpt, Save the Children, 18/10/2012.

possibly have your head around the Pacific?”⁵⁴²

Another in-country partner organisation recognised the ineffectiveness of ECHO staff from Brussels and Bangkok monitoring and evaluating local projects. The staff had little awareness of the region. “I guess they’d been briefed, one of them it was their first time to the Pacific,”⁵⁴³ suggesting a lack of comprehension from ECHO staff of the context in-country in terms of the country’s structure, programming, and cultural milieu. Another international organisation representative believed that despite the geographic locations of the reporting and financial mechanisms, it endeavoured to engage with the local European Commission staff:

Each time we have a workshop funded by DIPECHO, or a monitoring visit, we invite someone from the Commission⁵⁴⁴ to be aware at least of what we are doing, even if the financial mechanism doesn’t go through them.⁵⁴⁵

While this may be considered to be the role of the in-country delegation, the limited EU staff capacity and general EU presence in-country indicates the delegation is stretched to a point where involvement in national DRR programming is limited to attending events or updates, as indicated in Figure 5.1. The EU’s role in the region is also influenced by the presence of Member States, particularly in the Pacific where certain Member States have overseas territories. As one local donor reflected:

“I think there’s just a common understanding. I can’t speak for either donor but the French have the assets, and the proximity to New Caledonia to be able to possibly get access to assets, and the EU has a different role.”⁵⁴⁶

⁵⁴² Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012.

⁵⁴³ Interview excerpt, Save the Children, 18/10/2012.

⁵⁴⁴ The in-country Delegation for the European Union

⁵⁴⁵ Interview excerpt, Care International, 17/10/2012

⁵⁴⁶ Interview excerpt, AusAID, 16/10/2012.

For partner organisations, the collaboration of donors and, ‘cross-referencing’ of humanitarian and development donorship increases the effectiveness of DRR programming in-country. For donorship to be effective requires collaboration with other donors and the manifestation of knowledge exchange of local donorship actions. Nevertheless, there are indications of partner organisations stating communication with the Bangkok EU office is sufficient for their implementation of EU facilitated programming, while others identify other funding opportunities from local country donors present in the Pacific.

In terms of local engagement between donors, AusAID believe the role it holds as a substantial donor in the Pacific assists in influencing other donors including the EU, in the avoidance of duplicity in the provision of aid, whilst “providing a bit of a Pacific perspective.”⁵⁴⁷ Collaboration amongst donors can shape regional policy formation, through the provision of a more holistic approach to those at risk with “the focus it gives on vulnerable groups.”⁵⁴⁸ Alliances amongst donors in recognising the needs of all societal factions at risk can assist in implementing a rights-based approach to DRR programming, where all forms or risks are acknowledged. This requires a holistic approach to risk, in the implementation of humanitarian and development assistance to cover technical and social risks across the entire disaster cycle. The focus is often on the disaster phases of response, and preparedness to respond, from donors in DRR, such as from the ECHO/DIPECHO aid mechanism, and subsequent development aid. As stated by one in-country organisation representative in Figure 6.1, DRR can be associated with both humanitarian and development assistance, through both immediate and slow-onset risks. Donors, such as the EU, must recognise this in their implementation of DRR. The concentration on preparedness and response demonstrates the disregard for the other aspects of the disaster cycle and risk management, where DRR can play a role in linking both immediate responses to disasters and development in periods of calm and disaster. One practitioner involved in the regional implementation of DRR for an international organisation states the limited view of DRR, and the compartmentalisation of DRR hinders the relationship his organisation holds with the EU:

⁵⁴⁷ Ibid.

⁵⁴⁸ Ibid.

“I haven’t done any work with them. Part of the reason is...even though they claim to be doing DRR type of work, they are primarily focused on preparedness and response. I think that needs to be changed. I think DIPECHO needs to expand its mandate ... so that it does address, not just preparedness and response, which is 20% of the picture right?”⁵⁴⁹

This statement suggests the practitioner chooses not to apply for EU funding. His comments reflect that the EU is not fully recognisant of DRR as reducing risks throughout the whole disaster cycle, and focuses on preparedness, or preparedness to respond. One in-country agency’s DRR project funded through DIPECHO exemplifies this notion. The primary objective of their main DRR project in Vanuatu centred on the preparation of communities and to ‘increase resilience against the impact of natural hazards.’⁵⁵⁰ However, it does surpass this limited view of DRR that the secondary objectives of increased knowledge about disasters and increased governance but this also surrounds governance in disaster response, not necessarily in recovery or further phases of the disaster cycle. This approach to DRR is also exemplified by the underlying attitude of other donors active in the Pacific. When asked about their regional policies on disaster risk reduction, one donor explained that donors were collaborating in what was considered to be ‘best practice’ for disaster response and the key information that is needed when undertaking rapid assessments. The donor highlighted that the initial needs assessments identified specific vulnerabilities for societal factions including those with disabilities and children, which is encouraging, but again this approach is short term, and does not extend past the response phase.

Yet the compartmentalisation of risk to coincide with the institutional structures of donorship, namely humanitarian or development aid, hinders the cyclical avoidance of risk. Collaborative donorship can assist with ensuring that DRR is cost-effective through increased the acknowledgement of risk, and implementation of DRR programming across South East

⁵⁴⁹ Interview excerpt, World Vision [regional], 29/08/2012.

⁵⁵⁰ Interview excerpt, Care International, 17/10/2012

Asia and the Pacific, despite population variance and geographic disparities. There is divergence amongst humanitarian actors of the cost-effective nature of implementing DRR in the Asia Pacific, despite global recognition of the success of reducing risks surrounding disasters through community-level risk reduction.⁵⁵¹

ECHO MEMBER OF STAFF	...We feel in most cases that there is sufficient response and also rapid response by New Zealand, by Australia, and this in many cases covers all the needs. Because [the Pacific] are not huge populations who have to be dealt with, so in a way you can, with a limited means, do quite a bit. Of course, we stand ready to support and to complement what is being done by other donors there. ⁵⁵²
IN-COUNTRY EU DELEGATION	I don't know the figures, but of course you will reach more people in Bangladesh than in Niue or Vanuatu, but of course Bangladesh is high on the list of countries that is affected, as Vanuatu but you cannot forget the smaller countries. ⁵⁵³
IN-COUNTRY DRR PRACTITIONER	It goes back to point of how organisations and agencies carve up the globe because it's about accessibility, it's about visibility [...]So basically, the Pacific isn't sexy when it comes to disasters – it's not as dramatic, it doesn't have the same impact on people. So places like Fiji, and all the other ones that have like a string of islands, in terms of value for money, it's a very expensive exercise. ⁵⁵⁴
IN-COUNTRY ORGANISATION	Globally there is a difference of looking at risk and how many people at risk [...] Because you look at the money to spend on 4 thousand people on Tanna, ⁵⁵⁵ but that same money could be used to provide services to 20 million people in a country[...]No matter how vulnerable they are, global donors have a tendency of looking at how many people are at risk. ⁵⁵⁶
IN-COUNTRY ORGANISATION	I think it's the choice of DIPECHO to work in some parts of the world, and so if they will like to cover all this part, maybe the funding will be less for each of the countries [...] There is a lot of place for everyone – to avoid as much as possible duplication and share the workload, which needs to be done on DRR... ⁵⁵⁷
IN-COUNTRY ORGANISATION	When we speak about human life cost-efficiency, it seems to be a little strange, because we need to help everyone [...] ⁵⁵⁸

Figure 6.2 Cost-efficiency in Asia Pacific donorship

⁵⁵¹ United Nations International Strategy for Disaster Reduction (UNISDR), *Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters* (Geneva: UNISDR, 2005); John Twigg, *Characteristics of a disaster-resilient community: A guidance note* (London: DFID Disaster Risk Reduction Interagency Coordination Group, 2007); World Bank, *Understanding Risk* (Washington, D.C.: World Bank, 2010).

⁵⁵² Interview excerpt, ECHO staff, 10/11/2010.

⁵⁵³ Interview excerpt, Anonymous, 15/10/2012.

⁵⁵⁴ Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012

⁵⁵⁵ Tanna Island, Vanuatu.

⁵⁵⁶ Interview excerpt, UN agency, 16/10/2012.

⁵⁵⁷ Interview excerpt, Care International, 17/10/2012.

⁵⁵⁸ Interview excerpt, Care International, 17/10/2012.

As one ECHO representative suggests in Figure 6.2 above, local donors in the region act as the primary point of contact in providing assistance to countries in the region in the event of a disaster. In this particular instance, it is considered that due to the lack of population in the region of the Pacific, increased EU presence in disaster management is unnecessary. From the in-country representative of the EU, there is recognition that it may be more cost-effective to provide assistance to those countries where the populations are higher, but that small island states, such as Vanuatu should not be overlooked. As indicated by in-country DRR practitioners and organisation representatives, donorship in the region often comes down to a question of accessibility for the most effectual provision of ECHO's limited resources. In such instances, countries consisting of large land mass, as opposed to archipelagos, are prioritised. Yet despite the comparatively low populations affected by disasters in the Pacific, the impact on Pacific country economies can be significant. For example, the 2009 earthquake and subsequent tsunami gravely affected Samoa and Tonga, resulting in the combined economic damage of US 159 million,⁵⁵⁹ and positioned Samoa and Tonga as the highest and third most impacted economies as percentages of the gross domestic product, with 28.7% and 3.6% respectively.⁵⁶⁰ In addition, in terms of population, while the amount of the total number killed were not the highest, the two island states were the most impacted globally in terms of the number of deaths per 100,000 inhabitants.⁵⁶¹ Arguably, references to those killed or affected do not reflect the impact disasters can have on Pacific states, which again questions the rationale behind the provision of funding to some countries over others, and the grounds of cost-effective financing.

The oft considered low impact of disasters on Pacific states' populations can call into question the potential visibility of the donors' activities. One DRR practitioner indicates the influence of donorship visibility in humanitarianism on presence in certain areas of the Asia Pacific. Presence of donors is considered as a high priority in the facilitation of humanitarian and development assistance, and DRR by association, where donors are seen by some DRR practitioners in Figure 6.2 as in competition for involvement in the investment in the Pacific. What of donorship in DRR activities? For some partner organisations, it is the prerogative of

⁵⁵⁹ EM-DAT: The International Disaster Database, <http://www.emdat.be> Accessed: 21 December, 2010.

⁵⁶⁰ EM-DAT, "CRED CRUNCH Disaster Data: A balanced perspective," No. 19, (2010), 1-2.

⁵⁶¹ Ibid.

the donors to be present in specific locations, so long as there is coordination at donor level on DRR programming, whether as part of humanitarian or development assistance. Others contest the core humanitarian principles of the donors:

“The fact that the issue of the number beneficiary is one of the issues, sometimes for cost-efficiency, you say, ‘it may be better to work in Bangladesh or India than Vanuatu, because there is not so many people.’ But how can we balance our measures of one life to another?”⁵⁶²

The presence of donors, and donorship decision-making, can have a direct influence on protectionism, and the recognition from donors of the vulnerability of individuals and communities in the Asia Pacific. Policy indications of strengthened ties between the EU in the Asia Pacific are often underpinned with human rights as a guiding principle.⁵⁶³ The provision of assistance, and upholding the rights of those at risk, is in line with the responsibilities of donors as duty bearers.⁵⁶⁴ Farran explains human rights in the Pacific context often remains at a community level, but there are also responsibilities of duty bearers to influence change in decision-making processes.⁵⁶⁵ The decision to be less present in a country or region at risk in the financing of DRR consequently questions EU accountability, and the upholding of its external action policies to protect those at risk, and their right to protection from disasters and associated risk.

ECHO	In terms of adhering to humanitarian principles, human rights in the wider sense...we would withdraw our funding, it's as easy as that. And usually it works, I mean there are always situations where humanitarian principles are being compromised, particularly by difficult regimes, difficult governments, we've seen that in Sri Lanka, we are seeing that in Myanmar, a very prominent case. ⁵⁶⁶
EU DELEGATION	[...] Of course we are quite stressed being only six, but in the bigger delegations, where it might really be a problem, there it might make sense because it's really a big thing,

⁵⁶² Interview excerpt, Care International, 17/10/2012.

⁵⁶³ European Commission, *Bandar Seri Begawan Plan of Action to Strengthen the ASEAN-EU enhanced partnership (2013-2017)*, (Bandar Seri Begawan: European Commission, 2012); European Commission, *Pacific Regional Strategy Paper and Regional Indicative Programme 2008-2013*. (Strasbourg: European Commission, 2008).

⁵⁶⁴ Elizabeth G. Ferris, *The politics of protection: the limits of humanitarian action* (Washington, D.C: Brookings Institute Press, 2011), 102.

⁵⁶⁵ Sue Farran, *Human Rights in the South Pacific: Challenges and Changes*, (Abingdon: Routledge-Cavendish, 2009), 117.

⁵⁶⁶ Interview excerpt, ECHO staff, 10/11/2010.

	and human rights is one of our core principles that we try to communicate to the outside world[...] ⁵⁶⁷
EUROPEAN INTERNATIONAL ORGANISATION	A lot of it, it's political as well, I mean, it depends on the country office, and what they think is important, and that has to be balanced against what the technical people think, and for us it's priorities, the country's priorities... ⁵⁶⁸
IN-COUNTRY UN AGENCY	...These are far equal apart systems. Sometimes people do not have issues with the conditionalities...but sometimes people think, 'why are they telling me to do all this, for this money, when there's another person willing to give me even more money but without asking me for anything.' So EU – the systems and maybe almost like the systems in the UN – they are very good systems because they prepare, support and receive such good funding... China does not mind that, whatever you want to do with your money, you want 300 million, here it is. So that's why I say that each has its own advantages, but also its disadvantages. ⁵⁶⁹

Figure 6.3 Human rights & conditionalities in DRR programming in the Asia Pacific

According to the ECHO representative above, funding would be withdrawn if humanitarian principles, including human rights, were not upheld by their partners. There is also recognition of the influence of weakened governance on the implementation of EU-financed programming. Both the withdrawal of financing partner organisations and strict or corrupt governance in-country can have significant impacts on those at risk at a local level. Califano argues accountability in public administration will lead to positive empowerment of individuals and groups their own personal growth, ⁵⁷⁰ and as such represents a reduction in vulnerability. Figure 6.3 incorporates a statement from an EU delegation of their limited capacity, and consequently there is no specific representative for human rights, as this is reserved for larger delegations. Alternatively ‘managing’ human rights is undertaken in countries where human rights is considered ‘a problem.’ As such, delegations such as Vanuatu do not have a human rights representative, but it is subsumed into the roles of the existing staff to impart the EU’s view of human rights as one of their core principles. Despite this, it is considered by an in-country EU official that while there is little public disclosure of human rights abuses, the delegation promotes the EU’s core principles, including the upholding of human rights.

⁵⁶⁷ Interview excerpt, Anonymous, 15/10/2012.

⁵⁶⁸ Interview excerpt, ICRC, 15/10/2012.

⁵⁶⁹ Interview excerpt, UN Agency, 16/10/2012.

⁵⁷⁰ Joseph J. Califano, “Justice, Security, and Genuine Peace,” in *Global Community*, eds. Randall E. Osborne and Paul Kries, (Amsterdam; New York: Rodopi, 2008), 283.

