

An institutional model for collaborative disaster risk management in the Southern African Development Community

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DECLARATION

I, Mmaphaka Ephraim Tau, hereby declare that: ***“An institutional model for collaborative disaster risk management in the Southern Africa Development Community”*** is my own work, that all sources used or quoted have been indicated and acknowledged by means of complete references, and that this thesis was not previously submitted by me or any other person for degree purposes at this or any other university.

Signature

Date

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ABSTRACT

The view of the world constituting distinct countries with fixed political boundaries to safeguard their territorial integrity and to prevent encroachment is gradually diminishing. This is particularly the case regarding the development policy and trajectories of nations and communities. As a concern for sustainable development, the disaster risk management and reduction discipline is no exception to this reality.

Since the late 1980s, global collective measures were instituted to refocus and implement disaster risk management and reduction as a concern for sustainable development. The acknowledgement of disasters as the manifestation of unresolved developmental and service delivery problems specifically influenced this global drive. Concerted global efforts were put in place such as, but not limited to, the declaration of the decade 1990 to 1999 as the International Decade for Natural Disaster Reduction (IDNDR) and the adoption of its action plan, the 1994 mid-term review of the IDNDR which culminated in the adoption of the Yokohama Strategy: *Our Common Future*; the 2001 introduction of the United Nations International Strategy for Disaster Reduction (ISDR) and the subsequent adoption of the Hyogo Framework for Action 2005-2015: *Building the resilience of nations and communities to disasters* in 2005. These globally driven frameworks influenced regional and sub-regional measures for driving the disaster risk management and reduction agenda. Notably was the adoption of the Africa Regional Strategy for Disaster Reduction in 2004, the SADC multi-sectoral disaster risk management strategy in 2001 and associated national policies, legislation and implementation frameworks. All the frameworks, irrespective of their level of application, were founded on the need for a multi-disciplinary, multi-level, integrated and continuous measures aimed at reducing the risk of hazards and disasters.

Various reports generated through global, regional and national implementation systems point to the fact that collaboration on disaster risk management and reduction measures is critical for the success of any disaster risk reduction system. This is because collaboration enables the mobilisation of various capacities while also galvanising the rare and much needed technical capacities necessary to enhance the disaster risk management and reduction system. There is also a benefit in sharing resources that are ordinarily not available in any one of the countries or localities. Bilateral and multi-lateral collaboration has therefore proven to be a cornerstone for an effective disaster risk management and

development systems. It however needs to be planned judiciously and implemented carefully to avoid prejudices.

The SADC is an organisation of 15 member states established with the goal of driving regional integration and economic growth, peace and security in the southern African region and administered through a Treaty. Within this context, the thesis aimed to develop an institutional model that is tailored for the realisation of a collaborative disaster risk management system in the SADC. To achieve its objectives, the study employed theoretical as well as empirical dimensions. With regard to its theoretical dimension, the study conducted a literature review on international relations with a focus on neoliberal institutionalism as its theoretical frame of reference. It also reviewed documents on disaster risk management, development and climate change programmes. To complement the theoretical dimension, the study undertook the empirical research by means of qualitative methods. The empirical research involved the conducting of focus group sessions with participants in SADC member states, the SADC secretariat and relevant state and non-state actors. The sample for the study therefore involved officials of all disaster risk management units of every one of the 15 SADC member states, the SADC DRR unit as well as state and non-state agencies.

The findings of the study revealed that disaster risk management and reduction are functions which require the collaboration of states. Also, international organisations and non-state actors have a crucial role to play in facilitating and supporting collaboration between and among states. In the same vein, it was felt that international organisations should rather fulfil a facilitating role than a front-running role when supporting collaboration. This is because collaboration between states should be founded on the identified needs of member states. To this end, the intellectual hold of neoliberal institutionalism was confirmed with the exception of the relevance of the Iterated Prisoner's Dilemma (IPD) in the disaster risk management collaborative system.

Consequently, the thesis provides the reader with an outline of the institutional model for collaborative disaster risk management in the SADC. The model is founded on the balance between the political and technical ownership of disaster risk management and reduction in the SADC.

ACRONYMS

ARSDR	–	Africa Regional Strategy for Disaster Reduction
ASEAN	–	Association of the South-eastern Asian Nations
AU	–	African Union
DRM	–	Disaster Risk Management
DRM/R	–	Disaster Risk Management and Reduction
DRR	–	Disaster Risk Reduction
ACCAS	–	Economic Community of Central African States
ECOWAS	–	Economic Community of the West African States
GA	–	General Assembly
GPDRR	–	Global Facility for Disaster Reduction and Recovery
HFA	–	Hyogo Framework for Action
IDNDR	–	International Decade for Natural Disaster Reduction
IGAD	–	Intergovernmental Authority on Development
IOC	–	Indian Ocean Commission
IPD	–	Iterated Prisoner's Dilemma
ISDR	–	International Strategy for Disaster Reduction
MDG	–	Millennium Development Goals
NDMO	–	National Disaster Management Office
NLI	–	Neoliberal Institutionalism
NEPAD	–	New Partnership for Africa's Development

OAU	–	Organisation of African Unity
PAR	–	Pressure and Release Model
REC	–	Regional Economic Community
RISDP	–	Regional Indicative Strategic Development Plan
SACU	–	Southern African Customs Union
SADC	–	Southern African Development Community
SADCC	–	Southern African Development Coordinating Conference
SASDiR	–	Southern African Society for Disaster Reduction
SBS	–	Southern Business School
SIPO	–	Strategic Indicative Development Plan for the Organ
UN	–	United Nations
UNDRO	–	United Nations Disaster Relief Co-ordinator
UNHCR	–	United Nations High Commission on Refugees
WCDR	–	World Conference on Disaster Reduction
WWII	–	World War II

TABLE OF CONTENTS

DECLARATION	ii
ACKNOWLEDGEMENTS	iii
ABSTRACT	iv
ACRONYMS	vi
LIST OF TABLES AND FIGURES	xxiii
LIST OF TABLES AND FIGURES	xxiv
<u>CHAPTER 1:</u> OVERVIEW OF THE STUDY	1
1.1 INTRODUCTION	1
1.2 ORIENTATION AND PROBLEM STATEMENT	1
1.3 KEY RESEARCH QUESTIONS	8
1.4 RESEARCH AIM AND OBJECTIVES	9
1.5 CENTRAL THEORETICAL STATEMENTS.....	11
1.6 RESEARCH METHODOLOGY	13
1.6.1 Literature study	13
1.6.2 Empirical study.....	13
1.7 CONTRIBUTION OF THE STUDY	15
1.8 CHAPTERS OF THE THESIS.....	16
1.9 CONCLUSION	20
<u>CHAPTER 2:</u> DISASTER RISK MANAGEMENT IN INTERNATIONAL RELATIONS THEORY: AN ANALYSIS OF NEOLIBERAL INSTITUTIONALISM	21
2.1 INTRODUCTION	21
2.2 THE EMERGENCE OF NEOLIBERAL INSTITUTIONALISM IN THE CONTEXT OF THE INTERNATIONAL RELATIONS THEORY	24

2.2.1	The realism theory as the forerunner of neoliberal institutionalism	24
2.2.2	Distinction between the theoretical sub-groupings of realism.....	25
2.2.3	Propositions of realism theory.....	26
2.2.4	Realism and state politics: Implications for international relations.....	27
2.3	THE EMERGENCE OF A CHALLENGE TO THE THEORETICAL HOLD OF REALISM.....	28
2.4	NEOLIBERAL INSTITUTIONALISM THEORY OCCUPIES A CENTRE STAGE.....	30
2.4.1	Key propositions of neoliberal institutionalism theory	31
2.4.2	Neoliberal institutionalism: theory and state politics in international relations	32
2.4.3	Institutionalism in the neoliberal institutionalism theory	33
2.4.4	The Prisoner's Dilemma metaphor in the context of neoliberal institutionalism theory.....	38
2.4.4.1	Lessons from the Iterated Prisoner's Dilemma Metaphor.....	41
2.4.5	Applying the "Law of Treaties" to demonstrate iteration in the neoliberal institutionalism theory	42
2.5	A COMPARATIVE ANALYSIS OF REALISM AND NEOLIBERAL INSTITUTIONALISM THEORIES IN THE CONTEXT OF INTERNATIONAL RELATIONS.....	45
2.6	A CRITIQUE OF THE NEOLIBERAL INSTITUTIONALISM THEORY	47
2.6.1	Concerns about deception and the gains question.	48
2.6.2	Attention to the gains of partners	48
2.6.3	Risks and uncertainties to overcome	49
2.6.4	The development of collective identities	49
2.6.5	Latent benefits of institutional breakdown	49

2.7	LINKING NEOLIBERAL INSTITUTIONALISM TO REAL LIFE SCENARIOS: A CRITICAL REFLECTION	50
2.8	CONCLUSION	52
<u>CHAPTER 3</u>	A REFLECTION ON THE EVOLUTION OF DEVELOPMENT THEORY AND PRACTICES: SOME SIGNPOSTS	54
3.1	INTRODUCTION	54
3.2	SETTING THE SCENE: HUMAN-NATURE RELATIONSHIP AND ITS MANIFESTATIONS	54
3.3	THE CONCEPTION OF DEVELOPMENT: WWII AS THE TURNING POINT	56
3.4	DEFINING AND DESCRIBING DEVELOPMENT	57
3.5	THE EVOLUTIONARY STAGES OF DEVELOPMENT	60
3.5.1	Development as economic growth	61
3.5.2	Development as modernisation	63
3.5.3	The basic needs theory	66
3.5.4	Development as distributive justice	67
3.5.5	Development as socio-economic transformation	68
3.5.6	The sustainable development paradigm	71
3.6	THE EVOLVING ORIENTATION OF INTERNATIONAL INSTITUTIONS ALONGSIDE DEVELOPMENT PARADIGMS	75
3.7	CONCLUSION	76
<u>CHAPTER 4</u>	THE EVOLUTION OF THE THEORY AND PRACTICES OF THE DISASTER RISK MANAGEMENT AND REDUCTION DISCIPLINE ...	79
4.1	INTRODUCTION	79
4.2	GROUNDING THE CONCEPT: EXPLORING DISASTER RISK MANAGEMENT AND REDUCTION	80

