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Title of the Project DISASTER RESILIENCE CHARACTERISTICS OF PASTORAL COMMUNITY AND THE RELEVANCE OF SELECTED NON-GOVERNMENT ORGANIZATION INTERVENTIONS: THE CASE OF MOYALE DISTRICT COMMUNITY, BORENA ZONE, OROMIA REGIONAL STATE, ETHIOPIA

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**SCHOOL OF CONTINUING EDUCATION  
INDIRA GANDHI NATIONAL OPEN UNIVERSITY**

**MASTER OF ARTS (RURAL DEVELOPMENT)/MARD**

**RESEARCH PROPOSAL**

**DISASTER RESILIENCE CHARACTERISTICS OF PASTORAL  
COMMUNITY AND THE RELEVANCE OF SELECTED NON-  
GOVERNMENT ORGANIZATION (NGO) INTERVENTIONS: THE CASE  
OF MOYALE DISTRICT COMMUNITY, BORENA ZONE, OROMIA  
REGIONAL STATE, ETHIOPIA**

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**ADDIS ABABA**

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## **1. Introduction**

### **1.1 Background of the Study**

Ethiopia is exposed to a wide range of hazards associated with the country's diverse geo-climatic and socio-economic conditions. Drought and floods represent major challenges, as well as a number of other hazards adversely affect communities' livelihoods which include frost and hail, crop pests and diseases, livestock diseases, human diseases, local conflicts, landslides, earthquakes, urban and forest fires. Climate change is predicted to further increase exposure to climate-related and hydrological hazards. Ethiopia is vulnerable, given the importance of agriculture for the overall economy and the livelihoods of poor households, and the scarce diffusion of irrigation and water-shed management practices (FDRE 2013).

Deforestation, poor management of land and water, depletion of key ecosystems and loss of bio-diversities have contributed to climate change, food insecurity and conflicts in Ethiopia (USAID, 2013). Population growth, loss of prime grazing lands and an influx of refugees further threaten the way of life and survival of Ethiopian pastoralists (Abdulahi, 2005). Recurrent drought within the pastoralist communities in general and Borana Zone in particular, has deteriorated the resilience capacity of households and local institutions.

Much has been done in the last 30 years in the way of managing disaster risks. Large scale programs have been designed to mitigate the effect of drought by focusing on vulnerabilities, through household asset building, and public works for environmental rehabilitation and generation of livelihoods. Preparedness has

been enhanced through the early warning system, the strategic grain reserve, and the development of standard guidelines for assessment and intervention. Humanitarian response currently count on an established risk financing mechanism, better coordination, and improved resource management and prioritization. A recovery strategic framework guides the community recovery from disasters and the protection of livelihoods (FDRE 2013).

However, despite substantial efforts by donors, governments, and civil society to mitigate and prevent disasters, the frequency and scale of adverse events, shocks and stresses has been increasing (MoA, 2013). Risk reduction programs should, therefore, include a strong component of resilience building to help communities overcome their vulnerability and cope with shocks and stresses (Frankenberger et al., 2012).

This study is, therefore, intended to assess context based resilience characteristics of households and the community at large in Moyale district of Borena Zone. It helps to understand the status of the communities in light of the identified resilience dimensions, evaluate the characteristics and strategies of disaster resilient households and also to examine the most highly rated interventions contributing to building local disaster resilience. The study will substantially contribute to ensuring efforts of achieving food security and household livelihood diversification and resilience to the impacts of disasters. It is believed that such studies would have relevance to a wide range of

developmental and humanitarian efforts in various fields such as policy, planning, programme, M&E and research processes.

## **1.2 Overview of DAIE and its program in the study area**

Dorcas Aid International Ethiopia (DAIE) is a non-governmental relief and development organization of Dutch origin. It has been operational in the country for more than 20 years in three different regional states namely: Oromiya; S.N.N.P.R; and Addis Ababa City Administration. The organization operates through partnership with like-minded local non-governmental organizations and also directly implements various projects in the regions indicated above. Its program largely focuses on the following key sectors: Disaster Risk Reduction; Sustainable Livelihoods; Relief & Rehabilitation; HIV/AIDS and Health; Water and Sanitation; and Social Care.