“Violence is often not reported, it’s something that is almost considered as part of their customs but we promote our principles, and I see Vanuatu is doing pretty well in terms of signing the international standards of human rights. Of course, signing and putting into practice is not always the same in terms of human rights, but I always compare how Vanuatu is in comparison to her neighbours - not doing too badly.”⁵⁷¹

The signing of international human rights conventions does not translate to the ratified of such resolutions, requiring sustainable adjustments to governance at all levels, and facilitation to implement the treaties.⁵⁷² Such a statement also indicates the disparities of upholding human rights international legislation across Pacific states, with Vanuatu as an example, which is “not doing too badly”, according to the above quotation from an EU representative. While culture and tradition can play a significant role in the upholding of human rights,⁵⁷³ societal practices cannot be a grey zone where human rights abuses continue to occur, and individuals continue to be at risk, despite signing applicable international conventions. The role of culture and tradition in community-based DRR is expanded on in upcoming sections of this chapter.

For one European partner organisation, EU- funded programming is politically orientated towards the NDMO, but in recognition of the country’s priorities. As one UN agency member reiterates, advocacy for children through dialogue with government officials can be immaterial if the content is not in line with the objectives of the national authorities:

“We can do studies, and give literature, we can fund different components, but of course, within the different areas, it is following the government’s priorities. Although we can

⁵⁷¹ Interview excerpt, Anonymous, 15/10/2012.

⁵⁷² Jalal, P.I., Why do we need a Pacific regional human rights commission? *Victoria University of Wellington Law Review* 40, (2009): 193.

⁵⁷³ Jack Donnelly, “Cultural Relativism and Universal Human Rights,” *Human Rights Quarterly* 6, no. 4 (1984): 400-419.

continue advocating for children, but in most cases we are following the government's priorities."⁵⁷⁴

Whether surrounding the rights of its citizens or the reduction of disaster risk, national core priorities can affect relationships with partner agencies. So to, can the manner of programming on the ground. Donor-financed projects may have certain conditionalities attached to the funding, such as the safeguarding of the rights of those they work with. As the UN agency staff member suggests in Figure 6.3, for some states or partner organisations, certain donor conditions may not be in line with the country's own policies or underlying core values. As such, it may be considered as more effective to access funding from donors where there is no conditionality attached to funding. Accordingly, this can have significant implications on the donor-country relationship, the direction of the programming, governance structures at all levels, and community engagement.⁵⁷⁵

6.3 GOVERNANCE IN DRM IN THE ASIA PACIFIC

The domestic governance structures, channels for DRR implementation, and the chain of partnerships between actors involved in the DRR programming will have a re-bound effect on the decision-making for DRR financing. Effective partnerships and structures at a community level will influence the decisions and core values held at national level, and their subsequent relationship with donors in the financing of DRR programming.

Levels of capacity of disaster management actors at national level, including the national disaster management office (NDMO) influence their relationships with partners, whether adjoining ministries, networks of humanitarian organisations, UN agencies, or local donors.

EU DELEGATION	[...] In Vanuatu there is very low capacity. The ministries are very small, there are few people, and all the partners are putting pressure on the same three, four people, and there is not enough staff.
IN-COUNTRY DONOR	I think there has been some inroads made more recently [...] building better linkages with the police force on search and rescue [...]or the local broadcaster on emergency broadcasting studio[...]think it lacks, because it is so small, that strategic oversight and

⁵⁷⁴ Interview excerpt, UN Agency, 16/10/2012.

⁵⁷⁵ Jan Wouters et al., *China, the European Union, and the Restructuring of Global Governance*, (Cheltenham: Edward Elgar Publishing Ltd, 2012).

	direction to ensure the donor money is being used as well as it can be, but also that the NDMO is prosecuting some of those big priorities. ⁵⁷⁶
IN-COUNTRY GOVT OFFICIAL	That is part of our national strategy, making sure we have good partnerships at the national level. We are now moving into the provinces, establishing our network in the provinces as well...One thing we are trying to do is to strengthen our logistical arrangements, with partners, to be able to get to them quickly for response, so we are working on that [...] You cannot have the perfect system – during a disaster things could go wrong, it always pays to come up with something to work with. ⁵⁷⁷
UN AGENCY	Some donors do not support capacity building – they do not pay salaries, they do not do training [...] ⁵⁷⁸
UN AGENCY	It's all fragmented in different sectors, we need to come up with only one legislation that can be driven by one agency, then maybe the other departments can link up with other policies, other ministries can integrate DRR / DRM message under that main legislation. ⁵⁷⁹
UN AGENCY	Mostly government look more at the economic growth, and sometimes they forget the social components, and maybe when you raise the social components, they say that's what tradition is being catered for, and sometimes they may not look at them. ⁵⁸⁰
IN-COUNTRY ORGANISATION	At national level there still needs to be access to understanding and implementation, but there still needs to be strengthening at a provincial level[...]In Port Vila, we've managed to set up a bit of a network and link with the NDMO, but at provincial level needs to mirror that set up[...] ⁵⁸¹
IN-COUNTRY ORGANISATION	In the past, we have found there is always a shortage of manpower, and at the provincial level, there is no support at all. ⁵⁸²
IN-COUNTRY ORGANISATION	It'll get there – you've got silos that are always going to be silos, and they're not going to want to play with each other. And you need someone [...]to bring them together, and to coordinate, and luckily Vanuatu is small enough for that to happen. But I think that other NDMOs could learn huge amounts from the stuff that is done here. ⁵⁸³
IN-COUNTRY ORGANISATION	I think they are really willing to help this country through NGOs and other organisations to strengthen capacity at community level, because they're the first to face a disaster and need to react accordingly, but also to strengthen the capacity [...] ⁵⁸⁴
IN-COUNTRY ORGANISATION	You just need to ensure that any development programming is still implemented within the existing social structures, and the emphasis on behaviour change, who the

⁵⁷⁶ Interview excerpt, Ausaid, 16/10/2012.

⁵⁷⁷ Interview excerpt, Anonymous, 15/10/2012.

⁵⁷⁸ Interview excerpt, UN Agency, 16/10/2012.

⁵⁷⁹ Interview excerpt, UN Agency, 16/10/2012.

⁵⁸⁰ Interview excerpt, UN Agency, 16/10/2012.

⁵⁸¹ Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012.

⁵⁸² Interview excerpt, World Vision [in-country], 15/10/2012.

⁵⁸³ Interview excerpt, Save the Children, 18/10/2012.

⁵⁸⁴ Interview excerpt, Care International, 17/10/2012

	people are that we target[...]We need to support development programming that allows you to support dialogue and change at the community level. ⁵⁸⁵
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Figure 6.4 Views of in-country DRR governance

Notwithstanding feeble governance structures, the Pacific donor representative believes the state of affairs in Vanuatu to be improving. Despite this positive viewpoint, their statement in 6.4 indicated coordination amongst ministries solely in the context of disaster response, with little reference to the effectiveness of Vanuatu’s governance and coordination to reduce in-country risks across the disaster cycle. In addition, the interview participant believed that in a broad sense, there was a lack of good leadership, resources and complicated infrastructure within the Vanuatu public sector, which resulted in fluctuating staff levels, and represented impediments to thorough policy development and subsequent implementation.⁵⁸⁶ For the EU, the low capacity within the government ministries, meant staff were consequently under pressure from in-country humanitarian organisations. While representing one of its core objectives in building capacity at local levels, through the financing of humanitarian and DRR programming, the EU was limited by the Paris Declaration for aid effectiveness, and Accra Agenda for Action,⁵⁸⁷ in the amount of technical assistance (TA) it facilitated:

“...The Paris declaration, Accra general, which says we should limit as much as possible our technical assistance [...] But for us it’s more and more difficult to get TA in projects because it would mean that it’s implemented by our local counterparts, but in small countries like Vanuatu, it’s a real problem. So we are a bit ‘squeezed’ – on the one hand we would like to put more in, but it’s a bit contradictory to the new thinking[...]”⁵⁸⁸

The ‘new thinking’ of the role of capacity building in humanitarian assistance may refer to the notion of a shift of power to the local implementation partners and government

⁵⁸⁵ Interview excerpt, Save the Children, 18/10/2012.

⁵⁸⁶ Interview excerpt, Ausaid, 16/10/2012.

⁵⁸⁷ Joseph J. Califano, “Justice, Security, and Genuine Peace,” in *Global Community*, eds. Randall E. Osborne and Paul Kries, (Amsterdam; New York: Rodopi, 2008), 283.

⁵⁸⁸ Interview excerpt, Anonymous, 15/10/2012.

counterparts, but this can lead to issues of retention.⁵⁸⁹ EU regional, and country strategy papers are also means for the EU to establish its approach to assisting third countries, yet often the context or mechanisms for assisting regions or states with disaster management, or disaster risk management, to enhance DRR programming remain limited. As one DRR practitioner states, the establishment of DRR donorship within country strategy papers can be an effective tool:

“You need country strategies to make those types of programmes work. So if you say, ‘here’s our country strategy for Cambodia [...] the main risks are these, the main places where we can add value are these, and this is what we’re going to do...’ [...] You work out what needs doing, who else is doing it [...] and you look at how you can complement it.”⁵⁹⁰

Such strategies can, firstly, incorporate a comprehensive, cyclical approach to disasters and DRR programming, to include donor-facilitated comprehensive risk assessments, monitoring and evaluations. Secondly, the strategies can be a platform for knowledge exchange between all actors present in the area concerned. While the practitioner rightly believes that ‘to make that viable that would involve funding on a scale which I don’t suppose DIPECHO is able to do,’ given the budget of DIPECHO, but would be possible and effective if considered as DRR under its development arm, which country strategy papers are. Subsequently, this will result in an accountable, cost-effective approach to establish an understanding of contextual DRR methodology, present and past programming, and an avoidance of project duplication. In addition to the accountability of the EU and European partners in the implementation processes of DRR programming, projects should imply the ownership of processes at a local level, through the participation of local actors in the project cycle.

“I think one of the problems ECHO has is that whole chain of partnerships, right down to the ground, because they’re not

⁵⁸⁹ Roger C. Riddell, “Does Foreign Aid Really Work?” Background Paper to Keynote Address, Australasian Aid and International Development Workshop, February 2014, <http://devpolicy.org/2014-Australasian-Aid-and-International-Development-Policy-Workshop/Roger-Riddell-Background-Paper.pdf>, Accessed: 25 February 2014.

⁵⁹⁰ Interview excerpt, Anonymous, 12/09/2012.

involved at the ground level. There's a lack of understanding by the people who actually are out on the ground of what, and who, on earth ECHO is, for example, apart from people who put stickers on everything so they've got visibility. And vice versa, the people in the Commission don't work closely enough to know what the grass roots stuff is like."⁵⁹¹

The assurance of local ownership of processes requires the facilitation of partnerships with local actors in engage them in EU processes, along with an understanding from Brussels, and regional EU offices of the local mechanisms and actors involved in-country, through comprehensive knowledge exchange. This is not only required at national level, but provincial and community level.

As several of the interview participants indicated in Figure 6.4, in the case of Vanuatu, there is a considerable lack of provincial governance structures for effective reduction of disaster risks. The role of partner organisations was acknowledged by the NDMO in assisting with strengthening the logistical arrangements at provincial level, but again, in reference to disaster response, and preparedness for disaster response, rather than looking to DRR as cyclical programming to reduce risks throughout the disaster cycle.

One UN agency staff member suggested the fragmentation of governance structures was not limited to vertical governance structures, but horizontally across ministries. Stronger linkages with other ministries, and the mainstreaming of DRR throughout ministries to 'integrate the DRR/DRM message,' will assist in linking policy and subsequent implementation.⁵⁹² In doing so, the mainstreaming could assist with strains on capacity within the ministry, through role assignment and effective channels for dissemination of information. Public administrators must be committed to public engagement and knowledge exchange regarding the governance structures surrounding national disaster risk management. However, along with stronger accountability measures such as this, there must also be acknowledgement from government officials of the potential redefining of the relationship between governance structures,⁵⁹³

⁵⁹¹ Interview excerpt, Anonymous, 12/09/2012.

⁵⁹² Interview excerpt, UN Agency, 16/10/2012.

⁵⁹³ Joseph J. Califano, "Justice, Security, and Genuine Peace," in *Global Community*, eds. Randall E. Osborne and Paul Kries, (Amsterdam; New York: Rodopi, 2008), 283.

whether at national, provincial and community levels. The focus of the Vanuatu government on economic concerns was also raised, where social aspects were often sidelined in place of economic growth and the role of tradition and culture employed as local mechanisms to cope with social vulnerabilities. Again, the capacity of ministries involved in social issues becomes a scapegoat for disregarding social risks, in general and associated with disasters. According to the UN agency representative, this was a matter which was not limited to Vanuatu, but was applicable across the Pacific:

“ [...] For example, in the Ministry of Justice and Community Service, I think if their capacity is well-built and they do what they are meant to do, then I think the social components will be catered for. Generally, in this region, social components are left to the tradition, to the culture, it's not really welcomed...”⁵⁹⁴

Besides looking to culture and tradition as managing social risks, another interview participant from an in-country organization suggests any alterations to reduce social risks is at the government level, rather than reducing the risks in question:

“The practice now in Vanuatu is they go for infrastructure, not really looking at the individual needs of the groups – disability, children, mothers/pregnant, those who are sick, the elderly – that has not been taken care of.”⁵⁹⁵

The concluding quotation in Figure 6.4 from an international organisation working in-country stresses any agency involvement at a community level must recognise the existing social structures in order for DRR programming to be effective. States can fall victim to not mainstreaming DRR vertically effectively through local to central governance structures. Or furthermore, states may fail to look at horizontal governance structures, where DRR can be mainstreamed across various central government entities, or ministries, in order to increase effectiveness in reducing gaps or overlap in DRR programming.

⁵⁹⁴ Interview excerpt, UN Agency, 16/10/2012.

⁵⁹⁵ Interview excerpt, World Vision [in-country], 15/10/2012.

Bearing in mind, such issues are not limited to Vanuatu, or developing nations. Developed states considered as having effective disaster management policies, may also lack a comprehensive approach towards the inclusion of all local actors in the decision making process, to guarantee effective partnerships in DRR policy and programming. By guaranteeing local ownership of DRR programming through the recognition of local actors ensures not only local risks factored into the programming, it ensures subsequent increases of community resilience. However, an interview with an ECHO staff member in Brussels suggests that it is a capacity issue within the partner countries – that there is a “deficiency in that we don’t necessarily have the right partners there. [...] Not all of [our partners] have a presence in the Pacific [...]”⁵⁹⁶ The lack of presence of FPA partners, and their local counterparts to act through, was considered to be a cause for nominal EU involvement in Pacific disaster response.

While the EU cannot partner directly with local organisations, there is the ability to act through European agencies, who are able to partner with agencies present in the region and in-country, forming a chain of partnerships between the EU, European partners, and local actors. In-country offices of international organisations are working together to maximise their effectiveness in DRR programming. At a national level, there are multi-stakeholder groups including international organisations, NGOs, and donors coordinating together in the field of humanitarianism to maximise effectiveness, and ensure there is not an overlap or duplicity of actions. For example, the Vanuatu Humanitarian Team (VHT) synchronises its efforts with the national development office to harmonise the humanitarian, and development activities, including DRR programming. From the perspective of the Vanuatu National Disaster Management Office, coordination with the VHT is particularly important in learning from their responses following a disaster. Yet, the organisations involved in the VHT are primarily international organisations based in-country, such as Oxfam or Save the Children, with a lack of inclusion of other local humanitarian or civil society organisations to assist in the DRR programming. However, as Figure 6.5 suggests disparate views between EU officials, European FPA partner organisations, and local actors in engaging with other local actors to assist in the strengthening of DRR governance and partnerships.

⁵⁹⁶ Interview excerpt, ECHO staff, 11/10/2010.