4.3	EXPLORING THE DISASTER RISK REDUCTION AND MANAGEMENT PHILOSOPHY	81
4.4	THE DISASTER RISK MANAGEMENT AND REDUCTION CONTEXT	82
4.4.1	The pre-1950 era.....	83
4.4.2	The era 1950-1990	84
4.4.3	The International Decade for Natural Disaster Reduction: 1990–1999 and its 1994 mid-term review	85
4.4.3.1	IDNDR mid-term review: The Yokohama Strategy and Plan of Action for a Safer World.....	89
4.4.4	The era: 2000 onwards.....	92
4.4.4.1	The International Strategy for Disaster Reduction (ISDR)	93
4.4.4.2	The 2005 World Conference on Disaster Reduction	96
4.4.4.3	The Mid-Term Review of the Implementation of the Hyogo Framework of Action 2005-2015.....	100
4.5	THE POST-2015 ERA: TAKING CUE FROM THE HYOGO FRAMEWORK FOR ACTION 2005-2015	105
4.6	THE ROLE OF INTERNATIONAL ORGANISATIONS IN SHAPING THE DISASTER RISK MANAGEMENT AGENDA.....	107
4.7	CONCLUSION	114
CHAPTER 5	DISASTER RISK MANAGEMENT AND REDUCTION: AN IMPERATIVE FOR SUSTAINABLE DEVELOPMENT – FROM POLICY TO PRACTICE.....	115
5.1	INTRODUCTION.....	115
5.2	SETTING THE SCENE: HOW MUCH IS KNOWN ABOUT HAZARDS AND DISASTERS?.....	116
5.3	EXPLORING THE CONCEPTS OF DEVELOPMENT AND DISASTER RISK MANAGEMENT AND REDUCTION.....	117

5.3.1	Vulnerability as a national, regional and global development and disaster risk issue.....	118
5.3.2	Human efforts in countering vulnerability.....	120
5.3.3	Sustainability as the goal of development and disaster risk management and reduction within the national, regional and global perspectives	122
5.3.4	Goals for sustainability in development and disaster risk management and reduction within the international system	123
5.4	A COMPLEMENTARY CO-EXISTENCE: A COMPARATIVE ANALYSIS OF THE DEVELOPMENT AND DISASTER RISK MANAGEMENT AND REDUCTION FRAMEWORKS AS REFLECTED THROUGH REGIONAL AND GLOBAL SCALES	125
5.4.1	The Millennium Development Goals (MDGs) and Hyogo Framework of Action 2005 - 2015 (HFA)	127
5.4.1. 1	Linkage of the global development framework with Hyogo Framework for Action 2005-2015	130
5.4.2	The New Partnership for Africa's Development (NEPAD) 2001 and Africa Regional Strategy for Disaster Reduction (ARSDR).....	132
5.4.2.1	Linkage with the Africa Regional Strategy for Disaster Reduction 2004	134
5.4.3	SADC's Regional Indicative Strategic Development Plan (RISDP) and SADC Multi-sectoral Disaster Risk Management Strategy.....	136
5.4.3.1	Linkage with the SADC Multi-sectoral Disaster Risk Management Strategy 2001.....	138
5.5	THE PRESSURE AND RELEASE (PAR) MODEL AS A FOUNDATIONAL AND CONCEPTUAL FRAMEWORK TO ILLUSTRATE THE DISASTER AND DEVELOPMENT RELATIONSHIP.....	140

5.6	THE PLACE OF CLIMATE CHANGE ADAPTATION IN THE REALM OF DEVELOPMENT AND DISASTER RISK MANAGEMENT AND REDUCTION	143
5.7	CONCLUSION	147
<u>CHAPTER 6</u>	SADC MEMBER STATES' DISASTER RISK MANAGEMENT POLICIES, IMPLEMENTATION FRAMEWORKS AND PRACTICES: EXPLORING CONJUNCTURES AND DISJUNCTURES.....	148
6.1	INTRODUCTION	148
6.2	AFRICA ADOPTING AN AFROCENTRIC <i>ALBEIT</i> LIBERAL STAND	149
6.3	OVERVIEW OF SADC AND ITS INSTITUTIONAL ARRANGEMENTS	150
6.3.1	Background of the SADC.....	151
6.3.2	SADC Protocols.....	155
6.3.3	The SADC Protocol on Politics, Defence and Security Cooperation.....	157
6.3.4	General disaster risk dynamics of the SADC	159
6.3.5	SADC Member States' frameworks and policy direction	160
6.4	REVIEW OF DISASTER RISK MANAGEMENT AND REDUCTION PROFILES OF INDIVIDUAL SADC MEMBER STATES	164
6.4.1	Republic of Angola	165
6.4.1.1	An overview of disaster risk dynamics prevalent in Angola.....	165
6.4.1.2	Disaster risk reduction policy and institutional arrangements in Angola	166
6.4.1.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change.....	167
6.4.1.4	The involvement and role of international organisations	168
6.4.1.5	A policy pronouncement or practice around bilateral or regional collaboration on disaster risk reduction.....	169

6.4.2	The Republic of Botswana	169
6.4.2.1	An overview of disaster risk dynamics prevalent in Botswana	169
6.4.2.2	Disaster risk reduction policy and institutional arrangements in Botswana	169
6.4.2.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change	170
6.4.2.4	The involvement and role of international organisations	171
6.4.2.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction	171
6.4.3	Democratic Republic of Congo.....	172
6.4.3.1	An overview of disaster risk dynamics prevalent in the DRC	172
6.4.3.2	Disaster risk reduction policy and institutional arrangements	172
6.4.3.3	The policy and practice orientation towards disaster risk reduction and development and its reference to climate change.....	173
6.4.3.4	The involvement and role of international organisations	173
6.4.3.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction	174
6.4.4	Kingdom of Lesotho	174
6.4.4.1	An overview of disaster risk dynamics prevalent in Lesotho	174
6.4.4.2	Disaster risk reduction policy and institutional arrangements	175
6.4.4.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change	175
6.4.4.4	International organisations' involvement and role in Lesotho's disaster risk management	176
6.4.4.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction	177
6.4.5	Republic of Madagascar	177
6.4.5.1	An overview of disaster risk dynamics prevalent in Madagascar	177
6.4.5.2	Disaster risk reduction policy and institutional arrangements	177
6.4.5.3	Madagascar's policy and practice orientation towards disaster risk reduction and development and reference to climate change.....	178

6.4.5.4	The involvement and role of international organisations	179
6.4.5.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction.....	179
6.4.6	Republic of Malawi	180
6.4.6.1	An overview of disaster risk dynamics prevalent in Malawi	180
6.4.6.2	Disaster risk reduction policy and institutional arrangements.....	180
6.4.6.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change.....	181
6.4.6.4	The involvement and role of international organisations	182
6.4.6.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction.....	183
6.4.7	Republic of Mauritius	183
6.4.7.1	An overview of disaster risk dynamics prevalent in Mauritius.....	183
6.4.7.2	Disaster risk reduction policy and institutional arrangements.....	184
6.4.7.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change.....	184
6.4.7.4	The involvement and role of international organisations	185
6.4.7.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction.....	185
6.4.8	Republic of Mozambique	185
6.4.8.1	An overview of the disaster risk dynamics prevalent on Mozambique.....	186
6.4.8.2	Disaster risk reduction policy and institutional arrangements.....	186
6.4.8.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change.....	187
6.4.8.4	The involvement and role of international organisations	187
6.4.8.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction.....	188
6.4.9	Republic of Namibia	189
6.4.9.1	An overview of disaster risk dynamics prevalent in Namibia.....	189
6.4.9.2	Disaster risk reduction policy and institutional arrangements.....	189

6.4.9.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change	190
6.4.9.4	The involvement and role of international organisations	190
6.4.9.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction	191
6.4.10	Republic of Seychelles	192
6.4.10.1	An overview of disaster risk dynamics prevalent in Seychelles	192
6.4.10.2	Disaster risk reduction policy and institutional arrangements	193
6.4.10.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change	193
6.4.10.4	The involvement and role of international organisations	194
6.4.10.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction	194
6.4.11	Republic of South Africa	194
6.4.11.1	An overview of disaster risk dynamics prevalent in South Africa	195
6.4.11.2	Disaster risk reduction policy and institutional arrangements	195
6.4.11.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change	197
6.4.11.4	The involvement and role of international organisations	198
6.4.11.5	A policy pronouncement or practices around regional collaboration on disaster risk management and reduction	199
6.4.12	Kingdom of Swaziland	201
6.4.12.1	An overview of the disaster risk dynamics of Swaziland	201
6.4.12.2	Disaster risk reduction policy and institutional arrangements	202
6.4.12.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change	203
6.4.12.4	The involvement and role of international organisations	204
6.4.12.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction	204
6.4.13	United Republic of Tanzania	205
6.4.13.1	An overview of the disaster risk dynamics of Tanzania	205