Borena Zone, which is located in the Oromiya Regional State of Ethiopia, has been one of the intervention areas of DAIE since 2011. The organization began with the implementation of a relief project in Moyale district following the Horn of African Drought that occurred in 2011/12 partnering with a local NGO, MKC-RDA. Based on DAIE principle of implementation which is linking relief, rehabilitation and development (LRRD) a community rehabilitation project was designed and implemented from 2012 to 2015 by the same partner in the same location. The strategy combines humanitarian and development work in the same district to ensure that aid can be deployed simultaneously or linked from relief to rehabilitation and development, and in the development phase through

disaster preparedness and risk reduction for effective relief. At the final year of the project phase another program entitled “Strategic Partnership Protracted Crisis Program” was designed to address the beneficiaries in seven kebeles of Moyale district which were not targeted by the previous rehabilitation program implemented for three years (2014 to 2017). The program addressed 720 households (equivalent to 5062 people) through various components of the program indicated below in its duration of three years. Recently, the organization has launched a new program called “Community Based Youth Livelihood Improvement” which is aimed at averting youth unemployment through building strong communities, providing quality vocational education and training and also organizing multi-stakeholders partnership forums at different levels. In general the development programs of DAIE in Moyale was focusing on:

- ✚ improving and diversifying agriculture and livestock production;
- ✚ increasing disaster risk reduction, mitigation and preparedness;
- ✚ livelihood diversification for resilience building (alternative income sources available from off-farm activities), and
- ✚ fulfilling general humanitarian and rehabilitation needs adequately.

The four program components were aimed at achieving improved household food security; sustainable production systems; and diversified food, crops and income sources which generally contribute to resilience building. The major activities undertaken partnering with concerned stakeholders include; pastoralists and local experts capacity building (on agriculture, livestock, water schemes

management, entrepreneurship business management, milk value chain, rangeland rehabilitation, soil and water conservation, vegetable production, DRR and etc), provision of improved variety of (drought resistant) seeds and agricultural tools, introduction of technologies, restocking of herds, rangeland rehabilitation and management, earthen water pond construction, CMDRR awareness and action plan preparation & DRR committee establishment in each village, self-help group formation for credit access and income generation, gender based value chain development, and provision of humanitarian relief response during drought seasons.

## **2. Statement of the Problem**

Ethiopia is a country prone to droughts, floods, landslides, pests, earthquakes, and urban and forest fires. Estimates suggest that 80-85 percent of the populations are dependent on rain-fed agriculture for their livelihoods, exposing many people to the potential impacts of climatic-related events. Pastoralist communities in the south and east of the country, in particular, are vulnerable to the changing climatic patterns.

Pastoral areas are the most arid and drought affected regions in the country. Substantial portions of the population are either food-insecure or chronically hungry. Borena zone is one of the pastoral locations that share similar characteristics. Within the locality, drought impact is exacerbated by chronic inter-clan and ethnic insecurity and conflict. The conflict is partly linked to scarce resources such as pasture for grazing and water, but it is also attributed



to ethnic, and tribal tensions between tribes and groups, all exacerbated by the impacts of frequent drought. Dependency on rain-fed agriculture, under development of water resources, low economic development and weak institutions are also factors that worsen the situation.

In addressing risk and vulnerability, the government has shown a major commitment to change. The 2013 Disaster Risk Management Policy (which is accompanied by a new administrative structure) is to be commended, notable on account of marking a shift in orientation from crisis management to a forward-looking, multi-sectorial and multi-hazard disaster risk management strategy. In addition the Productive Safety Net Programme, Ethiopia's largest social protection programme, and a major component of the Food Security Programme, as well as the Climate Resilient Green Economy Strategy (SWISS, 2015).

Even though various efforts were exerted by the government, as well as by national and international humanitarian organizations to minimize the crisis through resilience building, the scale, frequency, and number of people suffering by natural hazards has been increasing during the last few decades. As a result, the pastoral society is facing a range of social, economic, political as well as climatic pressures, some of which are forcing people to abandon their former traditional livelihoods and to migrate. The early coping strategies of the people have been significantly eroded to the level that weakens the response capacity of

households and local institutions. Hence, the community's dependency on external support to fulfill basic needs has increased year after year.