ECHO REGIONAL OFFICE	[...] The local NGO may be subject to pressure from government but then the local NGO gets funding from the international NGO, who is then also in a position to say, “[...] I can only help, I can only be funded if I am working to certain principles, which would be much more difficult for the local NGO if it had its own money and working in a totally local environment.” ⁵⁹⁷
EUROPEAN DRR PRACTITIONER	EU applications are tough unless you’ve got experience in it. If you’re a little NGO in Fiji, how do you learn how to do it? That’s what I mean about these chains of relationships – your relationship is with your partner – your relationship isn’t with ECHO at all [...] ⁵⁹⁸
EUROPEAN INTERNATIONAL ORGANISATION	We will always encourage our partners to link up with local authorities. Generally speaking, it’s not a problem because they have to anyway, or it’s the best way forward, or they can see it’s the best way forward, even if it’s a bit of a struggle. ⁵⁹⁹
EUROPEAN INTERNATIONAL ORGANISATION	[We’re] not present in the Pacific as an agency, and we work in a lot of places. I think there might be something in Fiji, actually, I have a vague recollection, it’s not us, it’s a partner organisation in Fiji.
EUROPEAN INTERNATIONAL ORGANISATION	Our programme staff will help our partners, our local civil society organisations, to run programmes, they help them to set up programmes, build capacity, training them and things, and then they help in reporting to the major donors and things like that. [...] Generally speaking, those partners are more likely than not going to be Catholic partners, so part of the CARITAS network. ⁶⁰⁰
IN-COUNTRY DRR PRACTITIONER	We’ve been able to construct rapid assessment teams that have representatives from each cluster and child protection representatives going out – male and female. That hasn’t been a formal strategy, what we’ve tried to do is set up a model of best practice[...] Obviously it’s not perfect, but I think certainly being able to bring people up to scratch, and make them aware of global standards, global models. ⁶⁰¹
IN-COUNTRY ORGANISATION	A lot of the other NGOs may not have a child-centred focus, but they’re doing work that we can support them in with a child-centred approach. One of our programmes is education and emergencies programme, and we directly support our counterpart in the Ministry. ⁶⁰²

Figure 6.5 The influence of partnerships and local actors on in-country governance

In support of the disparities amongst actors of the influence of local partner agencies, data analysis of European FPA partners indicated there are several European organisations which visibly recognise the role of local partner involvement through project outlines on their

⁵⁹⁷ Interview excerpt, ECHO Information Officer, 25/02/2011.

⁵⁹⁸ Interview excerpt, Anonymous, 12/09/2012.

⁵⁹⁹ Interview excerpt, CAFOD, 10/09/2012

⁶⁰⁰ Interview excerpt, CAFOD, 10/09/2012

⁶⁰¹ Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012.

⁶⁰² Interview excerpt, Save the Children, 18/10/2012.

websites. Linkages primarily focus on UN agencies, other international organisations, or in several cases, corporate partners to assist in carrying out FPA activities. Throughout the FTS data, several projects indicate there are various partners involved, rather than having a primary organisation in charge of project implementation. In such cases, it is unsure which agencies are the partnering organisations, making it complex for project evaluation, and funding trails from EU mechanisms. Despite a limited recognition of partners assisting project implementation by child-centric FPA partners in the Asia Pacific region, data collation for this research has shown there is a multitude of local organisations carrying out activities in the region, with the capacity to assist these European-based organisations. Collaborations between international and locally-based organisations enhance the legitimacy of the project where resident organisations often have a better understanding of local milieu. This can be in terms of the physical hazards faced, the political environment, and the physical and social vulnerabilities adding to forthcoming risks surrounding a disaster. One interviewee from ECHO and based in Brussels, describes the relationship between international organisations and the local NGOs they coordinate with:

“[International organisations] benefit from all the background information they have accumulated over the years, of knowledge and cooperation with local NGOs. This can be easily and speedily put to work. And one other advantage of working through NGOs, they are not so much under pressure from local authorities, from local actors, as international NGOs. International NGOs can always say ‘I have these constraints, I have these limitations, and I wouldn’t be able to give you money if I cannot work according to this or that rule.’”⁶⁰³

This conditionality is also conveyed through the upholding of humanitarian principles by the international organisations.

“We would expect that, the international part of the operation, the international NGOs would stand its ground. In terms of

⁶⁰³ Interview excerpt, ECHO staff, 10/11/2010.

adhering to humanitarian principles, human rights in the wider sense, and if this is not the case and we have reason to believe, we would withdraw our funding, it's as easy as that.”⁶⁰⁴

“We do protection, we do in camps, we segregate you know, women facilities, we give for example for food aid, we give the money for women, the EU do a lot of things for women, mainly, women and children. But one thing is to look at protection and another thing is to refuse providing aid because the government doesn't ensure human rights. This we don't do, even if the government is an unlawful dictator like it was in Burma, we still try to go and help people.”⁶⁰⁵

In addition to assisting with the upholding of FPA partner humanitarian obligations, the support of local organisations assists in the administrative aspects of project implementation: the assessments, monitoring, evaluation, and subsequent dissemination of the project outcomes. The chain of partnerships between European and local agencies will be discussed in further details in Chapter VI, in reference to the Asia Pacific.

Several of the European organisations were unaware of their partner organisations in the region, and a suggestion of reliance on existing networks of partners at a local level. One DRR practitioner working in a European international organisation was unsure of how to establish a new partnership with a local organisation:

“The ins and outs of how that process works is probably different for every single place and it's a lot to do with networks, and local relationships[...]I'm not entirely sure how you approach new partners[...]

...

⁶⁰⁴ Interview excerpt, ECHO staff, 10/11/2010.

⁶⁰⁵ Interview excerpt, European Commission Humanitarian Aid and Civil Protection Cabinet, 4/11/2010.

That's why it's good that if we worked a long time with partners, which work over a long time with communities, we should get a good clear picture of what their hazard needs are. But if you want to go into a new area, then I can see that would be a stumbling block.⁶⁰⁶⁶⁰⁷

The statement from the ECHO regional office and one European partner organisation in Figure 6.5 highlights the influence of in-country political pressure on local humanitarian organisations. Despite the complexities of providing humanitarian aid in politically unstable countries, ECHO remains neutral according to its mandate, acting through the international and local partner organisations. The reliance of ECHO on partnerships with recognised, international organisations is clear in the preliminary statement, where local organisations and their activities can be at risk when working with local authorities. One EU regional staff member describes the impact on DRR programming:

“...In the Philippines there has been a lot of violence and the problem is each time someone changes, we will never know what will happen with [...] The problem is it's a long process to have things approved [...] The Department of Education have been requested to be much more involved, and to certify much more which is very good, but to certify they have some standards [...]”⁶⁰⁸

While the European FPA organisations support their local counterparts to link with government disaster management authorities, DRR programming can become compromised due to changes in governance. Along with potential political influences on the decision from donors and international organisations to avoid partnerships with local organisations in the Asia Pacific, interview excerpts in Figure 6.5 from European and in-country organisations suggest a perception of a deficiency of capacity from local organisations and governments in the capacity of local actors in the administrative obligations for DRR programming. In

⁶⁰⁶ Interview excerpt, CAFOD, 10/09/2012.

⁶⁰⁷ Interview excerpt, CAFOD, 10/09/2012.

⁶⁰⁸ Interview excerpt, ECHO DRR Coordinator, 25/02/2011.

addition, there is the outlook from European partner organisations that their local counterparts may require training of specific programming objectives, such as child-centric DRR activities. Both scenarios require, according to these interviewees, the influence of international organisations through capacity building at a local level to assist local organisations to engage in DRR governance and decision-making processes. Such empowerment of local actors in the policy formation and implementation of DRR programming is important in their understanding of processes. Yet the commitment from the EU and the international organisations suggests knowledge transfer, rather than knowledge exchange. While knowledge transfer as part of education can be applicable to development assistance, reliance on knowledge transfer shifts the focus off local ownership of processes through the engagement with communities to discuss vulnerabilities and subsequent risks they face. As such, knowledge transfer goes against the idea of a holistic approach to risk reduction, and a rights-based approach. In the example of Vanuatu, there are increases in networking amongst humanitarian and development agencies to, which suggests moves to more effective DRR programming, including information sharing. But as one individual working to adjoin local implementing agencies, and donors in community-based DRR in-country suggests despite their efforts to avoid duplicity and increase DRR effectiveness, this often does not happen.

“Generally as it stands most agencies will have a bilateral relationship with their donor – so when it comes to reports, and successes, that doesn’t tend to be widely shared.”⁶⁰⁹

Moreover, public dissemination at a local level for DRR is limited. The portals can be difficult to operate and focus on provision of information for practitioners, rather than general public access to DRR information.

“[Public access to information] is available, but not readily available. Some of it is, some of it isn’t. There are moves afoot to try and make information more available through things like the DRR/Climate Change portal, where a lot of

⁶⁰⁹ Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012.

information's being uploaded... [But] it's a rabbit warren. Good for practitioners, it's not a community resource. It's a repository of so much information, it's a good resource for a particular target market, but in a place like [Vanuatu] it's not really an effective tool for public accessibility."⁶¹⁰

Information provided by government agencies, or in-country organisations, again, tends to focus on preparedness for response and recovery, with diminished dissemination of information of the general project outcomes and reduced vulnerability.

“The public would get it via the NDMO. The met office⁶¹¹ will let you know the cyclone's coming, the NDMO will give you warning. In terms of that public information messaging, when we're training at provincial level, and grass-roots level they're aware of what the warnings mean, what the messaging is, so it's standardised.”⁶¹²

However, there has been recognition from in-country agency representatives of the importance of general knowledge exchange and public access to DRR project implementation and project outcomes. A UN agency representative suggested,

“[Disaster] Reduction and mainstreaming into the day-to-day systems. I've been working in humanitarian systems for years and one of the things I was told was when you leave work and you go into the field, you leave with the understanding you may never come back.”⁶¹³

In addition, knowledge exchange through public dissemination assists local adjoining communities in understanding DRR approaches, which may be of use or contextualised to their own risks and subsequent risk reduction. Community and regional information

⁶¹⁰ Interview excerpt, Save the Children, 18/10/2012.

⁶¹¹ Vanuatu Meteorological Service

⁶¹² Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012

⁶¹³ Interview excerpt, UN Agency, 16/10/2012.

dissemination on DRR approaches and risks faced helps to reduce risks outside of the project periphery. Neighboring communities or countries gain knowledge on risks faced, mitigation strategies, and lessons learned from the project, and can apply where appropriate to their own context.

National governance structures influence the effectiveness of DRR policy and subsequent implementation, as well as those structures at a local level. In the context of Vanuatu, community disaster committees (CDCs) under the guidance of in-country offices of international organisations, act in conjunction with the NDMO.

<p>IN-COUNTRY GOVT OFFICIAL</p>	<p>Even when we are setting up the community disaster committees, we also account for them. They have representation in that committee – one coming from the women, one coming from the youth, one coming from the disabled, so we want to fit all the interests in that committee so we don't leave people out. Of course, children are not included because they will not be able to make decisions but we try to cover their interests as well by incorporating women[...]⁶¹⁴</p>
<p>UN AGENCY</p>	<p>We need to connect, formally, the community disaster committees up to the area council committees, at the provincial level, so that they are endorsed and formalised by the province[...]So you need to really strengthen this one before you have the area council level, and from here, the provincial level to the national NDMO.⁶¹⁵</p>
<p>UN AGENCY</p>	<p>The system has changed now, while they're still there maintaining their role as traditional leaders, the projects are coming in to create new committees, so you have the community disaster committee, but these committees should recognise the traditional role of the chief and give them the official status in these committees so that they are still recognised as true traditional leaders. If the projects are oversighting this, then we are also falling into the same trap as also not recognising the leadership role. Of course the church also plays an important role here, but we also need to keep the same respect and recognition for the traditional governance system[...]of course the youth are part of it. Children – we haven't taken that on board but that's a good point. The CDC's also identify the vulnerable groups of society also need to be considered in decision-making, so we are mindful of that so don't worry...⁶¹⁶</p>
<p>IN-COUNTRY ORGANISATION</p>	<p>I think custom and law are usually at loggerheads, meaning having equality and women's participation is usually still quite a new concept in some areas... In each</p>

⁶¹⁴ Interview excerpt, Anonymous, 15/10/2012.

⁶¹⁵ Interview excerpt, UN Agency, 16/10/2012.

⁶¹⁶ Interview excerpt, UN Agency, 16/10/2012.

	community there's the CDC, and that's made up of all the important people – some have women, most do not. ⁶¹⁷
IN-COUNTRY ORGANISATION	So a gender balance is very important in DRR. But it really depends on the governance of the community, and sometimes you've got women chiefs, and CDC chairmen which are women[...]who are absolutely taking the role in account. ⁶¹⁸

Figure 6.6 Community Disaster Committees

The divergence in DRR governance at national and provincial levels aforementioned needs also to be extended to link with the CDCs.

“We managed to get three agencies together with the NDMO and have an agreement about the structure of the CDC, the roles and responsibilities of the CDC, the information giving to the CDC, and the reporting back to the NDMO...So we got them to first acknowledge the role and function of provincial government but also the role and function of NDMO. Everything has to have a reporting up and reporting down.”⁶¹⁹

As one UN agency representative affirms in Figure 6.6 the formal recognition of the role of CDCs in the national disaster management strategy will assist in strengthening the DRR policy and programming at provincial and national levels. However, for this to be successful, exchange of information across these levels is essential. Agencies coordinating with the CDCs, and provincial and national actors, can assist in bridging this gap.

Actors included on the CDCs vary among the communities. As some of the interview quotations in Figure 6.6 suggest, there are disparities of representation from the different social factions on the CDCs. There are suggestions within Figure 6.6 the CDCs need to further acknowledge traditional structures, to draw on the roles of chiefs in coordinating community-level disaster activities. Others advocate for stronger representation of women, those with disabilities, the elderly, and youth as particularly vulnerable groups. One DRR programmer indicates the conflict between culture and the upholding of international human rights law, in specific reference to gender concerns. Indeed, the rare participation of women

⁶¹⁷ Interview excerpt, Save the Children, 18/10/2012.

⁶¹⁸ Interview excerpt, Care International, 17/10/2012

⁶¹⁹ Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012

in decision-making at a local level is emphasised. For many communities, the influence of women within the CDCs is not considered to be appropriate. A representative from an in-country international organisation reiterates:

“That’s the role of the government when they go into these communities to explain there has to be this – women need to have a role in decision making in their own community, and at the beginning of that whole education process - that women do have something to bring to the table in regards to DRR [...] DRR is actually very much based around the home, and the mother, and the child outside of the home[...],”⁶²⁰

According to this statement, the role women play in society influences community decision-making surrounding DRR programming. The quotation suggests it is the role of the government in supporting the voices of women in community programming, along with education of communities in the empowerment of societal factions to be a part of decision making at a local level. However, education suggests knowledge transfer from organisations or national authorities, rather than dialogue and engagement utilising existing structures to consider the roles of each member of society, and their capabilities in reducing the risks they face surrounding disasters. Yet, as indicated in the Figure above, according to the in-country government official, and one UN agency representative, this does not extend to the opinions of children, despite the fact in other communities, the voices of children are considered as credible and can engage in community decision-making.⁶²¹

6.4 COMMUNITY-LEVEL DRR PROGRAMMING

Observations of engagement of community groups in committees as community disaster governance structures are transcended to consider core community values and traditions which impact on the effectiveness of DRR programming at a local level.

⁶²⁰ Interview excerpt, Save the Children, 18/10/2012.