6.4.13.2	Disaster risk reduction policy and institutional arrangements	205
6.4.13.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change.....	207
6.4.13.4	The involvement and role of international organisations	208
6.4.13.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction.....	208
6.4.14	Republic of Zambia.....	209
6.4.14.1	An overview of the disaster risk dynamics of Zambia.....	209
6.4.14.2	Disaster risk reduction policy and institutional arrangements	209
6.4.14.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change.....	210
6.4.14.4	The involvement and role of international organisations	210
6.4.14.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction.....	211
6.4.15	Republic of Zimbabwe	211
6.4.15.1	An overview of the disaster risk dynamics of Zimbabwe	212
6.4.15.2	Disaster risk reduction policy and institutional arrangements	212
6.4.15.3	The policy and practice orientation towards disaster risk reduction and development and reference to climate change.....	212
6.4.15.4	The involvement and role of international organisations	213
6.4.15.5	A policy pronouncement or practice around regional collaboration on disaster risk reduction.....	213
6.5	THE SUMMATIVE ANALYSIS OF THE DISASTER RISK MANAGEMENT SYSTEM FOR THE SOUTHERN AFRICAN DEVELOPMENT COMMUNITY (SADC)	214
6.5.1	Disaster risk reduction policy and institutional arrangements	214
6.5.2	The policy and practice orientation towards disaster risk reduction and development and reference to climate change	216
6.5.3	The involvement and role of international organisations	216

6.5.4	A policy pronouncement or practice around regional collaboration on disaster risk management and reduction	217
6.6	CONCLUSION	217
<u>CHAPTER 7</u>	AN INSTITUTIONAL MODEL FOR COLLABORATIVE DISASTER RISK MANAGEMENT IN THE SADC: EMPIRICAL FINDINGS.....	220
7.1	INTRODUCTION	220
7.2	THE EMPIRICAL RESEARCH OBJECTIVES	220
7.3	THE PROBLEM STATEMENT	221
7.4	THE SCOPE OF THE STUDY	222
7.5	THE RESEARCH ENVIRONMENT	223
7.5.1	The research sample and respondents	223
7.6	THE RESEARCH DATA GATHERING.....	226
7.6.1	Information collection: conducting the focus group sessions	226
7.7	DATA ANALYSIS	228
7.8	VALIDITY AND RELIABILITY OF THE RESEARCH METHODOLOGY AND MEASURING INSTRUMENT	228
7.9	CHALLENGES EXPERIENCED DURING THE RESEARCH PROJECT	229
7.10	DISCUSSION OF RESEARCH FINDINGS	230
7.10.1	Theme 1: A consideration of disaster risk management and reduction as a function requiring the collaboration of countries.	233
7.10.2	Theme 2: Reasons for collaboration to be perceived as a necessity supported by theoretical and practical reasons.....	234
7.10.3	Theme 3: Participants' knowledge of existing regional (SSA) and sub-regional (SADC) legal instruments governing	

	collaboration on disaster risk management and reduction issues	236
7.10.4	Theme 4: The existing policies, legislative provisions and institutional arrangements currently existing in respective SADC member states driving disaster risk management and reduction	237
7.10.5	Theme 5: Clarity on the need for bilateral or multi-lateral collaboration on disaster risk management & reduction issues. If the discussion proves affirmative, clarity on the institutional form which such a collaborative model should assume?.....	238
7.10.6	Theme 6: Whether respondents think international organisations (e.g. ISDR, UNHCR, UNOCHA, etc) can support states to realise their collaborative objectives	240
7.10.7	Theme 7: The role which international institutions can play in the disaster risk management collaborative system.....	241
7.10.8	Theme 8: Benefits of international institutions' involvement in supporting collaboration for disaster risk management according to respondents	242
7.10.9	Theme 9: Respondents' view on the current SADC collaborative arrangements as facilitated by the SADC DRR unit, the need and room for improvement and how to improve	243
7.10.10	Theme 10: The performance indicators respondents propose for the envisaged institutional collaborative model.....	245
7.10.11	Theme 11: The proposed legal frameworks and institutional arrangements respondents propose to ensure the effectiveness of the proposed collaborative model.....	246
7.10.12	Theme 12: The governmental and non-governmental role-players (including international organisations) which can be brought on board to give effect to the collaborative system	247
7.11	ADDITIONAL ANALYSIS.....	248

7.12	CONCLUSION	248
<u>CHAPTER 8</u>	CONCLUSIONS AND RECOMMENDATIONS: AN INSTITUTIONAL MODEL FOR COLLABORATIVE DISASTER RISK MANAGEMENT IN THE SADC	250
8.1	INTRODUCTION	250
8.2	THE ACHIEVEMENT OF THE OVERALL OBJECTIVES OF THE STUDY.....	250
8.3	REALISING INDIVIDUAL OBJECTIVES OF THE STUDY	251
8.3.1	Objective 1: To define, assess, examine and critically analyse the theory of Neoliberal Institutionalism and how it informs supra national collaboration amongst states.	251
8.3.2	Objective 2: To identify and examine global, regional (African Union), sub-regional (SADC) and national (SADC member states) development and disaster risk management and reduction instruments such as policy instruments, protocols and strategies governing international, regional and national collaboration on development and disaster risk management issues.....	252
8.3.3	Objective 3: To identify existing policies, legislative provisions and institutional arrangements currently in existence in all SADC member states governing disaster risk management and reduction.....	253
8.3.4	Objective 4: To trace the evolution of development theory and practices within a multinational relations and collaborative perspective.....	253
8.3.5	Objective 5: To trace the evolution of disaster risk management and reduction theory and practices within a multinational collaborative perspective and how climate change is integrated within the discipline vice versa.....	254
8.3.6	Objective 6: To identify areas of alignment or misalignment within the existing policies and legislative instruments in the SADC.....	254

8.3.7	Objective 7: To propose how existing SADC member states' frameworks can be aligned to achieve collaboration on disaster risk management in the SADC.	255
8.3.8	Objective 8: To propose the content of the institutional collaborative model for disaster risk management in the SADC.	256
8.3.9	Objective 9: To propose performance indicators that will underscore the institutional collaborative model for disaster risk management in the SADC to govern the implementation of the collaborative arrangements.....	256
8.3.10	Objective 10: To outline legal and institutional arrangements necessary to the successful implementation of the collaborative model.....	257
8.4	ACHIEVEMENT OF RESEARCH OBJECTIVES: THE INSTITUTIONAL MODEL FOR COLLABORATIVE DISASTER RISK MANAGEMENT IN THE SADC	257
8.5	The operationalisation of the SADC institutional model for collaborative disaster risk management.....	262
8.5.1	The need to align the frameworks of SADC member states to support the SADC institutional collaborative model for disaster risk management.....	262
8.5.2	The requisite legal and institutional arrangements to ensure the effective implementation of the SADC institutional collaborative model.....	263
8.5.3	Performance indicators underscoring the institutional collaborative model for disaster risk management in the SADC.	264
8.5.4	Contribution of the study to the body of knowledge on disaster risk reduction.....	269
8.5.5	Areas of further research	270
8.6	CONCLUSION	271

BIBLIOGRAPHY	273
ANNEXURE A Support on PHd Research information gathering:	
Mr Mmaphaka Tau.....	303
ANNEXURE B Research data collection directive	304

LIST OF TABLES AND FIGURES

Table 2.1:	The Iterated Prisoner’s Dilemma Scenario involving South Africa and India.....	40
Table 2.2	Comparison of realism and neoliberal institutionalism.....	47
Table 4.1:	Key elements of successful DRM as per GAR.....	103
Table 5.1:	Deprivation in many aspects of life in developing countries	119
Table 5.2:	Eight (8) Millennium Development Goals and Eighteen (18) Targets	127
Table 6.1:	Protocols of the SADC	156
Table 6.2:	HFA Priorities for Action and SADC DRR priority Areas	162
Table 6.3:	The profile for the placement of the disaster management units in SADC member states	215
Table 7.1:	SADC member states response level.....	224
Table 8.1:	Performance Indicators for the collaborative model for disaster risk management in the SADC.	265

LIST OF TABLES AND FIGURES

Figure 4.1:	A framework for disaster risk reduction.....	95
Figure 4.2:	Milestones in the history of disaster risk reduction within the UN system	108
Figure 5.1:	Development and disaster risk reduction success framework.....	131
Figure 5.2:	The progression of vulnerability.....	141
Figure 5.3:	Progression of safety	142
Figure 5.4:	Post 2015 development, disaster risk reduction and climate change framework.....	146
Figure 6.1:	Map of SADC	151
Figure 6.2:	SADC structure	153
Figure 6.3:	SADC Programmatic Structure	155
Figure 8.1:	An institutional model for collaborative disaster risk management in the SADC	259

CHAPTER 1:

OVERVIEW OF THE STUDY

1.1 INTRODUCTION

The chapter reinforces the study by introducing and analysing its foundational components. Thus, the research problem is being revealed and broken down through systematic theoretical and empirical investigative methods. The chapter explores the founding objectives of the Southern African Development Community (SADC) to set the scene for the study. In addition, literature on international relations that focuses on neoliberal institutionalism is introduced. To give empirical meaning to the research, the chapter presents the research methodology that was used to perform the study.

The chapter has also set the research aims and objectives which correlate with the purpose of the study. The content is being presented through logically sequenced chapters to further clarify the order of the research. The chapter therefore serves as a vehicle for the attainment of the research outcomes which are: the development of an institutional model for collaborative disaster risk management in the SADC; performance indicators associated with the model to improve bilateral and multi-lateral collaboration on disaster risk management programmes in the SADC and beyond. It also denotes the relevance and applicability of the collaborative model as validated through the detailed research methodology process adopted in the study.