In such situation of protracted crisis the concept of resilience has been challenging for both developmental and humanitarian actors. Theoretically, “building resilience” offers the promise of helping households, communities and broader systems to “bounce back” or “bounce back better” from the negative effects of catastrophic events, whilst maintaining opportunities for growth and sustainable development. Despite the implied potential, the process of identifying where and how to build resilience in practice remains largely elusive as different organizations have varying understandings and interpretations of the term. It encompasses multiple sectors and dimensions. In addition, several important aspects, such as governance or ecosystem, health are not easy to quantify. Furthermore, mapping and measuring the interplay among diverse and constantly changing components adds yet another complication to the process. Due to lack of consensus and consistency in terms of what resilience means and how to measure resilience, it is difficult to objectively monitor and verify the success (or failure) of numerous ongoing resilience building initiatives (UNDP, 2013).

### **3. Objectives of the Study**

#### **3.1 General Objective**

The overall objective of the research is to assess the priority disaster resilience characteristics of Moyale community and review the significance of interventions made by selected non-governmental organization, DAIE.

### **3.2 Specific Objectives**

1. Identify key disaster resilience characteristics of the community and households in Moyale district.
2. Assess the achievements of the community towards the identified resilience characteristics at the time of assessment.
3. Identify the major interventions of a selected NGO in building local disaster resilience in the study area.

### **4. The Research Questions of the Study are:**

1. What are the main characteristics/dimensions of disaster resilience in the context of the community in Moyale?
2. What is the capacity of the community in attaining the major characteristics of resilience?
3. Which ongoing factors/interventions have contributed to improve the resilience to disaster of the community?

### **5. Significance and Limitation of the Study**

#### **5.1 Significance of the Study**

The study area has been experiencing different types of disasters which deteriorated the coping capacity of the community. The trend and frequency of disasters has also been increasing and significantly altered the livelihood of the people and their resilience capacity. Therefore, assessing context based resilience characteristics of the community is very essential in order to evaluate

the status of the community with respect to identified resilience dimensions as well as the characteristics and strategies of disaster resilient households and also to examine the most highly rated interventions of the selected NGO in building local disaster resilience. In addition, the study assesses the positive experiences by identifying the households perceived to be already resilient and examining what those households have or do differently that enabled them to bounce back (better) from past shocks or stresses. This evidence-based approach significantly improves the understanding of what resilience looks like in reality.

The households as well as communities in the study area will have the opportunity to share their local knowledge, strategies and experiences related to disaster resilience. The study will substantially contribute to ensuring efforts of achieving food security and household livelihood diversification and resilience to the impacts of drought.

The finding of this research can play significant role to enhance and facilitate exchange of appropriate knowledge and information among local communities, field experts, key stakeholders, policy makers and researchers. This will help the adoption, dissemination and scaling out best resilience strategies to the larger pastoral community. These findings are of high relevance to a wide range of actors working in the area and will complement and supplement their developmental and humanitarian efforts significantly in various fields such as policy, planning, programme, M&E and research processes.

Furthermore, the best strategies and options derived from the finding will be valuable inputs for DAIE future programming in the area. It also enables the organization to design more context-relevant interventions and promote more evidence-based, cost-effective resource allocations. The organization consider itself as a learning organization and, after identification and implementation of the best strategies, DAIE will continue sharing the learnings and best experience to its stakeholders, partners and the communities in the future.

In general, the research will be engaged in documenting the processes and findings that will enhance the knowledge and skill of the pastoral community on resilience strategies for its effective implementation.

## **5.2 Limitation of the study**

This study, while identifying the resilience characteristic of the community and households, will be limited in terms of time as it observes only the current factors that builds the distinguished characteristics. Besides, as the security situation of the area is so volatile due to ethnic conflict that currently prevailing, the study might not be completed within the scheduled period of time.

In relation to coverage, as indicated on the sample frame the research area will be limited to four kebeles because of resource constraints such as time and budget.

## **6. Literature Review**

Disasters hit every part of the globe (developing and developed), causing deaths and destructions. Hurricanes, fire, earthquake, tsunami, flood, drought, volcanic eruptions, landslides, cyclones, wars, oil spills, acts of terrorism, just to name a few, are the natural and man-made disaster events that resulted in untold suffering to the millions of people worldwide. Disasters often entail sudden shocks that disrupt the livelihoods of communities, infrastructure and institutions (UNDP Ethiopia, 2011). Climate change is one of the causes of such stress and takes a significant toll on the economic production and resilience of communities (USAID, 2013).