⁶²¹ Global Network of Civil Society Organisations for Disaster Reduction, *Views from the Frontline: Beyond 2015*, (Middlesex: GNDR, 2013).

IN-COUNTRY DISASTER MGMT OFFICE	When we are doing programmes and activities, we always consider the full members of the community. We acknowledge that not only able people are living in the community but different grouping of people, disadvantaged people, we take into consideration all members of the communities. ⁶²²
PACIFIC DONOR	I don't know but I think these organisations are working in locations where there is a demand and where there is buy-in, not where they're not willing to work with these organisations so there is a level of engagement which needs to be negotiated prior to any work on the ground. I haven't heard of any instances where communities have rejected assistance or protested against what has been done but I think there is work afoot to establish strong networks or champions within communities to try and broker those kinds of activities. ⁶²³
IN-COUNTRY ORGANISATION	It's everybody's business. And what they do in development, they need to integrate DRR, so education you need to integrate hazard knowledge into formal curriculum, in the school level, the school you build are quite disaster resistant to the main hazards the country can face...That is why DRR needs to go everywhere, through the community level, the health centre, the mama/ papa, church, everyone. Everyone who can bring some message to be better prepared, is valuable, and can save lives. ⁶²⁴
IN-COUNTRY ORGANISATION	Traditionally if you look at how the communities are set up, there is some kind of network, some kind of governance, so when in the event of such happenings, like a disaster strikes, what do people do. So there are some of those that are in place, but I would say that a lot of those would need to be reviewed [...] ⁶²⁵
IN-COUNTRY ORGANISATION	I think it would be a traditional way where people are looked after in their own communities, people would always take care of other people, they would have the heart to look after other people. ⁶²⁶
IN-COUNTRY ORGANISATION	What we're really working hard on is really working with community across board to understand all the different types of abuse, and neglect etc etc – what are the risks, who are the perpetrators, what should happen... the whole gamut. We've just begun that process, and we're going to be working with the church groups, working with the Police, working with the provincial government, in the communities, more importantly and most importantly, themselves. ⁶²⁷

Figure 6.7 Community-level DRR programming

Existing community structures, as reflected on above, requires a comprehensive approach to community DRR programming. Agency of all community actors in decision making is gained by making use of community assets and existing community infrastructure. Turner and Khondker state that collective vulnerability is reduced through “human agency and organised

⁶²² Interview excerpt, Anonymous, 15/10/2012.

⁶²³ Interview excerpt, AusAID, 16/10/2012.

⁶²⁴ Interview excerpt, Care International, 17/10/2012

⁶²⁵ Interview excerpt, World Vision [in-country], 15/10/2012.

⁶²⁶ Interview excerpt World Vision [in-country] 15/10/2012.

⁶²⁷ Interview excerpt, Save the Children, 18/10/2012.

social responses.”⁶²⁸ Indeed, as one international organisation representative explains, “the community structures that are in place, already existing, are the most effective means for doing any disaster preparedness engagement – supporting any disaster preparedness activity. And then again for any engagement at a community level, those structures are paramount.”⁶²⁹ While this is an effective approach in maintaining local governance structures the context of DRR in this statement is, again, limited. This particular quote reinforces the oft view of DRR formation with the focus on the preparedness of communities to respond to a disaster, rather than a comprehensive view of disaster risk. This is vital in cases of low impact, or slow onset risk, which may be unacknowledged.

For donors involved in facilitating community level DRR, the Pacific donor quoted in the Figure above looks to the relationship between the partner agencies and local communities in DRR engagement. The essence of the quotation surrounds the role of organisations to ‘broker’ DRR programming, in the sense of a business transaction between two parties, with the view that the ‘negotiated’ levels of engagement from communities, have not led to the rejection of support from partner organisations.

The engagement of donors and partner agencies active in communities requires a two-way dialogue with communities and individuals. It is a positive inclusion of community actors in DRR programming processes, but the view of one in-country organisation seeks to address community vulnerability through the education of community individuals, with little regard for the engagement with community factions and individuals to decipher what they consider to be risks. One representative of an in-country organisation in Figure 6.7 believes that when it comes to vulnerable groups, such as children, traditional community networks function to address vulnerabilities.

“ I think we need to advocate more our risks, and the impacts on the vulnerable groups, and make it very plain and we can address that through project initiatives at a community level. So we can actually bring it down and actually identify the

⁶²⁸ Bryan S. Turner and Habibul H. Khondker, *Globalisation East and West*, (London: Sage Publications, 2010), 150.

⁶²⁹ Interview excerpt, Save the Children, 18/10/2012.

different roles of each vulnerable groups or the different roles that the communities – the structure within the communities. Because the governance system you have the leadership from traditional to village councils to all sorts of communities ...so these issues can actually be addressed at that level.”⁶³⁰

In addition, knowledge exchange with the various groups, can also assist in identifying the capabilities of vulnerable groups, such as children. Rather than focussing on weaknesses, the strengths of such groups can be recognised in order to support community resilience through the acknowledgement of social capital. This shift in mind-set to acknowledge both physical and social vulnerability and capability within communities leads to the discussion of integration of modern and traditional, or, cultural influences on community DRR programming. McEntire emphasises the need to look beyond physical vulnerabilities to social vulnerabilities, in addition to recognising the capabilities of communities in reducing risk.⁶³¹ In his work on social justice, local-level adaptation, and sustainability, Valadez argues that due to the diversity of circumstances faced, the notion of adaptation confirms the capabilities of individuals or communities to respond to changes in the social and physical environments,⁶³² as exemplified by local-level activity throughout the disaster cycle. Observations from actors involved in DRR at an international, national and local level, of an integrated approach to DRR methodologies are represented in the following Figure.

PACIFIC DONOR	My own observation is that the people of Vanuatu are very resilient and have withstood millennia of crises and disasters [...] but these people are still very strong and capable of withstanding whatever comes their way, and without any donor assistance, have survived for many hundreds of years. So I think we’ve got a lot to learn from them and to build on the traditional coping mechanisms they’ve got in place, rather than imposing something on them that’s not appropriate for the context- and I think that is happening in some cases, but probably not happening enough. ⁶³³
EUROPEAN-LEVEL	They may actually already be aware of what we would call scientific issues, but they may describe them a different way, which again is another slightly false distinction

⁶³⁰ Interview excerpt, UN Agency, 16/10/2012.

⁶³¹ David McEntire, “Understanding and reducing vulnerability: from the approach of liabilities and capabilities. *Disaster prevention and management* 21, no. 2 (2012): 206-225.

⁶³² Jorge M. Valadez, “Adaptation, Sustainability, and Justice,” in *Global Community*, eds. Randall E. Osborne and Paul Kries, (Amsterdam; New York: Rodopi, 2008), 260-261.

⁶³³ Interview excerpt, AusAID, 16/10/2012.

DRR PRACTITIONER	which we get between scientific knowledge and local knowledge...Because what we call science today develops from what, I guess, would have been once called local knowledge once upon a time.
EUROPEAN-LEVEL DRR PRACTITIONER	We work with older people so great historical information on past events and things like that, but you have to cross-reference it with science and cross-reference it with other sources of information ⁶³⁴
UN AGENCY	Previously, 10 years ago [...] the people back in the communities won't accept the changes, anything that comes in new or modern climate change. [...] but now with the realities in place, they can see that because the modern science also agrees with their traditional knowledge... ⁶³⁵
IN-COUNTRY ORGANISATION	The traditional response is one of resilience [...]. I think their ability to adapt is perhaps being compromised, and that's perhaps due to broader changes in reliance on food as well as the impacts of climate change on food and water security custom. ⁶³⁶
IN-COUNTRY ORGANISATION	I think that's where that standardised messaging has come through. There has been a series of workshops about early warning and traditional knowledge about disaster preparedness – preserving food, cutting palm trees etc. There's more work to be done. ⁶³⁷

Figure 6.8 Integration of traditional and contemporary approaches to community-based DRR

One of the primary themes interlinking the statements from these DRR actors is the view of prevailing levels of resilience, and the perception of communities subjected to high levels of risk as inherently vulnerable. Recognition of established practices within communities, rather than a focus on introducing modern techniques to reduce disaster risk, assists in achieving sustainable resilience. An integration of both scientific and traditional methodologies into community-based DRR programming, recognizes both the role of science, and traditional approaches. One DRR practitioner cited in Figure 6.8 acknowledges there is overlap with the methodologies, but the difference lies in the analysis following the evidence base:

“[...] Once you have a scientific explanation for something, you understand the connection between an observation (animals behaving peculiarly) and a process (a volcanic eruption). But you understand that process. [...]” ⁶³⁸

Indeed, given the disaster-related social aspects and cultural values often embedded in

⁶³⁴ Interview excerpt, Helpage, 11/09/2012.

⁶³⁵ Interview excerpt, UN Agency, 16/10/2012.

⁶³⁶ Interview excerpt, Save the Children, 18/10/2012.

⁶³⁷ Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012

⁶³⁸ Interview excerpt, Anonymous, 15/09/2012.

existent community structures, a more comprehensive view of risk is attained - an attitude which contemporary methodologies can lack, and global strategies towards disaster risk can learn from in addressing the social vulnerabilities within a community, rather than a focus on the technical risks associated with disasters.⁶³⁹ In recognizing the role of practices employed by a community acknowledged actors which do not conventionally hold influence in local decision-making and processes, in a contemporary setting. For instance, the involvement of the younger and older generations in DRR programming can contribute to sustainable DRR programming. As one European FPA partner suggests, an inter-generational approach to disaster risk within a community can complement integrated modern-traditional DRR strategies through cross-learning:

“ What we’ve kind of moved towards is a vulnerable group approach, or an inter-generational DRR approach, more recently[...] which is basically children and older people working together cross-learning across the generations, bring in some scientific involvement into that, looking at traditional knowledge, as well as children[...].”⁶⁴⁰

The subsequent empowerment of children and the senior members within a community encourages sustainable DRR programming as the traditional knowledge is maintained by younger generations, while simultaneously can be complemented by modern technologies and methodologies. Yet the role of children and child protection in DRR programming in addressing risks and recognising their capabilities has not been fully acknowledge at a global, national or local level, leading to competing views of child protection as indicated below.

EU regional office	[...] Protection in our case that would be disaster preparedness and livelihood in an emergency context but we all agree this is a priority very strongly coming up and we need to position ourselves on DRR [...]
PACIFIC DONOR	[...] Here in Vanuatu, a lot of synergies, including child protection, which we must integrate into all of our activities here in Vanuatu. ⁶⁴¹
EUROPEAN-LEVEL	We tend to take the whole community approach, rather than specifically children [...]

⁶³⁹ Mercer et al., “Culture and disaster risk reduction: Lessons and opportunities,” *Environmental Hazards* 11, no. 2 (2012): 91.

⁶⁴⁰ Interview excerpt, Helpage, 11/09/2012.

⁶⁴¹ Interview excerpt, AusAID, 16/10/2012.

FPA PARTNER	The projects that we are doing tend to be school based, generally. Yea and in some regions, children aren't even involved in all [...] Varies from region to region. And also from partner to partner. Some partners will have a focus on a specific thing, such as children, and others disability is their focus [...] ⁶⁴²
UN AGENCY	<p>...The risks especially and the exploitation of children [...] I don't think that in Vanuatu that would be a problem because the culture plays an important role in this respect where you have most children have lost their parents and whatever may be [...] they are all taken care of by the community and the families, because of the communal values that are still between the cultural values in between the village.</p> <p>What becomes very tough is the schooling, because schooling is becoming more expensive and these vulnerable groups, especially children who have lost their parents, will not afford to go to school and that's common in Vanuatu anyway [...].⁶⁴³</p>
UN AGENCY	They have traditional approaches within their systems, in the construction, in the growing of their food, in the care for their children. Of course within their own capacities they protect their children, they take care of them. They love their children really, within their normal traditional capabilities, and they protect them somehow. Sometimes they do funny, funny things to them in the name of protecting them and reducing risks surrounding disaster, but at the end of the day, when you ask them the ultimate goal, is to protect them and reduce the risks. That's why some of them don't even send them to school, because they say, 'the school is too far, I can't have my girl walking that far,' and for you you're thinking, 'no, no this girl should go to school.' ⁶⁴⁴
INTERNATIONAL ORGANISATION	It has to be balanced, but it has to be child-focused as well. There are different schools of thought, so it has to be child-centred but I think that the child-centred approach runs the risk of focussing too much attention on the child, at the expense of not focussing also on the caretaker. There's no resilience for that for children. That child and the caretaker, so I think it has to be a balanced approach. ⁶⁴⁵
IN COUNTRY DRR PRACTITIONER	I guess in short - government agencies, national NGOs, international NGO staff, and the NDMO have very little understanding about what protection is – in particular what child protection means, and so that is going to require a lot of work to ensure that there are holders and deliverers of humanitarian aid, we can actually do it to global standards... ⁶⁴⁶
IN-COUNTRY ORGANISATION	Child protection in emergencies is an area which we're only just coming to terms with how we can support the government to do that. They're aware of it, and they have looked at incorporating protection issue-type questions in a rapid assessments, and we're specifically looking to support them with our child protection staff which have had training in child protection in emergencies, and more generally child protection issues. I mean, many of the issues to do with child protection in an emergency are the

⁶⁴² Interview excerpt, CAFOD, 10/09/2012.

⁶⁴³ Interview excerpt, UN Agency, 16/10/2012.

⁶⁴⁴ Interview excerpt, UN Agency, 16/10/2012.

⁶⁴⁵ Interview excerpt, World Vision [regional], 29/08/2012.

⁶⁴⁶ Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012

	same as outside of an emergency, it's that they just become exacerbated or increased. ⁶⁴⁷
IN-COUNTRY ORGANISATION	We're only just at the stage where we can take people on the journey of what child protection is[...]I think that people are much more understanding of child-based DRR, because it's physical protection of a child. [...] What we're hoping to achieve is working with communities across the board to understand all the different types of abuse, and neglect etc– what are the risks, who are the perpetrators, what should happen... the whole gamut. We've just begun that process, and we're going to be working with the church groups, working with the police, working with the provincial government, in the Communities, more importantly and most importantly, themselves. ⁶⁴⁸

Figure 6.9 Child Protection in community-based DRR programming

As suggested in several aspects of this thesis, questions remain over the mainstreaming of child protection throughout DRR programming, or alternatively, to promote child-centric DRR programming. The interview participant from the EU regional office describes protection in a broad sense, to be mainstreamed across DIPECHO activities, but in reference to disaster preparedness and immediate actions surrounding a disaster, rather than across the disaster cycle. For the donor quoted in Figure 6.9 the approach seems to be child protection is implemented throughout all activities in-country, rather than having a specific focus on children.

As an in-country international organisation staff member suggested in Figure 6.9, for national governments, the acknowledgement and understanding of governments of what represents child protection at all levels of governance. As alluded to, child protection strategies surrounding a disaster can mirror those already in existence in ‘peacetime,’ but the processes involved need to be able to endure any collapses in governance structures, when a disaster occurs, so that risks to children are not augmented. Effective DRR governance surpasses protectionism in disaster responses and risk assessments, to the more complex matter of the mind-set of actors involved in DRR processes, of what child protection represents, and the acknowledgement of children, their risks and capabilities in DRR policy and programming. It is also a case of recognising the need to ratify the international conventions which many countries have signed up to in the protection and empowerment of children in order to uphold child rights:

⁶⁴⁷ Interview excerpt, Save the Children, 18/10/2012.

⁶⁴⁸ Interview excerpt, Save the Children, 18/10/2012.