Based on the significance of the chapter, the research findings contributed to the development of an institutional model for collaborative disaster risk management in the SADC to enhance collaboration on disaster risk management with the active participation of all role players and with active community ownership of programmes. Next follows an elaboration of the orientation and problem statement which emphasises the study.

1.2 ORIENTATION AND PROBLEM STATEMENT

The world is facing an increase in frequency and intensity of disasters. These have had devastating impacts on lives, property, infrastructure, livelihood services and the environment (Twigg, 2004:1; van Niekerk, 2005:1; Collins, 2009:2; Wisner, et al., 2012:1; Smith & Petley, 2009:12; Copolla, 2007:13). Within this context, various studies and

reports point to the fact that in today's fast changing global environment, the prevailing incidences of disasters and their wide-ranging detrimental effects on society, amongst others, require increased collaboration at local, national, regional and international levels (Sylves, 1996:344; World Bank, 2007:1; ISDR, 2008:v). Collaboration provides a platform for the collective management of the interplay between the increasing number of hazards and the prevailing vulnerable conditions (ISDR, 2007:45; International Council for Science, 2007:21; ISDR, 2008:26). This approach will achieve the reduction of the effects of hazards as well as the reduction of vulnerable conditions caused by a range of physical, social, economic, political and environmental factors and processes (SADC, 2003:12; ISDR, 2005b:57; ISDR, 2007:12; World Bank, 2007:11; ISDR, 2008:v; Wisner *et al.*, 2004:51) thereby enhancing sustainable development efforts (ISDR, 2005a:132; UNDP, 1992:25). The achievement of this objective will therefore be measured in terms of increased levels of resistance or resilience to the effects of the hazards prevalent in a particular area. In disaster risk management terms, the resultant coexistence of hazards and society, the environment and infrastructure will resemble, as referred to, effective disaster risk reduction/management. Wisner *et al.* (2004:88) illustrate this state of affairs in terms of the "Access Model" (AM) which focuses on the amount of access that people have to the capabilities, assets and livelihood opportunities that will enable them (or not) to reduce their vulnerability and avoid disaster.

Statistically, global disaster figures for the period 1991–2005 depict that the number of people killed by disasters totals 953 000 whereas the amount of reported economic damages from all natural disasters amounts to US\$1180,7 billion (CRED International Disaster Database, 2009). In this regards, Othman (2011) shows that disasters triggered by hydro-meteorological hazards amounted for 97 percent of the total people affected by disasters and 60 percent of the total economic losses. The tragedy is that many of the losses due to such disasters could have been reduced with proper risk management.

For the African continent, with a population estimated at 880 million in 2005 and growing at a rate of 2-04% per annum (ICSU, 2007:4), the reported economic damages resulting from disasters of hydro-meteorological, geological and biological origin for the period 1991– 2005 amounts to US\$10,08 billion (CRED International Disaster Database, 2009). According to ISDR (2007:1-3) the need for a global disaster reduction strategy has been underscored by a string of disasters, most notably the 2004 Indian Ocean tsunami which claimed over 250 000 lives. Other disasters with huge effects include the 2005 earthquake in Pakistan claimed 80 000 lives and persistent droughts in Indonesia and drought which plagued Western Africa in the late 20th century, heat waves and fires in Europe (2007),

hurricanes in Central America (1998) and the United States (1900 - 2004) as well as landslides triggered by typhoons in South East Asia (2004).

The fact that most of the African countries are poor and lack adequate resources, cause the continent to be least equipped and prepared to cope with the impacts of hazards and disasters (ICSU, 2007:4; ProVention Consortium, 2008:9). This lack of resources is a result of factors such as, but not limited to, unplanned and irregular land use, weak environmental controls, poor enforcement of building standards, urbanisation, and other development linked factors that increase the vulnerability of people, property and infrastructure (ISDR, 2008:v). Some other factors identified include globalisation, poverty trends (ISDR, 2007:1), civil strife, internally displaced persons and refugees as well as political instability (SADC, 2001a:6). Additionally, the World Bank (2007:2) and ISDR (2007:2) point out that evidence continues to mount that globally climate change is already modifying patterns of climatic hazards such as cyclone and drought disaster risk.

According to Holloway (1999:3), while southern Africa, when compared to Asia and Latin America, is seldom viewed as vulnerable to natural threats, the sub-continent shows rising patterns of social, economic and environmental vulnerability. Holloway further noted that during the decade ended in 2000, the region has experienced recurrent droughts and increasing incidences of flash flooding. Rapid urban and peri-urban growth, progressive land degradation, the impact of HIV/AIDS and rising patterns of socio-economic vulnerability have also brought about sweeping changes to the region's risk profile. According to ISDR (2008:v), in the region there are strong linkages between high urbanisation rates / high concentration of assets and increased vulnerability to hazards. Also since 1985, there is a significant rising trend in annual frequency of large scale disaster events reported in Africa with hydro-meteorological events causing the majority of losses of lives and economic services / assets in the sub-Saharan African region. These include floods, droughts, tropical cyclones and strong winds, storm surges, extreme temperatures, veld (bush) and forest fires, sand or dust storms and landslides (AU, 2004:2). Drought and floods in particular, account for higher percentages of loss of lives and economic loss linked to natural hazards in sub-Saharan Africa (AU, 2004:5; SADC, 2010b:12). For example, studies note that the 2000 flood in Mozambique lowered the country's Gross Domestic Product (GDP) by about 12 percent. In the same way, drought which affected Zimbabwe and Zambia in 1992, reduced their GDP by 9 percent (AU, 2004:5).

For the SADC region, disasters, particularly those related to meteorological and hydrological hazards and climate extremes are increasing. This is due to factors such as unplanned land use, weak environmental controls, poor enforcement of building standards, urbanisation and other development-linked factors that increase the vulnerability of people, property and infrastructure (ICSU, 2007:4; ISDR, 2008:v). Disasters that have affected the sub-region have been mostly of slow-onset in nature related to drought, epidemic and food insecurity (ISDR, 2002:10; ISDR, 2008:2). However, with growing populations, many of which are without acceptable minimum levels of social services or sufficient economic opportunities (SADC, 2003:1) as well as the increasingly concentrated urban areas, the countries of the region already know that they can expect to be exposed to more hazardous threats in the future (ISDR, 2002:119). These threats include, but are not limited to, floods, bush fires, and epidemics, as it has currently become a trend in the region (ICSU, 2007:5; ISDR, 2008:52-84).

One can therefore conclude that without effective collaborative disaster risk management frameworks and programmes for the SADC sub-region and elsewhere in the world, the global climate change and increasing levels of disaster risk will particularly lead to the escalation of current patterns of extensive risk and disasters. This will then threaten livelihoods and stretch the coping capacities to its limit. Associated with the advent of the liberation and democratisation of the African continent since the 1960s, African countries have collectively adopted key institutional arrangements and strategic frameworks to govern multi-national collaboration on issues relating to socio-economic and political development for the continent. Such institutional arrangements include the Union of African States established in 1960, the Organisation of Africa Unity established in 1960 (SADC, 2003:1; AU, 2004:1; SARNP, 2003), the African Economic Community established in 1981 (SADC, s. a; SADC, 2003:3) and the Africa Union established in 2002 (SADC, 2003:3). In the last two decades, the Southern Africa region has also witnessed a growing number of regional co-operation and regional integration initiatives (SADC, 2003:3) such as the Common Market for Eastern and Southern Africa (COMESA), the Southern African Development Community (SADC), Southern African Customs Union (SACU), Eastern Africa Co-operation (EAC), Indian Ocean Commission (IOC), Indian Ocean Rim (IOR) and Common Monetary Area (CMA) (SARNP, 2003; SADC, 2001b).

Some of the key, high level strategic collaborative arrangements which resulted from these institutional mechanisms include, but are not limited to, the Lagos Plan of Action for the Economic Development of Africa (1980 – 2000) (OAU, 1980; SADC, 2001b:1; SADC, s. a; SADC, 2003:3), the Final Act of Lagos of April 1980, the Treaty establishing the

Economic Community, the Constitutive Act of the African Union (SADC, 2001b), New Partnership for Africa's Development (AU, 2004:1; SADC, 2003:3) and the Africa Regional Strategy for Disaster Risk Reduction (AU, 2004). A central objective of these frameworks is the strategic desire for Africans to extricate themselves and the continent from the malaise of underdevelopment and exclusion in a globalising world (the OAU, 1980; AU, 2001; AU, 2004). The establishment of these institutions and the resultant operational frameworks are critical to fostering and supporting collaboration among states on development issues with direct relevance to disaster risk management and reduction. This is envisaged through pursuing policies aimed at economic liberation on the basis of a sustainable integrated development of the African economies (SADC, 2003:2; AU, 2001:11-12).