The number of disasters recorded in Africa has increased significantly since the 1970s. Over the last four decades, Sub-Saharan Africa has experienced more than 1000 disasters, with 300 disasters in the last five years alone. Since then more than 330 million people were affected by droughts, floods, cyclones, earthquakes and volcanoes in Africa (EMDAT, 2010). Droughts occur predominately in semi-arid and sub humid areas of the Horn of Africa, and Southern Africa (World Bank/GFDRR, 2010).

Ethiopia has a long history of recurring droughts which, since the 1970s, have increased in magnitude, frequency, and impact (GFDRR, 2016). Of all the hazardous events, drought has over many centuries' triggered famines that caused human losses of catastrophic proportions in the country. (Pankhurst, 1983, and RRC, 1984). Since the catastrophic famine of 1983-1984, Ethiopia

has endured at least six major droughts: from 1988-1989, 1999-2000, 2003, 2005, 2007-2008, and 2011-2012. Many of these droughts have affected the semi-arid and arid regions located in the eastern, southern and south-eastern lowlands, where pastoralism and agro-pastoralism remain the dominant forms of livelihoods (SWISS, 2015).

Drought is a common phenomenon in many parts of Borana. In the zone droughts were recorded every 6- 8 years in the past, they now occur every 1-2 years (SCF, 2009). It poses a major threat to pastoralism and rain-fed agriculture in the area causing depletion to the natural resource base and has much wider implications on the region's financial resources, education, health/levels of malnutrition, labour migration and livelihoods (SWISS, 2015). Droughts in the 1980s and 1990s resulted in the deaths of 37 and 42 per cent of all cattle, respectively. Over a period of 17 years, losses in the form of cattle mortality in Borana were valued at some US\$300 million (Desta and Coppock, 2000).

## **6.1 Theoretical Framework**

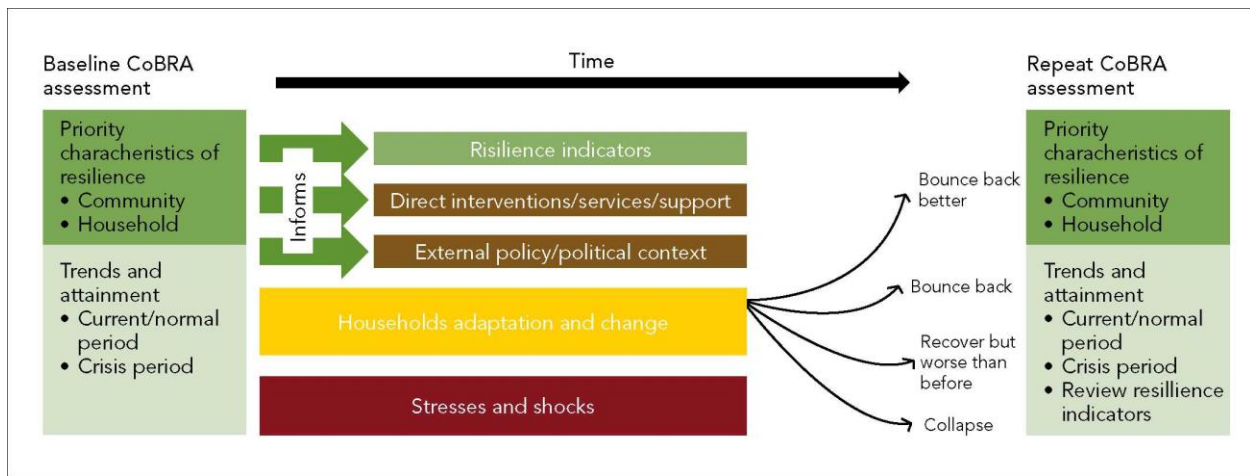
There are a number of resilience models that are developed at different period of time. However, these models can be generally categorized into two groups: models that attempt to capture and describe a system-wide approach to resilience (e.g., DFID, Technical Assistance to Non-Governmental Organizations [TANGO], Practical Action, Fraser, etc.); and models that attempt to define and measure the characteristics of resilience at a community level (e.g., Food and

Agriculture Organization of the United Nations [FAO], Oxfam, Tulane University, etc.). This study, however, will apply CoBRA conceptual framework which was initiated by UNDP Drylands Development Centre (DDC) in 2012 (explained in detail below) as the researcher found it suitable to attain the defined objectives. The framework builds upon part of the both models. However, it also differentiates from these models in that it is designed to be a participatory and community based methodology and a practical package that can be applied in many contexts.