“The UNCRC – 142 countries, I could be wrong, probably a bit less than that, have ratified the UNCRC, and the last report Vanuatu submitted, the last review the UNCRC did was in 1999. How can you say that you’re holding people accountable? This is the UN who then spends a huge amount through UNICEF, UN Women etc in this country and there is no accountability, there’s none, so I would like to think that there is that active element of pushing for advocacy of child protection and child rights through these clauses but I’ve never seen it enforced.”⁶⁴⁹

In addition to the recognition of children in donor and government strategies, the holistic or child centric approaches of international organisations active in-country have implications on child protection and the recognition of child rights at a local level. One partner agency cited above states the preference of a nationwide approach to DRR programming. With the acknowledgement of variations across regions, this can at times be to the detriment of child engagement in some regions, as the quotation suggests. Such a policy from agencies active in promoting DRR programming in developing countries can marginalise child risk, or indeed, child agency in DRR programming. Furthermore, minimal recognition of children in DRR programming due to a whole-country approach to domestic project diffusion can neglect the role of other community actors in child-related DRR actions, such as the roles of teachers, in protecting as well as educating children,⁶⁵⁰ and caregivers in relation to child protection and child agency. There is also a suggestion of the focus on school-based activities, but this can lead to a focus on risk education for children, rather than encouraging dialogue with, and amongst, children. In addition, as indicated by the UN agency, a focus on school-based programming can be ineffective in some locations, where for some families, particularly located in rural areas, there are logistical and financial justifications children to attend school. In reality, the decision for parents living far from the nearest school not to send their children to school may be rationalised in the protection of their children.

One in-country DRR practitioner believed an informal strategy on child-centric risk

⁶⁴⁹ Interview excerpt, Save the Children, 18/10/2012.

⁶⁵⁰ Ben Wisner, *Let our children teach us! A Review of the Role of Education and Knowledge in Disaster Risk Reduction* (Bangalore: Books for change, 2006.)

assessments, formed by child protection representatives assisted to “bring people up to scratch, and make them aware of global standards, global models,”⁶⁵¹ in relation to child protection. While positive in the comprehensive approach to risks to children, this is an example of direct knowledge transfer. International models are transferred to a local context, by representatives from international organisation with limited dialogue from local actors to decipher whether such a model is culturally relevant, or could be enhanced by local customs. In the context of child protection, child-centric organisations, such as Save the Children assist ministries and other organisations to provide a child-centric perspective on risk, and DRR activities.

The opening statement from one participant based at a UN agency in the above Figure 6.9 suggests the focus on immediate risks, and the focus of DRR activities in the preparation to respond to a disaster, with a lack of inclusion on the slow onset risks such as child exploitation or abuse surrounding a disaster, again, leading to the approaches of various DRR actors involved in DRR programming of what child protection represents in protecting against both immediate and slow onset risks, as well as the physical and social risks which children may face.

“ [...] It’s our duty, our obligation to express and analyse such issues so that when they are doing this we say, ‘look yea this is very good, but you must be very careful, because tourism can promote trafficking. You are doing ABC and it has caused this in such a province. We can do this, but also mitigate, and then we create projects which mitigate the impact of what the government maybe likes, bringing them back to the trivial but related things.”⁶⁵²

The acknowledgement of the empowerment of children in DRR decision-making and DRR processes can also lead to child protection and a comprehensive approach to child risks. Agency of children generates recognition from all actors of the risks children face, and their

⁶⁵¹ Interview excerpt, Vanuatu Humanitarian Team, 19/10/2012

⁶⁵² Interview excerpt, UN Agency, 16/10/2012.

capabilities in risk reduction throughout the disaster cycle. In addition, an individual or community's right to expression in the risks they face. By recognising the right to expression during the phase of assessment, aspects of community capabilities can be recognised, and thus communities and individuals are empowered to act. This empowerment underpins the human security model as an element of praxis, where the capabilities of community factions assist in the execution of community-based DRR strategies.

6.5 CONCLUDING THOUGHTS

Recent years have shown an acknowledgment by the international community of the destructive nature of disasters and the influence of climatic changes on the occurrence of such disasters in the region. This has resulted in a peak in DRR policy formation by states as foreign policy initiatives to assist developing countries in enhancing their own disaster management strategy, with a particular focus on DRR as an important element of such a strategy. While previous chapters have demonstrated this to be the case for the EU in recognising DRR in its external action, the EU's sense of responsibility in terms of humanitarian and development donorship is considered by some to have geographic contours. In his geo-political analysis of EU external action, Keane considers that in many cases, the EU's 'backyard is prioritised over and above more distant crises.'⁶⁵³ As such, the reduction of risks to the Asia Pacific, or sub-regions of South-East Asia and the Pacific, is often subordinate to neighbouring countries or regions in terms of EU external action, despite having implications on the EU's presence and donorship in the region.⁶⁵⁴ Moreover, given the level of disaster risk faced by the Asia Pacific, stronger ties to the region through knowledge exchange surrounding DRR could assist in developing a more holistic approach to disaster risk from both the European Community, and its partners in the Asia Pacific.

However the increases of donorship in assisting partner regions, or countries, through humanitarian and development assistance can be complex, particularly surrounding the

⁶⁵³ Keane, Rory Keane, "EU Foreign Policy Motivation: A Mix of Human Security and Realist Elements," in *A decade of Human Security: Global Governance and New Multilateralism*, eds. Sandra J MacLean et al., (Aldershot: Ashgate, 2006), 39.

⁶⁵⁴ Martin Holland and Malakai Koloamatangi, "Governance, Capacity and Legitimacy: EPAs, EBA and the European Union's Pacific Regionalism after Cotonou," in *Redefining the Pacific? Regionalism Past, Present and Future*, eds. Jenny Bryant-Tokalau and Ian Frazer (Aldershot; Burlington: Ashgate Publishing Limited, 2006), 101-120.

promotion of human rights, and rights based approaches. Barkin suggests the international context of core values promoted by human security and the responsibilities of donors to protect those at risk at a local level, brings with it concerns of the transference of donor perspectives surrounding human rights, which do not reflect the local context or customs.⁶⁵⁵ Alternatively, Carmalt and Dale refer to the essence of human rights law, emphasising the universal respect for the principles of human dignity, upheld by both international and domestic actors in policy and practice in a disaster context.⁶⁵⁶ Sen emphasises that engagement between different cultures on what represents human rights can bring about self-reflection on the principles underpinning policy and practice despite, or even because of, geopolitical disassociations.⁶⁵⁷

In terms of legislating DRR, broadly speaking Asia Pacific countries prone to disasters have established and strengthened disaster management strategies, whether through formal strategic legislation or institutional capacities. However, as this chapter assessed, governance structures at a national level may not always coincide with channels for DRR at a community level. To assist with DRR policy formation and implementation in the region, the role of international organisations, and local civil society actors is important in bridging the gap between the community and government. Yet Wilderspin et al believed there is the concern that an increase in funds from donors to assist with DRR programming will not be absorbed due to the lack of local partners or their capacity to carry out increased DRR projects.⁶⁵⁸ Not only is the partnership between the EU and its European partner organisations important in the implementation of DRR programming, the chain of partnerships linking with local organisations is equally valuable in ensuring local DRR processes protect and empower local actors, and are culturally appropriate. This is impacted by the roles of donors, local governance structures, and elements of local culture, where the perceptions and effectiveness of a rights-based approach to realising DRR at a community level, in-country, and in the Asia Pacific.

⁶⁵⁵ Barkin, J. Samuel, *International Organization: Theories and Institutions*, (New York: Palgrave Macmillan, 2013), 95.

⁶⁵⁶ Jean Connolly Carmalt, and Claudine Haenni Dale, "Human Rights and Disaster." in *Routledge Handbook on Hazards and Disaster Risk Reduction*, eds. Wisner et al. (Abingdon; New York: Routledge, 2012), 63.

⁶⁵⁷ Amartya Sen, "Human Rights and Capabilities," *Journal of Human Development* 6, no. 2 (2005): 162-163.

⁶⁵⁸ I Wilderspin et al., *Evaluation of Disaster Risk Reduction Mainstreaming in DG ECHO's humanitarian actions: Final Report* (Brussels: European Commission, 2008), 27.

“This is something that is new in the region⁶⁵⁹ – most government planners or development programmers don’t really understand the essence of addressing these issues, and even for DRR based on the rights-based approach, and I think that this is quite important...”⁶⁶⁰

As the above interview excerpt indicates there is hesitation from government officials and DRR practitioners, who work in regions such as the Asia Pacific, to recognise a rights-based approach to humanitarian and development policy formation. In addition to the obstacles represented in previous chapters which indicated ambiguity from various levels of governance in the application of a rights-based approach to DRR programming, the unfamiliarity of incorporating social vulnerability and the assurance of the protection and empowerment of all social factions as part of humanitarian and development policy and programming hinders the effectiveness of DRR programming, and sustainable levels of risk reduction. Nevertheless, it can be understood that the human rights-based approach can represent a holistic outlook on community-based DRR.⁶⁶¹ Some believe a focus on the human security model can focus too much on the individual, with a disregard for long-term impacts in achieving sustainable reduction of risks. As one agency representative suggests:

“Most of all development is not based on the human-centred approach, it only looks at one thing and one angle, and not considering the greater, wider scope of how this project is benefitting or affecting people.”⁶⁶²

In reality, the utility of analysing lexis and praxis in DRR policy formation and subsequent programming assists in ensuring the security of all individuals through the sustainable implementation of DRR at a local level. As core to the model of the application of human security to reduce the risks of individuals surrounding disasters, the primary objective of a rights-based approach to DRR is for individuals and communities to be free from risk, and for

⁶⁵⁹ The case-in-point during the interview is in reference to the Pacific, as a sub-region of the Asia-Pacific.

⁶⁶⁰ Interview excerpt, UN Agency, 16/10/2012.

⁶⁶¹ Cheria Anita, Sriprapha Petcharamesree & Edwin, *A Human Rights Approach to Development*, (Bangalore: Books for Change, 2004).

⁶⁶² Interview excerpt, UN Agency, 16/10/2012.

the acknowledgement of their capabilities,⁶⁶³ in DRR programming, through the protection and self-empowerment of all societal factions. The recognition of this basic objective of DRR programming at a local level is required and can be realised through the intertwining of all those active in DRR partnerships: from the EU as the initial donor, the international organisations, in-country governance, through to the individuals at risk, not least, children.

Without explicit references to human rights, current DRR policy and programming at a local level, and measures to make them more effective, surround a rights-based approach. Specifically, accountability measures, effective governance and engagement with all actors will make communities and individuals less vulnerable. A lack of recognition of rights-based DRR programming can have broad repercussions whether a lack of accountability and transparency surrounding the funding, negative impacts on community social structures, from employment through to the protection of children.

In sum, this chapter has discussed the complexities of employing rights-based approaches in local donorship in the Asia Pacific. Chapter VI made use of interview data to question donorship approaches of the EU in comparison to other donors in the Asia Pacific region. It is not a case of one donor having more or less of a rights-based approach than another, as donorship will vary depending on the aspect of the rights-based approach in question – both in terms of a donor’s choice of lexis and praxis. It is as much a case of donor objectives and their classification of risk and what represents vulnerability, as it is a case of financing programming, partnerships, and their activities at a local level.

This chapter has looked at the partnerships between the EU and local actors in local DRR processes in order to increase the effectiveness of DRR programming, in particular child protection measures. The EU's role in Asia Pacific DRR programming is obscured by its objectives in external action praxis. The overarching goals according to EU policy lexis in ensuring visibility at a local level, through the financing of cost-effective humanitarianism, which is conditional to its core value of human rights, is subject to effective mechanisms at an institutional level.

⁶⁶³ Amartya Sen, “Human Rights and Capabilities,” *Journal of Human Development* 6, no. 2 (2005): 151-166.

Supplementary to EU institutional effectiveness, is the assurance that subsequent local praxis through its partnerships is accountable and transparent. A rights-based approach to DRR through the core components of human security praxis can assist in overcoming these obstacles towards more effective DRR partnerships, and ensure a translation of the rights-based approach as the underlying lexis in EU external action policy to praxis at a local level.

It has shown that with regards to child protection, there are measures at all levels to assist in protecting children both in general, and surrounding disasters. Yet as the data suggests, there are differences between the global and local views of what is considered to be child protection as part of a rights-based approach. But the common ground, regardless of the approach, is capitalising on the existing social structures in order to reduce risk:

“For people—it’s survival. You don’t suddenly think there’s a massive new bag of risks for the children here, I think you need ... unless you’ve experienced the situation, before you have no idea how the situation is going to play out, it’s just having the networks and the knowledge basically [...]”⁶⁶⁴

⁶⁶⁴ Interview excerpt, Save the Children, 18/10/2012.

CHAPTER VII

REFLECTIONS ON RESEARCH FINDINGS & PROSPECTIVE PATHS

7.1 INTRODUCTION

To formally present this research within the relevant fields of study, the previous chapters depicted the intricate relationship between donorship, and the rights of individuals to protection and agency in the formation of DRR policy and programming. As the final chapter of the thesis, Chapter VII contains distinct reflections on the outcomes of this research presented through the findings from the preceding chapters. The conceptual outcomes reflect on the dominant aspects of the human security model, in the recognition of the risks and rights of individuals in the implementation of DRR at all levels of governance. The research methodology, based on the human rights impact assessments of DRR programming, reviews how the EU can translate the interconnectivity of risk and rights from policy to practice, to ensure greater effectiveness of DRR processes. Data trends in the use of the lexis-praxis methodology encompass the empirical findings of this research. Collectively, these elements of the research denote whether the EU and Member states are upholding their obligations as duty bearers in recognising the risks and rights of those they are to protect surrounding a disaster. The analysis concludes with a discussion on whether the practical elements of the human security model can assist the EU's DRR policy implementation to be an effective element of EU external action. To end, this chapter indicates features of the future direction of this research. It presents challenges of cohesive EU policy implementation, the global directions of DRR programming, and child protection. Despite such limitations, this chapter will reveal channels representing future applications of this research methodology and theoretical framework.

7.2 RESEARCH FINDINGS

The thesis questioned the effectiveness of the EU's DRR partnerships in the Asia Pacific, in protecting children, and ensuring child rights are upheld. An intricate conceptual framework, based on the underlying themes of vulnerability and rights from within human security, assisted in answering the primary research question for this thesis. The practical elements of the human security model have meant the facets of EU donorship and DRR partnerships have been scrutinised to review its DRR strategy. Namely, how the EU has influenced child protection measures in the Asia Pacific region. The supplementary questions of this thesis supported this primary enquiry. They challenge the current location of DRR in EU external action, the approaches of Member States, channels for EU donorship in child-related DRR programming, and differences between the strategies of the European Community and those within the Asia Pacific. The previous chapters have responded to the research questions of this thesis with the following fundamental conclusions. Firstly, there is a wide variation amongst global strategies towards the manifestations of child risk in DRR policy formation. The second assertion from this research surrounds the fundamental role of human rights in lexis and praxis achieving effective DRR policy formation and subsequent programming, as encouraged by the model of human security. The consequent lack of acknowledgement of the roles of children in DRR policy and programming becomes discernible through the human rights impact assessments undertaken throughout this thesis. Actors involved in DRR programming verbalised the perceived obstructions to operationalise child rights throughout the disaster cycle. The final reaction to the research questions emphasises implementation barriers hindering effective partnerships in EU donorship in the Asia Pacific region, and the recognition of the rights of those engaged in DRR processes at all levels of governance.