The UN, whose members consist of almost every country in the world, has made a sustained effort to lead its member nations in addressing their shortfalls. This was first accomplished by dedicating the 1990s to the International Decade for Natural Disaster Reduction (IDNDR) (through the Yokohama Strategy and the Plan of Action for a Safer World), and then by following up with the International Strategy for Disaster Reduction to ensure that forward momentum is maintained (ISDR, 1994 as cited in Copolla, 2007:9). Currently, the ISDR guides the efforts of the international community's overall disaster management mission. Specifically, the ISDR seeks to build "disaster resilient communities by promoting increased awareness of the importance of disaster reduction as an integral element of sustainable development, with the goal of reducing human, social, economic and environmental losses due to natural hazards and related technological and environmental disasters (ISDR, 2005a)". Copolla (2007:9) further points out that, with the adoption of the Hyogo Framework of Action (UN, 2005) which has coincided with some of the most devastating hazards and disasters in recent memory, international disaster management has come to the forefront of the international policy agenda. This is mainly due to the fact that world leaders have begun to fully grasp that many of the disaster consequences could have been reduced through better mitigation and preparedness efforts and more effective response capabilities. As a result, the field of international disaster management is now in a position to influence these leaders in a way previously not possible.

In the same attempt, a report by the ISDR (2008:vii) shows that the sub-Saharan region has also made significant progress in disaster risk reduction whereby a number of policies, institutions and organisations have been set up to maintain disaster risk reduction efforts. In particular, National Disaster Management Organisations (NDMOs) have been

established, legislation has been put in place in many countries, a number of policy statements have been issued in disaster and non-disaster periods and political commitment to disaster risk reduction has been gradually increased. For the SADC's perspective, communications across the region are problematic to the extent that when a disaster occurs, the breakdown of communications systems (or lack thereof) severely limits the possibility of providing effective disaster response support (SADC, 2001a:9). In view of this challenges, there is a growing recognition for the African region to improve and enhance the effectiveness and efficiency of its disaster management and risk reduction systems in line with the provisions of the applicable collaborative frameworks (AU, 2004:2; ISDR, 2007:43) with priority being given to the development of human capacity (SADC, 2001a:40).

Flowing from the above discourses, African ministers at the 10th meeting of the African Ministerial Conference on Environment (AMCEN) from 26-30 June 2004 adopted the African Regional Strategy for Disaster Risk Reduction to call for a programme of action for the implementation of disaster risk reduction within Africa. The strategy, read with the provisions of the SADC strategy, build on existing disaster risk reduction institutions and programmes available in African countries and in the Regional Economic Communities (RECs). It also aims to mainstream the countries into development so that they can better contribute to disaster risk reduction. Six key strategic measures are identified, namely increasing political commitment to disaster risk reduction, improving identification and assessment of disaster risk, enhancing knowledge management for disaster risk reduction, improving public awareness of disaster risk reduction, improving governance of disaster risk reduction institutions and integration of disaster risk reduction into emergency response management (SADC, 2001a:42; AU, 2004:5).

Key to strengthening collaboration within the SADC region was the adoption of the SADC Treaty in 1992 which entered into force in 1993. Of particular relevance to disaster risk reduction are the following key objectives underlying the SADC Treaty as contained in Article 5 thereof:

- Objective (d) – consolidate, defend and maintain democracy, peace, security and stability;
- Objective (e) – achieve complementarities between national and regional strategies and programmes;

- Objective (f) - promote and maximise productive employment and utilisation of resource of the region;
- Objective (g) – achieve sustainable utilisation of natural resources and effective protection of the environment;
- Objective (i) – combat HIV/AIDS and other deadly or communicable diseases;
- Objective (j) – ensure that poverty eradication is addressed in all SADC activities and programmes; and
- Objective (k) – mainstream gender in the process of community building (SADC, 2001c).

Studies point to the fact that although the region has made significant progress in disaster risk reduction, especially in terms of policies, institutions and organisations (ISDR, 2008:i) a comprehensive and systematic development and review of on-going regional collaborative initiatives is still lacking (ISDR, 2002:4; ISDR, 2008:43-44). Another need is the elaboration of a multi-national collaborative framework to guide and measure disaster risk reduction efforts over time, which could set the ground for developing disaster risk reduction targets for the SADC region and thereby contribute to enhancing capacities in SADC member States and non-governmental organisations (NGOs) (SADC, 2001a; AU, 2004:13; ISDR 2002:113; SADC 2003:87; South Africa, 2003; South Africa, 2005; ISDR, 2008:19; ICSU, 2007:1).

As a policy pronouncement in the South African context, the White Paper on Disaster Management (South Africa, 1999:19) points out that national boundaries do not constrain natural and other threats. By implication, measures taken in South Africa can increase or reduce risks in neighbouring countries, just as potential dangers across our borders can directly affect South Africa. A classical case in this regard is the management of the cholera outbreak affecting Zimbabwe and South Africa including some of the other SADC states during March 2009 (UNNC, 2009). Experience gained from the management of this outbreak indicates that a collaborative framework for the management of the outbreak between the affected countries could have lowered the rate at which infections spread in both South Africa and Zimbabwe. Also, it could have minimised the mortality rate significantly compared to the rate of deaths which, according to United Nations News Centre (2009), were reported over 4000 at 09 March 2009 in Zimbabwe since August 2008.

In the South African legislative context, the White Paper on Disaster Management read with the Disaster Management Act No. 57 of 2002 identifies the need to foster multi-national co-operation at regional level for disaster risk management planning and implementation. A framework for this cooperation is proposed in the National Disaster Management Framework, 2005 which states that:

“Regional co-operation for the purpose of disaster risk management is essential, and the appropriate mechanisms must be initiated to establish a forum in which such co-operation can be achieved. Accordingly, it is proposed that a consultative process be undertaken to establish a Southern Africa Development community (SADC) forum for the purpose of disaster risk management co-operation in the region. Similar arrangements for co-operation must also be made between the governments of the provinces bordering South Africa’s neighbouring countries and those neighbouring countries concerned such as Lesotho, Zimbabwe, Botswana, Mozambique and Namibia (South Africa, 2005)”.

With the above in mind, a need for a collaborative framework for disaster risk management for SADC became apparent and crucial. It is anticipated that such a framework will assist SADC political, policy and operational decision-makers to direct individual countries’ policies and strategic programmes to enhance disaster risk reduction in the sub-region within a collaborative framework. While the success of the development of the envisaged framework for the SADC will depend on multi-national, multi-sectoral buy-in on disaster risk reduction, it will also enhance the understanding of disaster risk in the SADC, the alignment of disaster risk reduction policies and practices and provide concrete indicators against which success in disaster risk reduction in the SADC sub-region and within all affected SADC member countries can be measured.

Against this backdrop, the problem that was researched is the development of an institutional model for collaborative disaster risk management in the SADC to enhance disaster risk management efforts under the provisions of the identified international, regional and sub-regional frameworks. The research problem was addressed through a number of pre-determined research questions as outlined in the ensuing section.

1.3 KEY RESEARCH QUESTIONS

The following key questions guided the research:

- How does the theory of Neoliberal institutionalism inform supra nation collaboration amongst states and the development of SADC institutional model for collaborative disaster risk management?
- Which are the existing regional (SSA) and sub-regional (SADC) legal instruments such as Conventions, Treaties, Protocols, Strategies, Memoranda of Understanding, governing international and regional collaboration on disaster risk reduction issues?
- What are the existing policies, legislative provisions and institutional arrangements currently in existence in SADC member states to govern disaster risk management and reduction efforts?
- Which form and content should the SADC institutional model for collaborative disaster risk management take?
- Which tenets of the international relations theory, with special reference to neoliberal institutionalism theory, are applicable to the institutional model for collaborative disaster risk management?
- Which performance indicators should underscore the institutional model for collaborative disaster risk management in the SADC?
- Which governmental and non-governmental institutions (including international agencies and mechanisms) are required to give effect to the envisaged collaborative model?

The research questions were addressed through the theoretical and empirical perspectives of the thesis. In line with the research questions, the aims and objectives that support the study are discussed in the following section.

1.4 RESEARCH AIM AND OBJECTIVES

The research aimed to develop an institutional model for collaborative disaster risk management in the SADC which is meant to support the implementation of collaborative disaster risk reduction in the SADC in line with the existing frameworks. The model, as outlined in Chapter 8 (see section 8.4) incorporates the political (leadership) and technical (management) roles, responsibilities and accountability mechanisms for implementing disaster risk management and reduction in the SADC. In line with Chapter 2 of the thesis,

the model depicts the roles and responsibilities of international organisations and other non-state entities in supporting collaboration.

In line with the above aim, the objectives of the research were to:

- Define, assess, examine and analyse the theory of neoliberal institutionalism and how it informs supra nation collaboration amongst states;
- Identify and examine global, regional (African Union), sub-regional (SADC) and national (RSA) development and disaster risk management and reduction instruments such as policy instruments, protocols and strategies governing international, regional and national collaboration on development and disaster risk management issues;
- Identify existing policies, legislative provisions and institutional arrangements currently in existence in all SADC member countries to govern disaster risk management and reduction;
- Trace the evolution of development theory and practices within a multinational collaborative perspective;
- Trace the evolution of disaster risk management and reduction theory and practices within a multinational collaborative perspective and how climate change is integrated within the discipline *vice versa*;
- Identify areas of alignment or misalignment within the existing policies and legislative instruments in the SADC;
- Propose how existing SADC countries' frameworks can be aligned to inform a collaborative model for disaster risk management in the SADC;
- Propose performance indicators that would be incorporated in a collaborative model for disaster risk management in the SADC;
- Propose the content of the envisaged institutional model for disaster risk management in the SADC; and
- Outline legal and institutional arrangements necessary to ensure effective implementation of the envisaged collaborative model.

The above aims and objectives have been addressed through structured and systematic theoretical and empirical methods of the research. The theoretical perspectives and methods of the research entail the analysis of literature on international relations theory (chapter 2), review of literature on development (chapter 3), disaster risk reduction and development (chapters 4 & 5) and a review of the SADC disaster risk reduction frameworks and institutional arrangements (chapter 6). This review was necessary to provide a theoretical basis for the integration of empirical findings to facilitate the development of the institutional model for collaborative disaster risk management in the SADC. The role of international institutions in supporting international collaboration as discussed in chapter 2 is introduced in the section below.