**CoBRA (Community Based Resilience Analysis):** According to COBRA conceptual framework and methodology guide this framework was initiated by UNDP Drylands Development Centre (DDC) in 2012 following a decade of repeated drought-related disasters and most recent drought crisis (2010-2011) in the drylands of the greater Horn of Africa (HoA) that significantly affected the resilience capacity of the people. In this context, the term ‘resilience’ has gained much traction amongst Governments and other agencies working in the region. Nevertheless, different organization have different understanding and interpretation of resilience. There is also a significant challenge in translating the resilience concept into practice on the ground even though substantial financial commitment has been made. The lack of consensus and consistency as to the most appropriate approach to measure resilience undermines the ability of stakeholders to objectively monitor and verify the success (or failure) of their efforts for programming to build resilience. It was in this context that UNDP in Collaboration with ECHO’s Drought Risk Reduction Action Plan (DRRAP)



developed and introduced a robust analytical tool, i.e., CoBRA through which to measure and understand resilience at the community and household levels. In particular, it focuses on assessing how communities define and experience resilience and linking these findings with development and humanitarian interventions for drought.



**Figure 1. CoBRA Conceptual Framework**

CoBRA is a tool which intends to measure and identify the key building blocks of community resilience, or "resilience characteristics", and assesses the attribution of various development/humanitarian interventions in attaining these resilience characteristics. COBRA examines resilience characteristics and levels in five sustainable livelihoods framework categories (i.e., physical, human, financial, natural and social) in a participatory and community-led manner.

CoBRA was devised as a conceptual framework and methodology for measuring and assessing the impacts of community-based DRR interventions on local resilience building. The findings are instrumental in informing the ongoing region-wide efforts to develop measurable composite resilience indicators of

change. CoBRA assessment methodology is one of the first practical analytical tools developed to identify indicators for measuring community resilience.

## **7. Universe of the Study**

This study will be carried out in Moyale district located in Borena zone of Oromia regional state of Ethiopia, the southernmost district of the Oromiya Region bordering Northern Kenya. It consist of 18 kebeles and 771 km away from the capital, Addis Ababa. DAIE has been implementing its rehabilitation and development program in seven kebeles<sup>1</sup> of the locality.

According to the district's administration office the population of the locality is 204,380 which is predominantly Borena and Gebra clans within the Oromo ethnic group with a majority of Muslim community. Altitude of the area ranges from 1150 - 1350 meters above sea level. Land use pattern is estimated as: 60% pasture, 21% forest, 9% arable, and 10% swampy, degraded or otherwise unusable.

The Borena population is predominantly a pastoral society where livestock provides the primary means of subsistence for living. With regard to crop production, maize and haricot bean are grown and with little experience of growing some types of vegetables. However, the use of improved technologies is at a very low stage. Crop and vegetable diseases are widespread. Besides means of family income, livestock raising is considered as symbols of pride and prestige.

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<sup>1</sup> The smallest administrative units, according to the Ethiopia government structure