Existing literature exploring the role of children in DRR policy implementation often focus on the vulnerability of children, with a disregard for ways to reduce said vulnerability, such as through recognising children as social capital and acknowledging their capabilities,⁶⁶⁵ as means of protection. In addition, the role of donorship in DRR implementation has not fully been explored within an academic context. DRR activities in donorship can often be perceived as not harmonious with the principle, and implementation, of human rights, as

⁶⁶⁵ Brenda D. Phillips et al., *Social Vulnerability to Disasters*. (Boca Raton: CRC Group, 2010), 161.

demonstrated in the interview data from EU bureaucrats. In particular, this is due to the institutional compartmentalisation between the EU's humanitarian and development agencies, rather than viewing rights-based DRR programming as a way of bridging the gap between humanitarianism and development assistance, as this research has shown. In addition, a rights-based approach reflects a comprehensive view of risk, where both physical and social risks are acknowledged and incorporated into all aspects of disaster risk reduction, and throughout the disaster cycle. This is despite a common focus within the field of disaster research and policy implementation, on disaster response, and preparedness to respond.

Manifestations of Risk

Theoretical reflections place social vulnerability amongst traditional disaster-related theories. Social vulnerability has been examined in its reduction of community-based risks, to provide a holistic approach to vulnerabilities and fast and slow onset risk. The linkages between social vulnerability and praxis channels represent a pragmatic approach to assuring the rights of those at risk through DRR programming. With the common focus from policy makers and practitioners on vulnerabilities surrounding the immediate aftermath of a disaster, and long-term sustainable reconstruction, or general development, bridging the gap between these two phases has become extremely important in ensuring there are not grey areas created where risk is enhanced. A holistic approach to risk, both physical and social risks, and fast and slow onset risks is central to the assurance of the rights of the most vulnerable, and leads to more effective DRR policy formation and subsequent programming.

This thesis has shown that the manifestations of risks children face in an everyday context are exacerbated when there is a disaster. The amplification of risk demonstrates the need for DRR implementation to encompass the entire disaster cycle. To choose to delineate risks as prospective or corrective, in the view of aligning DRR activities with prevention and response phases, isolates risks as prospective or corrective. The perception of DRR as a tool for the effective reducing risks within vulnerable communities is just, but the insular view of segregating programming into corrective and prospective risk reduction to consist of disaster response, and the preparedness to respond, is an limited view of the embodiment of risk. In doing so, risks can become marginalised and not mitigated against, thus the possibility of risks occurring can increase. This affects DRR implementation in both policy and practice.

The possibility of gaps in the reduction of risk increases, and existing levels of vulnerability remain.

The role of lexis and praxis in operationalising child rights

The human security model has been fundamental in recognising the role of children in effective programming to reduce risks of communities and individuals at risk of natural disasters. The focus of the model on protectionism and empowerment assisted in highlighting the role of all actors involved in DRR programming to reduce child vulnerability. A rights-based approach to DRR practice allows for the protection and empowerment of individuals, alongside a holistic approach to risk, to recognise the social vulnerabilities of societal factions. The following Figure demonstrates the interconnection between social vulnerability and the implementation of risk reduction throughout the disaster cycle.

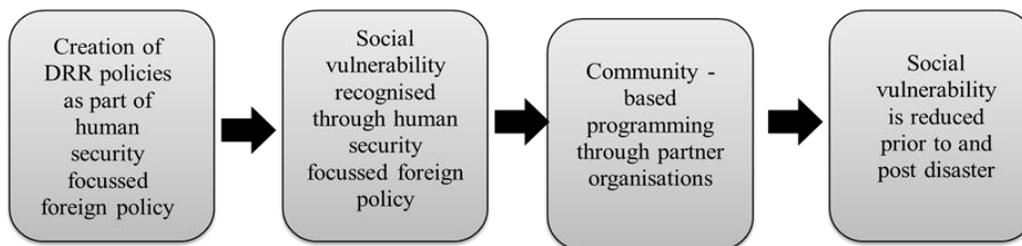


Figure 7.1 Implementation process through a rights-based approach

Foreign policy practices based on the human security model can assist community-based DRR practices to be more recognisant of the rights of individuals at risk, in order to reduce vulnerability. One must be mindful of the basic objective of DRR in creating a ‘culture of resilience,’ as established by the UNISDR,⁶⁶⁶ but what of the right to resilience? The UNDP is advocating for a more rights-based approach to DRR implementation, but how is a holistic approach to risks, in combination with a holistic approach to rights to be achieved? The rights of children under the UNCRC align with the core rights of the human security model of protection and empowerment of individuals at risk. The specific child rights underpinning humanitarianism through the UNCRC directly link with the disaster cycle, highlighted in Figure 7.2

⁶⁶⁶ UNISDR, *Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters*, (Geneva: UNISDR, 2005), Article 2.17.



Figure 7.2 Future-proofing through risk-rights interconnectivity in DRR implementation

The underpinning of human rights as the basis for humanitarianism can link the disaster cycle, and ensure the protection and engagement of all within a community, while remaining culturally relevant. The Figure above aligns the core aspects of DRR practices to be achieved at all levels of governance, and the core rights of children identified under the UNCRC, aforementioned.⁶⁶⁷ The implications of which, rest in the preservation of the responsibilities of donors to uphold these rights, both in DRR policy and implementation practices throughout the disaster cycle to cover all disaster risk. With these responsibilities and rights in mind, effective DRR praxis of actors can align with the disaster cycle in order to protect and give individuals agency to protect themselves. Indeed, agency of individuals can initiate self-empowerment and, as a long-term preventative measure, lead to consequent protection from risk.

With full recognition of cultural values and traditional practices of those in prone areas, DRR programming through a rights-based approach takes into consideration local concepts of protection based on local values and customs of how they protect themselves, their families, their communities.

⁶⁶⁷ Articles 2,3,6,12 of the UN Convention of the Rights of the Child correspond directly to humanitarianism and donorship to recognise a child's right to non-discrimination, the best interests of the child, the right to life, survival and development, and the right to participate.

“I just think it’s a given that you need to work with the community, and work with them and bring together traditional coping mechanisms with new improved ways of doing things, and don’t make that assumption that they’re not resilient enough.”⁶⁶⁸

In addition, there is a need to consider how local communities perceive the roles of external actors in achieving this protection – whether NGOs, states, national & international agencies and donors. As such, effective community-based DRR praxis needs to centre on dialogue and knowledge exchange amongst the various actors in order to recognise both local customs and existing social systems, and contemporary approaches to DRR programming, based on the needs and capabilities of all community actors, and assurances of their rights throughout decision-making processes.

As indicated in the opening quotation of this thesis, protection does not have to represent specific indications of what is in place to respond to a disaster, but effective governance systems to promote a protective environment to reduce individual or collective vulnerability. In order to avoid ineffective DRR praxis, a comprehensive view of vulnerabilities and subsequent risk is required, in addition to acknowledgement of the capacities of vulnerable groups, such as children. This brings about the discussion of whether to mainstream child-centric risk reduction throughout DRR programming, but with the potential effect of marginalising the risks children face. Alternatively, child-centric DRR programming highlights the risks faced, but a focus on the isolation of child risk can segregate children from a holistic community approach to DRR programming. The analysis from data representations in Chapters IV, V, and VI, has shown that approaches to children within DRR programming do not have to demarcate the two ideologies of mainstreaming and isolation of children in policy and project implementation.

A two-pronged approach to the implementation of child-related DRR activities can be achieved. A rights-based approach to child resilience ensures child vulnerability, and the specific needs of children are distinguished in policy formation. Risks surrounding

⁶⁶⁸ Interview excerpt, Save the Children, 18/10/2012.

vulnerability or needs are lessened through DRR programming. DRR programming may be implemented horizontally across thematic areas under specific governance measures, or vertically, through the various governance structures. In doing so, child risks are not marginalised, or segregated from community-based DRR practices.

In addition, the focus on education in DRR programming as the primary means for child resilience emphasises the limited view of reducing child vulnerability, and ensuring child rights. The corresponding rights for education are represented in Figure 7.2 through the right to development and knowledge transfer. This thesis has demonstrated the constraints of knowledge transfer, as the term describes a one-way transmission of knowledge or education, in the prospect of child development. Protectionism through education establishes a heavy focus on vulnerability, with a potential disregard for the capability of societal groups to enhance community resilience. Knowledge exchange, however, indicates the acknowledgement of dialogue with children as a means for better comprehending child vulnerability and child capabilities through DRR programming.

This thesis has demonstrated that protectionism and empowerment as the two core elements of the model should not be mutually exclusive, but intertwined under a rights-based approach, to ensure the agency of individuals in order to reduce vulnerability. This deficiency in DRR policy and programming of the capacities of children to assist in reducing disaster risks is evident in the lexical analysis employed in this thesis where global and domestic policies demonstrated a focus on the vulnerability of individuals and communities, but little acknowledgement of these societal factions as social capital, able to assist in the effective reduction of disaster risk.

Effective implementation of EU-facilitated DRR praxis

Europe is becoming increasingly recognised as an advocate for its values, particularly its action towards the acknowledgement of human rights. In the view of Manners, the EU's core political norms that are most visibly expressed as an international actor, along with peace, include liberty, rule of law, democracy and human rights.⁶⁶⁹ However, these values can often

⁶⁶⁹ Ian Manners, 2002, as cited in Maurizio Carbone, "Normative Power and Political Dialogue: The European Union in the South Pacific," *Asia-Pacific Journal of EU Studies* 4, no.1 (2006): 30.

contradict one another, where the pursuit of democracy may cause instability and disrupt peace.⁶⁷⁰ Nevertheless, the EU is meticulously intertwining its common values into its foreign policy. The concept of Normative Power Europe is insufficient in determining the interaction between states and the translation of core values like human rights in foreign policy. It remains theoretical in essence, and does not incorporate practical applications of those values in foreign policy, unlike the human security model through the application of the lexis-praxis methodology.

This thesis has depicted practical measures to address the lack of harmonisation throughout the European Community. That is, EU and Member State DRR policy formation, as well as providing means towards increasing effectiveness in EU DRR practices. For the European Parliament, the EU's 2009 DRR strategy highlighted ambiguities in the EU's DRR strategy. The strategy also showed conflicting opinions on DRR within the EU,⁶⁷¹ reflected in the variations of what DRR represents amongst European Parliament committees, and how to best implement directives which mirrors to these areas of review, reflected on in Chapter II. Likewise, Chapter II's internal examination of the EU's executive arm, the European Commission, revealed an institution at odds, containing ineffective processes for facilitating DRR programming. To determine whether the European Council has politicised its aid programmes amongst its Member States, Chapter IV scrutinised policies where lexical analysis showed a lack of harmonisation for child rights and child protection measures. Indeed, this finding aligns with the 2009 Strategy which denoted a strong lack of DRR policies from Member States and the slow integration of DRR into development strategies.⁶⁷² In response, the 2011 implementation plan promoted enhanced coordination with Member States as an area in need of improvement, alongside increased dialogue with third countries to implement DRR strategies into policy frameworks. Yet Chapters V and VI depicted praxis from the EU and Member States to facilitate partner activities at a local level, require significant work to implement policy objectives in practice, to reduce the risks children face

⁶⁷⁰ Nathalie Tocci, "Who is a Normative Foreign Policy Actor? The European Union and its Global Partners," *Centre for European Policy Studies*, 2008, <http://www.ceps.eu/files/book/1661.pdf>, Accessed: 13 October 2009.

⁶⁷¹ European Commission, *Communication from the Commission to the Council and the European Parliament: EU Strategy for supporting Disaster Risk Reduction in Developing Countries (COM(2009)84)*, Brussels: European Commission, 2009,4.

⁶⁷² *Ibid*, 4.

surrounding disasters. Overall, the European Community's donorship in external action, as an entity and individual state, demonstrated a disregard for the recognition and implementation of the rights of children specifically, despite illustrations of human rights as an overarching principle of the institution, its adjoining Member States, and partners.

As the current EU Treaty, the Lisbon Treaty has created increased opportunities and channels for the EU to address these implementation issues of EU DRR praxis. Indeed, the mechanisms created for EU external action can assist in aligning Member States to reduce the risk of politicisation of aid, to resolve internal institutional compartmentalisation, and advance the upholding of human rights in external action. At the time of writing the Lisbon Treaty approaches the five year milestone since ratification, and since, the EU's external action policy has seen many adjustments in its delivery. Joint mechanisms created under Lisbon may help to limit grey areas and the compartmentalisation of DRR programming, or alternatively too much involvement from directorate generals may render them less accountable towards the impact of their actions at a local level. In-country perspectives from local partners have shown that the role of EU delegations do not assist with increasing the effectiveness of DRR or upholding of rights, as shown through Chapter VI, thus the role of in-country delegations under the EEAS, in increasing dialogue with partner countries on DRR programming and human rights, is another area under the Lisbon Treaty which requires further attention. As such, the EU's external action strategy is ever evolving, so perhaps it is too soon to review the full impact of the Lisbon Treaty on DRR and its place within EU external action.

Nevertheless, EU and Member States' foreign policy objectives and existing processes should not lead to the politicisation of aid delivery, or specific measures towards child protection. International, EU, and national law depict their obligations to uphold the rights of those at risk to protection. Human rights, maintained through a rights-based approach are neutral with respects to political decision-making in the delivery of humanitarian and development programmes.

In the case of child protection from EU in the Asia Pacific, Table 7.1 demonstrates the core methodological and conceptual objectives of this research. It demonstrates human rights can be an operative tool for measuring the effectiveness of the DRR policy implementation.

RESEARCH DATA	ANALYSIS TOOL	MEASURE OF HUMAN RIGHTS / HUMAN SECURITY	RESEARCH METHODOLOGICAL FINDINGS
POLICY PROFILING			
European Union Policies	Content Analysis Pattern correlation	PRINCIPLE/POLICY LEXIS	ACCOUNTABILITY PROTECTION EMPOWERMENT/AGENCY
Member State policies	Content Analysis Pattern correlation	PRINCIPLE/ POLICY / LEXIS	
INDIVIDUAL LEVELS OF DISASTER-RELATED DATA			
European financial profiles	Data isolation Long term involvement Pattern Correlation	PRACTICE / PRAXIS	GOVERNANCE ACCOUNTABILITY
EU- FPA partners (general and child-centric)	Data isolation Pattern Correlation	PRACTICE / PRAXIS	
Natural disaster data / those affected	Data isolation Long term involvement Pattern correlation	PRACTICE / PRAXIS	PROTECTION EMPOWERMENT/AGENCY COMMUNITY-BASED DRR PROGRAMMING
Asia Pacific DRR projects	Data isolation Pattern Correlation	PRACTICE / PRAXIS	
INDIVIDUAL LEVELS OF INTERVIEW DATA			
European Union bureaucrats	Data isolation Pattern Correlation	PRINCIPLE/ POLICY / LEXIS	ACCOUNTABILITY PROTECTION EMPOWERMENT/AGENCY COMMUNITY-BASED DRR PROGRAMMING
European DRR practitioners			
European FPA partners		PRACTICE / PRAXIS	
Donors / UN agencies / In-country practitioners /			

TABLE 7.1 Research findings from human rights impact assessments for lexis and praxis in EU DRR policy and programming.