1.5 CENTRAL THEORETICAL STATEMENTS

As its theoretical frame of reference, the study was grounded on international relations theory, specifically the neoliberal institutionalism theory of Keohane (1988) (Goldstein, 2004:3; Thornhill, 2002:9). The choice of neoliberal institutionalism was motivated by the fact that, while disaster risk management and reduction is a developmental issue, its success depends on how countries collaborate in the development of legal and operational frameworks for the implementation of the function. Simply stated, it is a function whose success is also dependant on the nature of relations between the effected countries. In line with the focus of the study, key principles underlying international relations theory have been investigated (see chapter 2). This enabled the application of those principles to inform the SADC institutional collaborative model for disaster risk management as presented in chapter 8 (see section 8.4) and taking into account the aims and objectives of the study.

The international relations theory refers to theories concerned with the relationships among the world's governments (Goldstein, 2004:3). This theory has relevance to the study due to its focus on *inter alia*, diplomatic strategic relations of states, conflict management, general governance, high level administrative cooperation (Brown & Ainley, 2009:1) as well as cross-border transactions of all kinds, namely political, economic and social (Brown & Ainley, 2009:2; Goldstein, 2004:4; Thornhill, 2002:9). Collaboration on disaster risk management in the SADC is therefore no exception to the focus of international relations theory as demonstrated in chapters 2, 6, 7 and 8.

Within this context, cooperation between the SADC countries as outlined in the study was, in part, premised on the key tenets of international relations theory's neoliberal

institutionalism theory, namely fostering of friendly relations, assisting and supporting one another, informing and consulting each other on matters of common interest, coordinating (and harmonising) legislation with one another, adhering to agreed procedures and avoiding legal proceedings against each other (South Africa, 1996; OAU, 1980:72; AU, 2001:10; SADC, 2001a:40; SADC, 2001b:2; SADC, 2003:8; AU, 2004:12; Jackson & Sørensen, 2003:139; ISDR, 2002:113).

From the above-mentioned exposition, these theories resonated well with the focus of the study as it provided a conceptual framework within which to conceptualise an institutional collaborative model for disaster risk management in the SADC within the confines of international relations frameworks without undermining individual states' sovereignty.

The following preliminary statement accentuated the study:

- The fact that states are independent of each other legally, individual sovereignty does not mean an isolated or insulated state from one another. The fact that states adjoin and affect one another expose them to similar disaster risks. This necessitates that they find ways to coexist and to deal with everyone (Robertson & Sørensen, 2003:2). The SADC member states are no exception to this reality. Consequently, it became essential that an institutional model for collaborative disaster risk management be developed through which bilateral and multi-lateral collaboration can be achieved in the SADC (South Africa, 1999; South Africa 2003; South Africa, 2005).
- The SADC institutional model for collaborative disaster risk management will therefore contribute to enhance cooperation in order to reduce risk generally. It will also contribute to a more focused attention, specifically on strengthening the bilateral and multi-lateral collaborative efforts on disaster risk management and reduction within the sub-region. These efforts include, but are not restricted to anticipating, mitigating and responding to sudden and slow-onset natural hazards like (but not narrowed down to) cyclone-triggered trans-boundary floods, drought, epidemics and wild-land fires. These contributions will then enhance SADC's ability to reduce disaster risk (ISDR, 2002:120; SADC, 2001a; SADC, 2003; South Africa, 2003; South Africa, 2005).

To achieve the objectives of the study within the context of the theoretical statement outlined above, the study applied a structured methodology. In the next section the methodology of the study is introduced but will be discussed in full detail in Chapter 7.

1.6 RESEARCH METHODOLOGY

The study applied a qualitative research design. Qualitative methods in the form of *literature study, documents* (Maree, 2008:82) and *focus group interviews* were utilised (De Vos *et al.*, 1998:313; 2002:305; 2005:299 & 2011:360; Henning, Van Rensburg & Smit; 2004; Creswell, 2003; Maree, 2012; Terre Blanche *et al.*, 2006:304). A discussion on the elements of the research methodology follows in the next section.

1.6.1 Literature study

Available literature on national, regional and international governing issues was investigated to form the foundation for the study's theoretical frame of reference. Books, government's, NGOs and international mechanisms reports, conference proceedings and research reports/documents were all consulted in order to ascertain the disaster risks and risk management and reduction patterns and trends globally. Also, the listed documents were explored to determine how disaster risk reduction is carried out within a multi-national collaborative context. Existing data, empirical findings and national and international policy and legislative frameworks within the field of disaster risk reduction were also consulted.

1.6.2 Empirical study

The research assumed an exploratory format employing qualitative methods with a view to clarify and demonstrate important issues, processes and relationships (De Vos *et al.*, 1998:116; Henning, *et al.*, 2008:3; Creswell, 2003:181) in developing

the institutional model for collaborative disaster risk management in the SADC as presented in chapter 8 of the study.

The empirical study was conducted as outlined below.

Firstly, all 15 SADC member states were invited to participate in the study. An invitation was sent requesting focus group sessions with each of the 15 SADC member states. The states included Zimbabwe, Lesotho, Swaziland, Mozambique, Madagascar, Seychelles, Democratic Republic of Congo, Zambia, Namibia, Angola, South Africa, Mauritius, Malawi, Botswana and Tanzania. A total number of 15 focus group sessions were planned. However not all 15 focus group sessions were carried out and only seven (7) states participated. The reasons for the lack of participation are fully discussed in chapter 7.

While strategically designed to ensure individual countries' buy-in towards and support for the outcomes of the study, this method of data collection proved to be useful to afford the researcher an opportunity to purposefully define the setting, actors, the events and processes for data collection (Creswell, 2003:185). It also enabled the researcher to follow-up on issues requiring clarification or to collect proposals from participants. Thus, the opportunity to take certain issues up again enhanced the quality of data for the research (Mouton, 2006:107; De Vos *et al.*, 2005:328).

Secondly, a total of three non-state entities participated in the study. Their participation added value to the research process as it integrated a non-state perspective to the study. In this manner, it afforded the non-state actors an opportunity to contribute to the development of and buy-in into the SADC institutional collaborative model. It also has the effect that both the state and non-state actors show support of the model. Those participants and their contributions are discussed in chapter 7.

Thirdly, a focus group session was conducted with the SADC Disaster Risk Reduction Unit (DRRU) as the responsible section within the SADC secretariat dealing with disaster risk reduction based in Gaborone, Botswana. This involved a session with senior staff members responsible for coordinating disaster risk management issues for the SADC secretariat. As noted in De Vos *et al.* (2005: 299), this data gathering method enabled the researcher to better understand people's feeling or thought on the issue at hand. In so doing, it contributed to enhancing the quality of the findings and to improving the reliability of the findings as well as to improve the SADC buy-in towards the institutional model (see chapter 7 for detailed discussions).

Policy and operational knowledge of the subject matter and the informants' interest in bilateral and multi-national collaborative arrangements for disaster risk reduction determined the choice of the informant categories. This sample combination also enhanced the quality and reliability of the findings and the associated recommendations due to the diverse nature of experiences of the sampled groups. As discussed in chapter 7 later, the sample size proved to be representative when considering the total population of the anticipated respondents. Whereas a questionnaire was used to collect primary data, the data emanating from the discussions with the sampled groups was captured separately and incorporated in the findings under a section referred to as: additional analysis (see chapter 7 section 7.12).

Therefore, the following procedure was followed to execute the study:

- A literature study was undertaken to clarify development and disaster risk reduction policies and practices as well as the role of international institutions in supporting these disciplines (chapters 3, 4 & 5). The international relations theory was scrutinised to clarify the role of international organisations in supporting development and disaster risk reduction discourses (chapter 2). The study also carried out a review of disaster risk reduction policies and practices of SADC member states (chapter 6).
- In line with the research objectives, all relevant information was analysed and evaluated (see chapter 7) to manifest the institutional collaborative model for disaster risk management in the SADC (see chapter 8).
- All information and data was presented qualitatively (see chapter 7).

The development of an institutional model for collaborative disaster risk management has led to a renewed paradigm for collaboration in the SADC and elsewhere globally. This is an indication of the contribution of the study to the body of knowledge in the disaster risk management and reduction discipline to be further discussed in the next section.

1.7 CONTRIBUTION OF THE STUDY

The orientation and problem statement above alluded to the non-existence, and the widely recognised importance of a collaborative model for disaster risk management in the SADC. This study has therefore contributed to the disaster risk management and reduction discipline. In particular, it contributed to the body of knowledge and expertise in

the SADC and internationally on the way to improve existing disaster risk reduction efforts by employing a supra-national institutional collaborative model. From the available records, a study to outline a collaborative model for disaster risk reduction that takes into account individual countries' unique political, socio-economic, institutional and legislative dynamics, is the first of its kind in Africa. As outlined in chapter 8, the study has added value to the body of knowledge within the disaster risk management fraternity in the SADC. It also serves to inform other international best practices in so far as supra-national disaster risk reduction measures are concerned.

Considering the above factors, the study provided impetus towards further research, investigation and thought around collaborative disaster risk reduction in the region and elsewhere in the world. The undertaking of the research called for the formulation of logically aligned and contextually synchronised chapters. To this end, the chapters of the research are outlined in the section below.

1.8 CHAPTERS OF THE THESIS

The study was carried out through eight logically linked chapters founded on the problem statement read with the objectives underscoring the study. These chapters are summarised beneath.