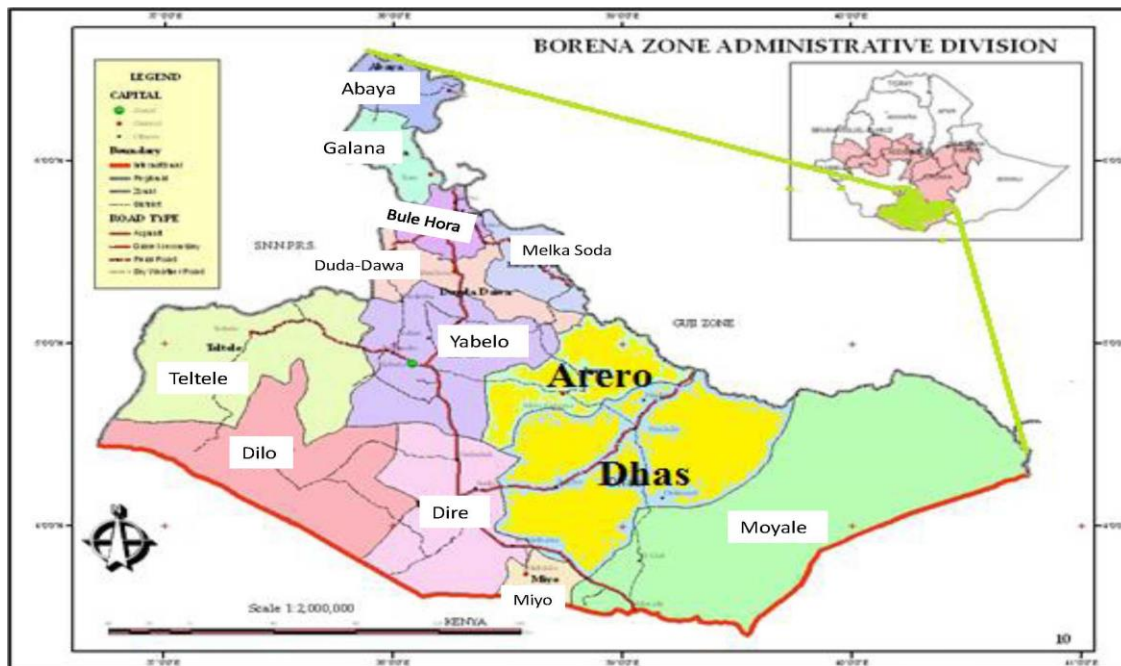
Tragically, successive years of drought have led to significant herd size reduction by more than 75 percent. (DAIE, 2014)

According to the districts pastoral development office, problems associated to pasture, water, access to veterinary services, diseases, access to market has significantly reduced the production and productivity of livestock. As a result significant proportion of the community has depended on selling firewood and charcoal making for livelihood. Rainfall pattern is said to have been normal three decades ago but has declined in both volume of precipitation and duration and became very erratic and unpredictable which has distorted the entire livelihood and ecological system. Rainfall condition has been inadequate during the past seven years with worsening conditions over the last two years. The issue has led the Government to initiate discussion on “Green Economy” with the community to which the response from the latter seems positive at this stage.

In a nutshell the community is highly vulnerable to different types of hazards, such as drought, resulting in food insecurity, aggravated environmental degradation, recurring ethnic conflicts, flooding during rainy season and migration in search of pasture and water for their livestock. Thus, the community had suffered from these hazards and their livelihood options are constrained by lots of interwoven and complex setbacks. (Dorcas, 2014)

As indicated above Dorcas has implemented a “Strategic Partnership Protracted Crisis Program” in Moyale district addressing 720 households (a total of 5062

people) to build their resilience capacity in seven selected drought vulnerable kebeles. Hence, this study was initiated to address these targeted households.



**Figure 2. Geographic location of Moyale district in Borena Zone.**

## **8. Sampling Frame**

As clearly stated above, CoBRA conceptual framework will be used for this study. For CoBRA framework, non-probability sampling is recommended, as it is more suited to the nature of the data collection (e.g. focus group discussion) and questioning (e.g. open ended questioning) and it is more likely to be within the scope of available resources (e.g. time, financial budget). The sample frame for CoBRA should be designed to ensure representation from all relevant groups, e.g. geographic area under question, livelihood zones, and the like. The study will cover one district, Moyale, where DAIE has been operational. The organization has been working covering seven kebeles of the district which can

be classified into two strata of pastoral and pastoral/peri-urban livelihood zones (three kebeles in pastoral/peri-urban and four purely pastoral). Two kebeles from each strata (totally four kebeles) will be randomly selected for data collection. In each of the four kebeles two FGDs will be conducted (the male and female group). In total eight FGDs will be carried out to gather the necessary information that will be used for analysis. As one FGD will comprise 10 to 15 people, the total number of participants in the group discussion will be 120 household heads. Individuals that benefited from DAIE program will be part of the FGD. Furthermore, 16 KII will be conducted with households considered as resilient after the identification of resilience characteristics during FGD. All the respondents (totally 136 households) will be purposefully selected so as to get the required data.