In the ‘Research Methodological Findings’ of Table 7.1, the principles and implementation channels of the human security model are applied to the facets of the research data set. The correlation between the areas of the research data and the methodological findings therefore demonstrate how this research has reviewed the EU’s policies and partnerships to demonstrate areas where rights-based methodologies align with DRR programming, under human security. Some human security elements such as governance, and accountability measures, are already in place at an institutional level, but need to be strengthened, or drawn on, to improve effective DRR policy and subsequent programming. This can be achieved through the existing results-based approach of the EU in facilitating humanitarian and development assistance. This research did not aim to quantify rights in its impact assessments, but use the analysis undertaken in previous chapters of the lexis in policy and praxis channels, to demonstrate the need to harmonise (not standardise) approaches of actors. The harmonisation of approaches, and a comprehensive view of risks throughout the disaster cycle, assists in ensuring the rights of those at risk underpins the actions of duty bearers, and in doing so, makes DRR decision-making at a global, European, and local level effective.

Human rights-based impact assessments at a European level demonstrated the recognition that effective, and sustainable, DRR praxis requires long-term programming, through development activities, which in theory, incorporate human rights. Sustainable DRR practices will not be achieved through short-term DRR facilitation through donorship. As indicated throughout this thesis, limitations within EU foreign policy and process towards partner selection, monitoring and evaluation, financing and project timeframes, are ineffective, and are emphasised by short-term reporting policies. One European Commission staff indicated acknowledgement of the need for long-term assistance in donorship:

“...the international community can almost never show before and after pictures, well at least within a year because it takes a lot of time, because there are a lot of difficulties, because this is much more tricky ...”⁶⁷³

⁶⁷³ Interview excerpt, European Commission Humanitarian Aid and Civil Protection Cabinet, 4/11/2010.

Yet the financial facilitation by the EU of DRR programming does not reflect these internal observations. Institutional barriers and geographic disparities between Europe and the Asia Pacific indicate the view that increased levels of DRR financing in the region is not cost-effective, despite the facilitation of DRR actions through peripheral development mechanisms. Instead, the mainstreaming of DRR throughout institutions is insufficient, despite EU advocacy for partner countries and partners to assume DRR mainstreaming at regional and country levels. Aside from institutional barriers, the internal and external coordination of DRR activities through EU regional and national offices hinders the effective implementation of the DRR programming.

Domestic commitments to humanitarian aid from the Member States are increasing, to the point that EU policy implementation could learn from its domestic counterparts. Yet while individual cases of national DRR integration into rights-based foreign policies exist, there is yet to be cohesion amongst all EU donors. In addition, policy analysis as part of the human rights impact assessments of EU DRR policy and programming indicated a concentration of funding of agencies located in large Member States, specifically larger international organisations, demonstrating the need for a wider perspective on donorship of European organisations in smaller Member States, which may assist the implementation of EU humanitarian or development assistance through specific capabilities or networks in external regions. It is not solely harmonisation within European policies and EU donorship needed to increase the effectiveness of DRR programming in regions such as the Asia Pacific, but the cohesion amongst local donors active within the region. Dialogue between donors is vital for the effective implementation and financing of humanitarian and development activities, and the avoidance of duplicity.

Recognition from the EU of existing obstacles to support community-based DRR programming, such as the need for more effective financing channels for sustainable DRR programming at a local level, derives from a lack of opportunity for partners to engage with donor agencies on policy and barriers to funding channels. Indeed, more effective dialogue with donor agencies and partners, whether organisations or partner governments, can lead to prospective channels for more cost-effective EU engagement in humanitarianism and development a local level.

It is likewise a matter of identifying leadership, vertically and horizontally, throughout governance structures in order to achieve a rights-based approach to risk assessment, identification, management and response, in the reduction of disaster risk. But in addition to local leaders, it is also necessary to respect the opinions of those within a community, which may not be the trailblazers but have an equally important role in promoting and advocating for policy change and effective implementation at all levels of governance – local, provincial, governmental, and global.

7.3 FUTURE DIRECTIONS

As denoted at the outset of this thesis, the primary limitation in undertaking this research is the lack of data surrounding EU-facilitated DRR partnerships. This continues to be a concern, as has been established through the data collation and analysis throughout this thesis, where partners have clarified the barriers to effective implementation of EU DRR activities, with the following future implications. Primarily, limited data accessibility on DRR programming leads to potential changes to EU partnerships, due to barriers at all phases of DRR project management. This remains a complex impediment for effective DRR action, with severe repercussions with organisations choosing not to align with the EU. Not only are there existing barriers to obtain and continue to receive EU funding, but in addition the physical presence of the EU throughout the world, and partnerships between EU staff and organisations, can often be ineffective due to the lack of understanding of the local settings in which partner organisations carry out DRR programming. This lack of comprehension of the local setting can be in relation to the local setting, governance structures or customs, which all play important roles in the effectiveness of DRR implementation.

The second more abstract challenge for effective EU DRR implementation, which is due to a lack of data on EU-facilitated DRR programming, surrounds the lack of underlying accountability and transparency of EU-funded activities. These core values of accountability and transparency in DRR activities, the EU stands to uphold through global and EU-centric external action policies. Labadie believes that appraising post-disaster recovery programming primarily concerns the expectations and accountability of what the programming set out to achieve, while evaluating all forms of results – including time, emotional and social

capital.⁶⁷⁴ Yet accountability and transparency are two principles that DRR praxis under DIPECHO which fail to be maintained due to compartmentalisation. It is not disputed that external action needs to be divided internally, but it is a question of how it can most effectively cover the disaster cycle, and the linkages with development assistance, in addition to ensuring its rights-based principles of accountability are reinforced without falling into grey areas between, and within, the divisions. In doing so, it is a matter of short term and long term gain in the implementation of DRR programming.

Perhaps this second issue of DRR data accountability is hampered by a third influential factor, the dissemination of DRR data. The responsibilities within the donor-partner relationships remain vague and unproductive in the goals of reducing disaster risk. Dissemination on the financing of DRR via online portals and project documentation remains imprecise due to the unclear procedures of the input of the information relating to DRR project funding, or outcomes. Physical documentation of project outcomes from humanitarian organisations remains imprecise and broad. A strong sense of ownership of the initial objectives and future directions leads to the disclosure of generic outcomes, and the inability for other donors or agencies active in the country to build on previous projects, in order to maximise the cost-efficiency of DRR in communities or region.

The outcomes of this research represent a multi-layered source for future research on aspects of EU external action, and the partnerships through which it carries out its policy objectives overseas. In addition, this thesis has demonstrated how a rights-based approach to DRR can be effective in recognising human rights throughout all facets of DRR decision-making. The data components of the human rights impact assessments, as the primary element of research methodology to generate this thesis, can be used in the future applications of this research. The research data of this thesis can be built on through the rights-based impact assessments to follow the EU's financing of DRR following the end of data collation. In doing so, the future research will assist in monitoring changes of the implementation of the EU and Member States DRR strategy.

⁶⁷⁴ John R. Labadie, "Auditing of post-disaster recovery and reconstruction activities," *Disaster Prevention and Management* 17, no. 5, (2008), 583.

The application of the research methodology of this thesis can be equally valid in reviewing transformations in global DRR strategies, whether at a multinational level through the revision of the UN Hyogo Framework Agreement in 2015, the strategies of other international organisations, regional, or domestic DRR strategies of both developed and developing nations. The future applications of this rights-based research methodology encompass the following potential objectives. Namely, to identify and evaluate institutional modifications with the EU's humanitarian and development mechanisms in charge of DRR. In doing so, this will highlight whether DRR has been mainstreamed, or isolated, within the EU's external action objectives and processes. Furthermore, whether the implementation barriers cited in this thesis have been reduced, to increase the effectiveness of dialogue, and engagement with partner agencies. Most importantly, to examine whether a rights-based approach to the EU's DRR strategy has been achieved in the transcending of human rights principles in policy lexis to DRR praxis in external action, in the recognition of a comprehensive approach to the sustainable future-proofing against child risk and of child rights.

While the novelty of the research methodology and the rights-based foundations of this thesis have provided potential innovative avenues for DRR-related research, as well as tangible DRR strategies, the sustainable future-proofing of child rights through EU-facilitated DRR is hinged on the EU's position on human rights, and the application of the core principal of human rights in its external action, including DRR programming.

“People say DRR's failed as a paradigm, if you look at it on paper, why should it have failed? It's got it all there – it's a bit clunky in places, but basically it's got everything you want, so why aren't people doing it? Why don't they think it's adequate? And the reason why they don't think it is adequate is because of the people that are doing it.”⁶⁷⁵

A level of self-reflection is necessary from within the EU on the principle of human rights, the portrayal of rights in its policies, and the filtration of its esteem for upholding human

⁶⁷⁵ Interview excerpt, Anonymous, 12/09/2012.

rights through DRR policy implementation and partnerships at a local level. Engagement amongst actors ensures self-reflection on the levels of efficacy and deficiency of policies and subsequent implementation through all levels of DRR governance. Knowledge exchange with partners identifies risks and capabilities of all actors involved at all levels of governance in DRR processes. A consequent rebound effect through advocacy and lobbying for change throughout the chain of partnerships on decision making in DRR policy and processes can feed up and down, in order to achieve a change in mind-set. Does this represent a shift of mind-set from the donor and its partners on human rights? Perhaps a more inclusive engagement with partners, and harmonisation of approaches from actors, will enable a change in outlook on rights-based approaches, and the capacity to achieve cost-effective facilitation of DRR programming as part of humanitarianism and sustainable development.

APPENDIX I

MAP OF THE ASIA PACIFIC



This research refers to Asia Pacific countries situated within the Pacific Rim area. The region is otherwise known as the ‘Ring of Fire’ given its particular susceptibility to many forms of natural disasters. This thesis covers those countries situated on the Ring of Fire throughout the Pacific and South East Asia.

The Asia Pacific countries included in this study are: Australia, Brunei, Cambodia, Cook Islands, Fiji, Indonesia, Kiribati, Malaysia, Marshall Islands, Micronesia, Nauru, New Zealand, Niue, Palau, Papua New Guinea, Philippines, Samoa, Singapore, Solomon Islands, Thailand, Timor Leste, Tonga, Tuvalu, Vanuatu, Vietnam.

It can also be subject to manmade disasters, specifically conflict scenarios, whether interstate or intrastate. This analysis of the Asia Pacific combines the regions of South East Asia and the Pacific as regions which face similar natural and, at times, manmade crises situations. These countries represent settings where the EU is involved in varying degrees of DRR programming, thus provide for an attractive area of analysis of the EU’s DRR strategy as part of its external action.

APPENDIX II

COMPONENTS OF THE RIGHTS-BASED IMPACT ASSESSMENTS

In this Appendix, you will find profiles of the components of the rights-based impact assessments as outlined in the methodology section of Chapter I:

	Research data	Analysis tool	Measure of human rights / human security
POLICY PROFILING			
1.	European Union Policies	Content Analysis Pattern correlation	PRINCIPLE/POLICY LEXIS
2.	Member State policies	Content Analysis Pattern correlation	PRINCIPLE/ POLICY / LEXIS
INDIVIDUAL LEVELS OF THE DISASTER-RELATED DATASET			
3.	Natural disaster data / those affected	Data isolation Long term involvement Pattern correlation	PRACTICE / PRAXIS
4.	European financial profiles	Data isolation Long term involvement Pattern Correlation	PRACTICE / PRAXIS
5.	EU- FPA partners (general and child-centric)	Data isolation Pattern Correlation	PRACTICE / PRAXIS
6.	Asia Pacific humanitarian organisations (general and child-centric)	Data isolation Pattern Correlation	PRACTICE / PRAXIS
7.	Asia Pacific DRR projects	Data isolation Pattern Correlation	PRACTICE / PRAXIS

1. LIST OF EUROPEAN UNION INTERNAL AND EXTERNAL POLICIES FOR POLICY PROFILING AND LEXIS ANALYSIS

INTERNAL			
DIRECTORATE GENERAL	YEAR	THEME	POLICY NAME
JUSTICE	2006	CHILD	An EU strategy on the rights of the child
JUSTICE	2007	CHILD	EU guidelines for promotion / protection of child rights
JUSTICE	2010a	CHILD	Communication on child exploitation
JUSTICE	2010b	CHILD	Roadmap – Communication on the EU strategy on the rights on the child 2011-2014
JUSTICE	2011	CHILD	EU agenda for rights of the child COM(2011)60
ECHO	2009	DRR	A community approach on the prevention of natural and man-made disasters COM 2009)82

EXTERNAL			
EU AGENCY	YEAR	THEME	POLICY NAME
DEVCO	2005	DEV	European Consensus for Development
DEVCO	2009	DEV	EU policy coherence in development assistance
DEVCO	2011	DEV	Increasing the impact of development policy
DEVCO	2012	DEV	Social protection in EU dev cooperation
ECHO	2004	DRR	Disaster Prevention and Preparedness
ECHO	2007	HA	European Consensus for Humanitarian Aid
ECHO	2009a	DRR	Supporting DRR in developing countries
ECHO	2009b	DRR	Preparedness in the Pacific
ECHO	2009c	PARTNER	Framework Partnership Agreements
ECHO	2010a	HA	EU civil protection
ECHO	2010b	HA	FPA adjoining documents
ECHO	2011	DRR	DRR in developing countries Implementation plan
EEAS	2003	CHILD	EU guidelines on children and armed conflict
EEAS	2008a	CHILD	A special place for children in external action
EEAS	2008b	CHILD	EU action plan on child rights in EU external action
EEAS	2008c	CHILD	Working document on children in emergency and crisis situations
EEAS	2010	CHILD	Com staff working document on combating child labour
EEAS	2011a	HR	Human Rights benchmarks for EU external action policy
EEAS	2011b	HR	Joint communication on human rights and democracy at heart of external action
EEAS	2011c	PARTNER	Structured dialogue for efficient partnership in development assistance
EEAS	2011d	PARTNER	Corporate Social Responsibility strategy 2011-2014
EEAS	2011e	PARTNER	Guidelines for Non-state actors
EEAS	2011f	HR	Instrument for democracy and human rights (EIDHR) strategy paper 2011-2013
EEAS	2012a	HR	EU strategic framework and action plan on human rights and democracy
EEAS	2012b	PARTNER	The roots of democracy and sustainable development - engagement with civil society organisations in external action

2. MEMBER STATES' FOREIGN POLICIES FOR POLICY PROFILING AND LEXIS ANALYSIS

MEMBER STATES	YEAR	THEME	POLICY
Austria (a)	2007	Partner	Non-governmental organisation cooperation
Austria (b)	2009	HA	International Humanitarian Aid
Belgium (a)	2007	HA	Improvement of the effectiveness of Belgian governmental bilateral aid
Belgium (b)	2008	CHILD	The rights of children in development cooperation
Bulgaria	-	-	-
Cyprus	2009	DEV	CyprusAid Brochure
Czech Rep. (a)	2010	HA/DEV	Development Cooperation and humanitarian Aid Act
Czech Rep. (b)	2010	DEV	Development cooperation strategy of Czech Republic 2010-2017
Denmark (a)	2005	CHILD	Children and young people in Danish development cooperation
Denmark (b)	2010	HA	Strategy for Danish humanitarian action 2010-2015
Denmark (c)	2011	PARTNER	Crosscutting monitoring of civil society strategy
Denmark (d)	2012	HR	A right to a better life
Estonia	2011	HA/DEV	Strategy For Estonian Development Cooperation And Humanitarian Aid 2011-2015
Finland (a)	2010	DEV	Finland's development cooperation
Finland (b)	2011	DRR	DRR checklist
France (a)	2010	HR	Human Rights and Democracy
France (b)	2011	DEV	Development Cooperation: A French Vision
Germany (a)	2010	DRR	DRM guidelines
Germany (b)	2012	PARTNER	Global partnerships
Germany (c)	2012	HA	Strategy of the Federal Foreign Office for Humanitarian Aid Abroad
Germany (d)	2013	DRR	Disaster Risk Management for all
Greece	0	0	N/A
Hungary	2006	DEV	Hungarian International Development Policy
Ireland (a)	2007	DEV	Adapting to Climate Change
Ireland (b)	2008	PARTNER	Civil society policy
Ireland (c)	2010	HA	Humanitarian relief policy
Italy	2010	DEV	Dev coop (2010-2012)
Latvia	2011	DEV	Dev coop (2011-2015)
Lithuania	-	-	-

Luxembourg (a)	2009	HA	Action Humanitaire
Luxembourg (b)	2011	DEV	Strategie generale
Malta	2007	DEV	Overseas development policy
Netherlands (a)	2007	HR	Human rights and dignity for all
Netherlands (b)	2012	DEV	Aid for people in need
Poland	2011	DEV	Development cooperation act
Portugal (a)	2009	DEV	Development cooperation strategy
Portugal (b)	2010	DEV	Multilateral cooperation
Romania	2010	DEV	New donors can make a difference
Slovakia	2009	DEV	ODA strategy
Slovenia	2008	DEV	International development cooperation (2008-2015)
Spain	2009	DEV	Development director plan (2009-2012)
Sweden (a)	2008	DEV	Development policy
Sweden (b)	2010	HR	Human Rights in development - change for freedom (2010-2014)
Sweden (c)	2011	DEV	Peace and security in development (2011-2014)
UK (a)	2006	HA	Humanitarian Aid
UK (b)	2006	DRR	Reducing the Risk of Disasters- Helping to achieve sustainable poverty reduction in a vulnerable world
UK (c)	2011	DRR	Defining disaster resilience

The following tables outline the variables included in the content analysis of the EU and Member State policies to explore the lexical references to internal policy decision-making regarding children and DRR. Additionally, content analysis assisted in analysis of the practical measures of EU and Member States towards rights-based DRR in the Asia Pacific, through the model of human security.