Chapter 1: Overview of the study

The chapter orientates the reader into the study by introducing the problem statement and research questions that emphasise the study, by presenting the aims and objectives, the theoretical grounding, the methodology and the significance of the study. The chapter serves as the nerve centre for the study to inform the subsequent chapters as outlined herein. This chapter has been useful to shape the execution of the study in pursuit of developing the institutional model for collaborative disaster risk management as presented in chapter 8. Thus, chapter 1 provides a gateway for the exploration of international relations.

Chapter 2: Disaster risk management in international relations theory: an analysis of neoliberal institutionalism

Chapter 2 discusses the theoretical grounding of the study. It introduces international relations theory with a focus on neoliberal institutionalism. In line with the focus of the study, the discussion of neoliberal institutionalism reveals how international institutions

facilitate collaboration between states by minimising the possibility of conflict between states due to power dynamics. The chapter proves to be useful in the formulation of the institutional model for collaborative disaster risk management in the SADC as it provides clarity on the role which international institutions and other non-state actors can play in the collaborative system. Due to the international context of development, the chapter provides a platform for the discussion of the evolution of the development policy and practices as introduced in the section below and discussed in detail in chapter 3.

Chapter 3: The evolution of the theory and practices of development: some signposts

The chapter discusses the evolution of development through the chronicling of various development paradigms in existence since the Second World War (WWII). The chapter also previews the development discourses with regard to the role of international organisations in influencing the shaping of the development agenda. It (chapter 3) reveals that development discourses did not evolve linearly but were shaped by various multi-disciplinary interests and priorities. The chapter also demonstrates the influence and role of international organisations. Considering the inherent relationship between disaster risk reduction and development, the chapter sets the scene for the discussion of the evolution of theory and practices for disaster risk management and reduction as introduced below and discussed later in chapter 4.

Chapter 4: The evolution of the theory and practices of disaster risk management and reduction discipline

A review of the evolution of the theory and practices of disaster risk management became necessary in order to provide clarity on the influence of the development discipline on disaster risk management and reduction. Furthermore, the need to demonstrate the influence and role of international institutions in shaping the disaster risk reduction agenda necessitated this review. Thus, chapter 4 reveals that the disaster risk reduction discipline evolved from ancient thinking about hazards and disasters as uncontrollable phenomena where human beings were only to respond and recover. The influence of other disciplines such as development and information explosion contributed to new thinking on this discipline. This resulted in various turning points on the disaster risk reduction agenda. The chapter therefore demonstrates the role of international organisations as of WWII hitherto. Given the general consensus on the relation between development and disaster risk reduction, chapter 4 necessitated a review of the co-evolution of the concepts and

practices of development and disaster risk reduction as introduced in the following section and discussed in chapter 5.

Chapter 5: Disaster risk management and reduction: an imperative for sustainable development – from policy to practice

A review of the co-evolution of the concepts and practices of development and disaster risk management and reduction became essential in order to demonstrate the direct influence disciplines have on each other. Chapter 5 reveals that development and disaster risk management influences each other and that international institutions play a key role in influencing their evolution and interconnection. The review of existing development and disaster risk reduction frameworks globally, regionally and in South Africa demonstrates the mutual relationship between the two disciplines. The effect of climate change on the disaster and development agenda was also reflected. To narrow the discussion down to the research objectives, a review of the disaster risk management and reduction policies of the SADC member states was undertaken as introduced in the next section and discussed in detail in chapter 6.

Chapter 6: SADC member states' disaster risk management policies, frameworks and implementation practices: exploring conjunctures and dis-junctures

Chapter 6 reviews disaster risk management policies, policies and implementation practices of SADC member states in order to clarify the status of the development and implementation of disaster risk reduction policies and operational frameworks. This is necessary to ensure that the development and structure of the model, in part, consider the prevailing dynamics in the SADC. The review includes all the 15 SADC member states and reveals that the majority of SADC member states do have policies and legislation on disaster risk management and reduction. There is however variations in the level of policies, legislation and implementation arrangements (see chapter 6). It is on this basis that the findings of the study reveals that the success of the collaborative institutional model hinges on the effective ownership of disaster risk reduction programmes by the individual SADC member states (see sections 7.10.6, 8.5.1 & 8.6). The chapter also confirms that SADC member states are factoring the interface of disaster risk management, climate change and sustainable development in their policies and practices. To manifest the institutional model for collaborative disaster risk management, the study undertook an empirical study involving relevant stakeholders and role players on disaster

risk reduction. The section below introduces the focus of the empirical study as discussed further in chapter 7.

Chapter 7: An institutional model for collaborative disaster risk management in the SADC: empirical findings

The development of the institutional model for collaborative disaster risk management in the SADC involved the theoretical and empirical perspectives. Chapter 7 addresses the empirical perspective of the study. The chapter explains the focus group sessions that were conducted with the sampled participants of the 15 SADC member states. A research data gathering directive (see Annexure B) was utilised to facilitate this process. Except where participants opted to complete the data gathering directive themselves, the researcher conducted interactive sessions with the participants. The sessions, even when self-conducted, provided deep insights and recommendations on the possible structure and the success factors for the model (see chapter 7). Taking the theoretical chapter into account, the empirical chapter provides a fruitful platform to conceptualise the institutional model for collaborative disaster risk management as outlined in chapter 8 (see section 8.4). The empirical chapter necessitated the formulation of a chapter which outlines the conclusions and recommendations for the SADC institutional collaborative model for disaster risk management and its operationalisation. The section below summarises the focus of the conclusions and recommendations as further discussed in chapter 8.

Chapter 8: Conclusions and recommendations: An institutional model for collaborative disaster risk management in the SADC

The conclusion and recommendations chapter contains a synthetic analysis of the theoretical and empirical perspectives of the thesis to derive the institutional collaborative model for disaster risk management in the SADC. The chapter moves beyond discussing the findings and outlines the performance indicators necessary for the successful implementation of the SADC institutional model for collaborative disaster risk management. The chapter also clarifies the contribution of the research to the body of knowledge on disaster risk reduction and research areas uncovered through the research. Therefore, the chapter is a culmination of the theoretical and empirical perspectives of the research into an institutional model for collaborative disaster risk management in the SADC.

1.9 CONCLUSION

The discussion in chapter 1 outlines the problem statement, aim and objectives of the research, the theoretical grounding of the study, its methodology and the thesis. It also demonstrates the importance of the research for the enhancement of disaster risk management and reduction in the SADC and beyond. The methodology employed for executing the study is also clarified and correlated the findings is contained in Chapter 7. The combination of the theoretical and empirical research as the chapter introduces, contributes to the development of the institutional model for collaborative disaster risk management as outlined later in chapter 8.

The thematic coherence of the chapters as outlined above demonstrates the strategic alignment of the chapters to derive the institutional collaborative model in the SADC. Therefore chapter 1 successfully orientated the reader through the research, its findings and recommendations. It successfully justified the need for the study and the resultant institutional collaborative model for disaster risk management in the SADC – which can be applied elsewhere on disaster risk reduction or any other discipline. To give detail to the summary of the thesis as provided in chapter 1, chapter 2 hereunder discusses the international relations theory through the lenses of neoliberal institutionalism.

CHAPTER 2:

DISASTER RISK MANAGEMENT IN INTERNATIONAL RELATIONS THEORY: AN ANALYSIS OF NEOLIBERAL INSTITUTIONALISM

“Increasingly the problems facing the international system transcend or cut through national boundaries leaving political units whose sole concern is sovereign autonomy unable to deal with the most pressing problems. Accordingly, one particularly prominent theme in both the empirical analysis of globalisation and the philosophical and theoretical treatment of international relations theory is *interconnectedness*” (Sutch, 2001:10).

2.1 INTRODUCTION

The objective of this chapter is to contribute to the development of an institutional model for collaborative disaster risk management (DRM) in the Southern African Development Community (SADC) as outlined in chapter 8. To achieve this objective, a literature review discussed the international relations theory in general as a host theory of neoliberal institutionalism. Following the broad perspective of the international relations theory, the focus shifted to assessing, examining and critically analysing the theory of neoliberal institutionalism as well as the way in which it informs international (or supra-national) collaboration among states. The literature review further clarifies the contribution of neoliberal institutionalism in developing the institutional collaborative model for DRM in the SADC. The further analysis of neoliberal institutionalism's basic viewpoints and philosophical basis explains the theory's origin and intellectual foundation. The chapter also scrutinised neoliberal institutionalism's relevance to collaboration among states with practical examples drawn from within and beyond the SADC. This approach was chosen to enhance the foundation of the study by ensuring that, in addition to its empirical findings, the presented institutional collaborative model for the SADC is based on an established and academically sound theoretical frame of reference. The further detail of neoliberal institutionalism's contribution to the collaborative model is outlined in chapter 8.

In order to understand neoliberal institutionalism, the broader frame of reference, the international relations theory, needs to be taken into account. By definition, the international relations theory concerns itself with the examining of the possibility and/or existence of cooperation within multi-lateral and bilateral levels of states on a defined area

of interest. This theory's subject matter mainly focuses on the relationships between the members of a society, or quasi society, conventionally known as the family of nations (Manning cited by Long, 2005:80). Manning (cited by Long, 2005:80) further uses the international society to highlight the collective nature of international relations. He presents the idea that there is one system that portrays the world's view of itself and this system can be analysed as a whole, rather than a disconnected set of relations without corporate structure. In this instance society is a collective noun for a group of states (e. g. SADC) and is utilised for highlighting the rule-based character of international relations. This society is then distinguished from the domestic society due to its special membership of sovereign states. Kennedy-Pipe (2000:751) adds that the theory and practice of international relations depend (if not fully then in part) on the regime type and ideological justification for state behaviour which shapes the international system. From this line of reasoning, the assumption is made that international relations discourses rely on an understanding of the unique character, interests and capabilities of members of an international system. It can be argued that the founding principles of the SADC as discussed in chapter 1 above and further elaborated upon in chapter 8 through the institutional collaborative model in the SADC conforms to this principle.