## **9. Data Collection Tool**

The CoBRA methodology intends to analyze community and household level characteristics of resilience, and identify the underlying factors or interventions that have the greatest impact on building resilience through participatory qualitative approaches, namely focus group discussions (FGDs) and key informant interviews (KIIs)

**FGDs** - Separate groups of between 10-15 men and women (in total 120) representing households from the target communities of DAIE. Number of FGDs per location/livelihood zone is presented above. Key questions for FGD are in appendix 1.

**Resilient Household KIIs** - Semi-structured interviews (see appendix 2) will be conducted with adult members of 16 household heads identified as resilient (approximately three or four informants per site).

**Document Analysis / Secondary data** will be gathered and reviewed from local government offices, DAIE Moyale project office, and other assessments/researches documents conducted in the locality. The information collected from the sources indicated above will be cross-checked and triangulated for its consistency and reliability. Community members benefiting from DAIE interventions, community and influential leaders, and non-beneficiary pastoralists will participate in the study as necessary.

**CoBRA Field Assessment Steps** (from CoBRA conceptual framework)

- ✓ FGD Step 1. Agree on the definition of resilience
- ✓ FGD Step 2. Identify resilience characteristics
- ✓ FGD Step 3. Prioritize resilience characteristics
- ✓ FGD Step 4. Rate the community's progress in attaining the priority resilience statements
- ✓ FGD Step 5. Identify the households in the community that have achieved (fully or partially) the resilience characteristics and list their common features and attributes
- ✓ FGD Step 6. Identify interventions that have contributed to household resilience
- ✓ KII with nominated resilient households

## **10. Data Analysis**

All data collected from all KIIs and FGDs will be entered into standard excel spreadsheet formats for compilation, aggregation and analysis. Key tasks in the analysis of field data include:

- Map communities' resilience statements against sustainable livelihoods framework (SLF) categories (DFID 1999).
- Sum and weigh/normalize bean scores for all statements to get rankings of priority resilience characteristics overall and disaggregated by different groupings.
- Score the achievement of priority characteristics in normal and crisis periods and plot on charts, according to the SLF categories.
- Disaggregate results as required between livelihood groups depending on sampling strategy.
- Compile and aggregate the features and attributes of resilient households.
- Compile list of ongoing and future priority resilience building interventions most frequently mentioned.

## **11. Definition of Terms**

### **a. Disaster**

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 (UNISDR 2009).

## **b. Resilience**

There are various definitions of resilience and they broadly reinforce each other. UNDP (2013) defines resilience as: “an inherent as well as acquired condition achieved by managing risks over time at individual, household, community and societal levels in ways that minimize costs, build capacity to manage and sustain development momentum, and maximize transformative potential.”

The ability of a system, community or society exposed to hazards to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions (UNISDR 2009).

The United Kingdom Department for International Development’s (DFID, 2011) definition also links resilience with long term development: “disaster Resilience is the ability of countries, communities and households to manage change, by maintaining or transforming living standards in the face of shocks or stresses - such as earthquakes, drought or violent conflict – without compromising their long-term prospects”

The IPCC (2012) defines resilience as the ability of a system and its component parts to anticipate absorb or recover from the effects of a hazardous event in a timely and efficient manner, including ensuring the preservation, restoration, or improvement of its essential basic structures and functions.



### **c. Drought**

A deficiency of precipitation over an extended period of time, usually a season or more, which results in a water shortage for some activity, group or environmental sectors (UNISDR 2009).

## **12. Chapter Plan / Organization of the Study**

Chapter one shall focus on introduction, background of the study, statement of the Problem, objective of the study, significance of the study, scope and limitation of the study

Chapter two shall deal with literature review, global and regional overview of disaster, disaster in the context of Ethiopia, disaster in pastoral areas of Ethiopia and Borena Zone, national policies and strategies in brief, concept of disaster resilience and theoretical framework.

Chapter Three shall explain the research design and methodology such as research design, description of the area, Universe of the study , sampling , data Source and data collection tools, data analysis and interpretation.

Chapter Four shall deal with the analysis; interpretation and discussion of the study.

Chapter five shall give the conclusions and recommendations based on the major findings of the study.

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