LEXIS CONTENT ANALYSIS COMPONENTS (EXAMPLE SHOWN)

EU / COUNTRY	YEAR	POLICY	TITLE/THEME	APPROACH				CHILD COUNT	RISK/ACTION TWDS UNCR				SITUATION		COHERENCE		DRM		
				NEEDS	RIGHTS	CHILD RIGHTS	UNCR		Art 2	Art 3	Art 6	Art 12	CRISIS	DISASTER	MS	EU	DRR	DPP	DRM
ECHO	2010b	PARTNER	FPA adjoining docs	41	49	1	1	36	0	0	10	0	80	39	1	0	3	9	8

PRAXIS CONTENT ANALYSIS COMPONENTS (EXAMPLE SHOWN)

HUMAN SECURITY						PARTNERSHIPS W NSAs			ACCOUNTABILITY		ASSESSMENT TYPE					ASIA-PACIFIC				
LOCAL OWNERSHIP	GOVERNANCE	BILATERAL	REGL	MULTILAT		PARTNER	CSO	PRIVATE	REPORTING	LESSONS LEARNT	CAP	IMPACT	NEEDS	RISK	VULN	AP	SEA	ASEAN	PAC	PIF
0	1	2	2	8	0	898	0	14	115	1	0	0	18	7	0	0	0	0	2	0

3. DONOR-PARTNER FINANCIAL PROFILES (EXAMPLE SHOWN)

Donor	Appealing Agency	Emergency title		YEAR	USD committed/contributed	Description	EUR	Decision date	IASC Standard Sector	Destination Country	Contribution status	Reported by
European Commission	International Federation of Red Cross and Red Crescent Societies	FUJI - Cyclone - January 2003	PAC	2003	451,127	In response to IFRC Appeal	420,000	6-Feb-2003	MULTI-SECTOR	Fiji	Paid contribution	Donor

Relevant aspects of data from the Global Financial Tracking System outlined in the Methodology section, was added to the natural disaster dataset (Component 3 above) in order to correlate the natural disaster data with the financial contributions of the EU. This data was important to verify the institution involved in financing project. However, this data is reliant on the reporting of this data by the donor and partner institution, which may not always occur, or fully reflective of the financial commitments or paid contributions. This data was appropriate for analysis of DRR-related activities to confirm the irregularities of the EU institutional structures, which undertake DRR programming.

ECHO FRAMEWORK PARTNERSHIP AGREEMENT PARTNERS (EXAMPLES SHOWN)

The table below represents an example of the data collated of ECHO partners from 2009 along with an update of the dataset in 2011 to allow for changes in partnerships, and activities. As such, data analysis undertaken in Chapter III represents partnerships up until 2011. There has been a revised list of partnerships published in 2013, requiring future examination to represent the amendments of partnerships between ECHO and European humanitarian agencies.

Key		Added 2011		Bold = child focussed activities	
European NGOs					
Country	NGO	Child focus	Country/ Event	Activity for event	EU commitment on website (ECHO/EuropeAid)
Austria	CARE ÖSTERREICH	Y	Bangladesh - 2007 Sidr 2009 Indo EQ Laos Ketsana 09 Myanmar Nargis 08 East Timor Pakistan 05 EQ Pakistan 2010 flood	Water, immed aid, medical temp accom hygiene packs immediate aid Gen developmt, peace, child rights emergency aid tents, blankets, emergency needs, medical	

4. NATURAL DISASTER DATA SET (EXAMPLE SHOWN)

PAC	Emergen	Date	Year	Country affected	Figure	Affected / HH / D	EU org	Amount	Contribution stat	Current	Agency	Description
PAC	Volcano	11/06/2005	2005	PNG	10000	A	ECHO	200000	IDP SHELTER	EUR	IFRC	SHELTER+HA

This dataset for the human rights impact assessment includes details of any natural disaster event taken place in the decade of data collection and within the Asia Pacific region. The GLIDE network database assisted with collation of this data, as mentioned in the Methodology section of Chapter I.

5. ASIA PACIFIC DRR PROJECTS (EXAMPLES SHOWN)

Data explored through the Asia Pacific DRR Portal represented aspects of DRR projects in the Asia Pacific. This data identified the EU mechanisms financing the projects, along with geographic and thematic trends of DRR in the Asia Pacific.

Key	Child focus	Pacific	EC	EDF	**Bold = PINs with ECHO funding (DRR strategy)			
Project Title	Status	Start Date	End Date	Countries	Lead Org	Partner Org	Donor(s)	Total Funding (USD)
Consolidating community capacity in child-focused disaster preparedness and response	Completed	2007-Feb-15	2008-May-14	Viet Nam	Save the Children UK	None	European Commission Humanita	\$485173.00
Building Resilience of Communities to Recurrent Natural Disasters, particularly Flash Floods in the Upland Areas of Viet Nam	Completed	2007-Feb-15	2008-May-14	Viet Nam	United Nations Development Programme (UNDP)	Centre for Inter	European Commission Humanita	\$550589.00
Pacific HYCOS - Hydrological Cycle Observing Systems	Current	2007-Jan-01	2010-Dec-31	Cook Islands; Micronesia, Federated States of; Fiji; Kiribati; Marshall Islands; Nauru; Niue; Palau; Papua New Guinea; Samoa; Solomon Islands; Tonga; Tuvalu; Vanuatu	Applied Geoscience and Technology Division (SOPAC) of the Secretariat of the Pacific Community (SPC) (SOPAC)	Fiji Meteorologi	European Development Fund (inf	
Disaster Risk Reduction in Eight Pacific ACP States (emergency operations and communications)	Current	2007-Oct-01	2011-Dec-31	Micronesia, Federated States of; Palau; Papua New Guinea; Solomon Islands; Nauru; Tonga; Tuvalu	Applied Geoscience and Technology Division (SOPAC) of the Secretariat of the Pacific Community (SPC) (SOPAC)	None	European Development Fund (inf	\$11385159.00
Building Resilience to Tsunamis in the Indian Ocean (Project Selamat)	Completed	2007-Sep-01	2009-Mar-31	India; Indonesia; Maldives; Sri Lanka; Bhutan	Asian Disaster Reduction and Response Network (ADRRN)	Kyoto Universit	European Commission (except Ec	

APPENDIX III

INTERVIEW DATA COLLATION

1. Participants (26)

European participants (14):

- European Commission staff (2):
ECHO Staff, 10/11/2010.
European Commission Humanitarian Aid and Civil Protection Cabinet, 4/11/2010.
- ECHO Regional Office, Bangkok (2):
ECHO Information Officer, 25/02/2011.
ECHO DRR Coordinator, 25/02/2011.
- Members of the European Parliament (2):
Del to ACP-EU Joint Parliamentary Assembly /Committee on ENVI, 11/11/ 2010.
Committee on LIBE, 4/11/2010.
- European international organisations (4):
CAFOD, 10/09/2012.
Helpage, 11/09/2012.
UNICEF, 28/08/2012.
ICRC, 27/09/2012.
- Europe-based DRR Practitioners (4):
Anonymous, 11/09/2012.
Anonymous, 12/09/2012.
Anonymous, 14/09/2012.
Anonymous, 15/09/2012.

In-country participants (12):

- In-country EU chargé d'affaires (1):
Anonymous, 15/10/2012.
- In-country donors (3);
AusAid, 16/10/2012.
UN Agency, 16/10/2012.
UN Agency, 16/10/2012.
- National Disaster Management Office (1):
Anonymous, 15/10/2012.
- In-country international organisations (5):
World Vision [regional], 29/08/2012.
World Vision [in-country], 15/10/2012.
Care International, 17/10/2012.
Save the Children, 18/10/2012.
Save the Children, 18/10/2012.
- In-country DRR practitioner (1):
Vanuatu Humanitarian Team, 19/10/2012.
- In-country local community member (1):
Anonymous, 19/10/2012.

2. Example of information sheet and consent forms



INFORMATION SHEET

You are invited to participate as a subject in the research project “EU and the Asia Pacific: Measuring the effectiveness of child protection in Disaster Risk Reduction strategies.” The aim of this project is to evaluate measures of child protection through collaborations between the European Union and external actors in regards to EU Disaster Risk Reduction policy and programming.

Thank you for taking the time to participate in this interview. During this study you will be asked to answer questions regarding Disaster Risk Reduction in the Asia-Pacific and collaborations with the EU. This interview is designed to be approximately 30mins to 1 hour in length, depending on your availability. Please feel free to expand on, or not answer, any of the questions you are asked.

At the beginning of the interview the question of protection of identities will be raised. If you wish to remain anonymous, the publication of this research will contain no reference to yourself. You have the right to withdraw from the project up until 10 December 2012, including withdrawal of any information provided.

The data collected for this research will be kept in a secure place, and only the senior supervisor and researcher will have access to this information. All data will be kept secure until it is destroyed, no longer than five years after the completion of this project. Please be aware that the results of the project will be published in a PhD thesis, which will be accessible to the public, and may be published in future research.

The project is being carried out as a requirement to a PhD degree by Genevieve Taylor, who can be contacted at genevieve.taylor@pg.canterbury.ac.nz. This project is under the supervision of Dr. Katharine Vadura, who can be contacted at katharine.vadura@canterbury.ac.nz. They will be pleased to discuss any concerns you may have about participation in the project.

The project has been reviewed *and approved* by the University of Canterbury Human Ethics Committee.

Kind regards,

A handwritten signature in black ink, appearing to read 'Genevieve Taylor'.

Genevieve Taylor.

PhD Candidate and Research Assistant
National Centre for Research on Europe
University of Canterbury
Christchurch, New Zealand



Genevieve Taylor
 National Centre for Research on Europe
 Level 4
 Commerce Building
 University of Canterbury
 Private Bag 4800
 Christchurch
 New Zealand

7 July 2010

CONSENT FORM

“EU AND THE ASIA PACIFIC: WORKING COLLABORATIVELY AND MEASURING EFFECTIVENESS IN HUMANITARIAN ACTION IN RELATION TO CHILD PROTECTION.”

I have read and understood the description of the above-named project. On this basis I am aware that the results of the project will be published in a Masters thesis, which will be accessible to the public, and may be published in future research, but I am assured of the complete confidentiality of data gathered in this investigation and my identity will not be made public without my consent.

I understand also that I may withdraw from the project up until the 20 December 2010, including withdrawal of any information I have provided.

I note that the project has been reviewed **and approved** by the University of Canterbury Human Ethics Committee.

Please ensure that your organisation has given you permission to speak on their behalf.

While I understand that my personal details are confidential, I understand that the name of my organisation may be used in this research. I have indicated below whether I wish or do not wish this to be allowed in this research.

Please tick:

- Yes, I agree for the name of my organisation to be used in this research.
- No, I do not agree for the name of my organisation to be used in this research.

NAME (please print):

Signature:

Date:

3. Example of questions for semi-structured interviews

EUROPEAN UNION INTERVIEWS

1. Please give me a brief description of your position?
2. Very briefly could you please tell me how you came to work here?

ECHO's Operational policies

3. In terms of a time-frame, once the EU becomes aware of a crisis, how quick is the response from ECHO to deliver immediate aid? Does this change if several countries are affected?
4. What is your opinion of the EEAS?
5. Do you believe the assembly of Member States' resources can be executed promptly enough, considering the need for a rapid reaction to disasters?

Protection of children through ECHO's operational policies

6. What is your opinion on the protection of children within the formation of ECHO's operational policies?
7. ECHO's projects generally last 6 months, often there is a grey area between immediate aid and development, where children can be extremely vulnerable. How do you think the EU can respond to this problem within its humanitarian policies?

Interaction with partners

8. How do you view ECHO involvement in projects of European humanitarian NGOs - is it very active in such projects, or could this coordination be improved?
9. Are there mechanisms in place to communicate with them after the project has been concluded?
10. Do you think the geographic distance affects the coordination with external NGOs or is there coordination through local ECHO operational centres?
11. In your opinion, do the local ECHO operational centres improve coordination at a time of crisis, or does it make it more difficult for external actors to know who to coordinate with?
12. What do you see as the biggest challenge for ECHO at present?
13. Do you have any other comments, or is there anything you wish to ask me?

PARTNER INTERVIEWS

1. Please give me a brief description of your position?
2. Very briefly could you please tell me how you came to work here?
3. How do you view the effectiveness of EU – partner relations in general?
4. What is your opinion of the EU's approach to children in its external action?
5. How do the EU's policies reflect child protection in project implementation?
6. How do the EU's mechanisms and institutions affect the implementation of your projects?
7. What is your view of the EU's presence in the region?
8. How do you think children and child vulnerability can be better highlighted in DRR policies and programming at the different levels of governance?
9. Do you have any other comments, or is there anything you wish to ask me?

4. University of Canterbury Human Ethics Committee Approval

This research required a high-risk ethics approval due to the focus of children. The University of Canterbury Human Ethics Committee reviewed and approved the methodological components for this project.⁶⁷⁶ It should be emphasised that this research did not entail any direct contact with children. Subjects approached in interviews were asked questions related to children, their rights, and their protection during times of crisis. Additionally, the subjects interviewed were often advocates for children, which consequently meant this research necessitated a high-risk ethics approval.

Ref: HEC 2010/80

28 June 2010

Genevieve Taylor
National Centre for Research on Europe
UNIVERSITY OF CANTERBURY

Dear Genevieve

The Human Ethics Committee advises that your research proposal “EU and the Asia Pacific: working collaboratively and measuring effectiveness in humanitarian action in relation to child protection” has been considered and approved.

Please note that this approval is subject to the incorporation of the amendments you have provided in your email of 22 June 2010.

Best wishes for your project.

Yours sincerely

Dr Michael Grimshaw

Chair, Human Ethics Committee

⁶⁷⁶ Evidence of this approval can be found in Appendix III

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