To address the problem statement of the study and the objective of the chapter, collaboration amongst states is examined through the lens of neoliberal institutionalism which is a subset of the international relations theory. Neoliberal institutionalism contends that, within an international system, the states cooperate to achieve absolute gains for their systems (Grieco, 1993:494; Keohane & Nye, 1977:5; Kranser, 1983). This cooperation evolves through iterated processes of engagements, known as the Iterated Prisoner's Dilemma (Setear, 1997; Grieco, 1993). This is achieved with the active involvement of international "institutions" or "regimes" as the loci of cooperation in solving the dilemma of collective action (Keohane & Nye, 1977:5; Grieco, 1993:486; Setear, 1997; Dunne *et al.*, 2007:110; Reus-Smit & Snidal, 2008:208).

According to Keohane (1988:32); Setear (1997); Dunne *et al.*, (2007:110) and Sterling-Folker (2000:109), neoliberal institutionalism encompasses theories which argue that international institutions play an important role in coordinating international cooperation. Neoliberal institutionalism further holds the view that multilateralism is more efficient in obtaining collective interests than unilateralism. This is based on the fact that multilateralism derives from the consensus on issues of collective interest while unilateralism is established on the interests of only one or two parties. In line with this

view, Powell (1991:1) notes that in their pursuit of absolute gains, states holding to neoliberal institutionalism, emphasise the prospects for cooperation within the multilateral international system. It is on this basis that neoliberal institutionalism theory has been examined to demonstrate its application to the presented institutional collaborative model for DRM in the SADC.

Comparable to the influence of neoliberal institutionalism, the Southern African Development Coordination Conference (SADCC, the formal forerunner of SADC) adopted a treaty in 1992 which was implemented in 1993 for strengthening the collaboration within its member countries (SADC, 1992; 2004; 2010b). The adoption of this treaty has led to the establishment of the SADC institution. The forming of the SADC played a key role in allowing cooperation in a multilateral international system (SADC, 1992; 2004; 2010b). The SADC Treaty steered the member countries into an important era of collaboration due to its unitary orientation and legal standing. Legally a treaty is defined as a formal instrument of agreement by which two or more states establish, or seek to establish, a relationship between them under international law (McNair 1961:1; Reuter, 1989; Setear, 1997) and intend to have legal effects under the rules of international law (Reuter, 1989:30). According to Lauterpacht (quoted in McNair, 1961:1), the term can also refer to agreements between states, including organisations of states intended to create legal rights and obligations of the parties concerned. Setear (1997) points out that the body of legal rules generally governing the treaty process is known as “The Law of Treaties”.

Considering the above arguments, it can be argued that the treaty that established the SADC caused it to be a collective institution that promotes shared governance and collective socio-economic development for member states within the Regional Economic Community (REC) (SADC, 1992; 2001c). Therefore, it can be argued that the SADC Treaty forms SADC as an institution that falls within the definition and scope of promoting collaboration within and beyond its sub-region. Thus it was necessary to analyse the SADC countries’ disaster risk management policies, implementation frameworks and their DRM collaborative mechanisms (see chapter 6) in order to contribute to the development of a credible institutional model.

The next section focuses on the emergence of neoliberal institutionalism to demonstrate its relation to the international relations theory.

2.2 THE EMERGENCE OF NEOLIBERAL INSTITUTIONALISM IN THE CONTEXT OF THE INTERNATIONAL RELATIONS THEORY

Literature points to the fact that a number of scholars have developed various sets of conceptual tools to make sense of the international political system (Setear, 1997; Keohane, 1984; Reus-Smith & Snidal, 2008; Krasner, 1983; Mansbach & Vasquez, 1981). Those conceptual tools are referred to as conceptual frameworks while some are referred to as theoretical frameworks. Neoliberal institutionalism is one such theoretical framework (Keohane & Nye, 1977; Setear, 1997). The discussion of neoliberal institutionalism points out its emergence from the critique of its predecessor, namely the realism theory (Krasner, 1983; Martin, 1992). Realism is a subset of the international relations theory which regards states as the only major unitary actors in world politics (Waltz, 2000:5; Grieco, 1993:493; Keohane & Nye, 1977:5; Setear, 1997; Pashakhanlou, 2009:1; Hobson, 2000:17; Schweller, 1996:155; Keohane, 1984:8; Mansbach & Vasquez, 1981:7; Powell, 1991:1; Nicholson, 1998:91 and Mearsheimer in Brecher & Harvey, 2002:58). These authors also believed that states enter into cooperative arrangements to achieve relative gains while emphasising the prospect of conflict in the international system. Furthermore it is important to understand that the realism theory constitutes two groupings, namely classical realism and neo-realism. These sub-groupings of the realism theory are defined and further discussed in the following sections.

According to Brooks (1997:446); Waltz (2000:5) and Brown (2009:262), the term classical realism emphasises the self-interested and unchanging human nature. When this is applied to countries, it refers to states being self-interested and power seeking units. Neo-realism on the other hand, argues that the state of anarchy can explain conflict in international relations. The state of anarchy refers to the lack of overarching authority in international relations, which pushes individual states to seek power. The next section highlights neoliberal institutionalism as it originated from the realism theory.

2.2.1 The realism theory as the forerunner of neoliberal institutionalism

According to Pashakhanlou (2009:1), the emergence of realism literary work can be traced to the work of the founding father of neo-realism, Kenneth Waltz, in his 1979 book entitled *Theory of International Politics*. In this work he divided the realism school of

thought into two sub-groupings, classical realism and neo-realism as defined in the section above.

Realism formed the main stream of the international relations theory since WWII (Setear, 1997). Grieco (1993:1) points out that three immature paradigms related to the rivalling side of realism surfaced before the emergence of neoliberal institutionalism in the 1980s. These three paradigms were the functionalist integration theory (1940s to early 1950s), neo-functionalist regional integration theory (1950s-1960s) and the interdependence theory (1970s). Realism therefore served as a theory for explaining the international political system until the 1980s (Keohane, 1984:8; Mansbach & Vasquez, 1981:7; Nicholson, 1998:91 and Mearsheimer cited in Brecher & Harvey 2002:58). As the three paradigms of realism are outside the scope of this study, further discussion or explanation of the detail on the paradigms will not be included in this review. The differences as well as areas of convergence between classical realism and neo-realism will follow to set the context for clarifying the realist school of thought.

2.2.2 Distinction between the theoretical sub-groupings of realism

The first distinction between the classical and neo-realists is the root of international conflict and war. The classical realist locates the root of international conflict and war in an imperfect human nature. On the other hand, the neo-realist maintains that conflict and war's deep causes are found in an anarchic international system (Pashakhanlou, 2009:1). Brown (2009:260) notes that human nature plays less a role for Waltz's neo-realism than it does for the classics.

Secondly, for classical realism the state is ontologically superior to the system. In contrast, neo-realism allows more space for agency in the former approach (Hobson, 2000:17). In support of this view, Galbreath (s. a) adds that neo-realists still consider states as the principal actors in international politics. They reason that globalisation challenges some areas of state authority and control, but hold to the belief that politics remains international.

The third distinction resides in the views regarding the power of states. The classical realists differentiate between status quo and revisionist powers while neo-realism regards states as unitary actors (Schweller, 1996:155).

Fourthly, neo-realists attempt to construct a more rigorous and scientific approach to the study of international politics, heavily influenced by the behaviourist revolution of the

1960s while classical realism confine its analyses to subjective valuations of international relations (Jackson & Sorensen, 2007:75).

Apart from the outlined areas of difference, Brooks (1997:446) points out that classical and neo-realism, as the two sub-groupings of realism, also shows important similarities. He particularly notes that their similarities revolve around their systematic focus, their state-centric stance, their view that international politics is inherently competitive and their emphasis on material factors rather than philosophical issues (such as ideas and institutions). Also, both assume that states are egoistic actors that pursue self-help. In addition, Brown (2009:266) notes that Waltz's neo-realist argument shares the classical realism view point that the interests of states, which are ultimately generated by human nature, are relatively constant. His perspective only differs in that these interests are seen as exogenous to a theory of the international system.

In line with this view, Brown (2009:264) concludes that a key feature of Waltz's thought about neo-realism, and the one that primarily distinguishes it from classical realism, is the fact that Waltz's theory of international politics is not derived from a theory of human nature, or explicitly in reaction to a theory of human nature. Therefore, for purposes of this study the two sub-groupings of realism are treated collectively in tracing the theoretical and philosophical foundations of international cooperation. The latent disputes within the theory regarding a series of assumptions about state behaviour will therefore require a separate study as it falls outside the scope of this research.

2.2.3 Propositions of realism theory

Keohane (1984:8), Mansbach and Vasquez (1981:7), Nicholson (1998:91), Hobson (2000:17), Waltz (2000:5), Mearsheimer (quoted in Brecher & Harvey, 2001:58) and Pashakhanlou (2009:1) point out that realists argue that states are the most important actors in the international system, to the virtual exclusion of other actors. They contend that the security of the state and its citizens is the primary motivation of the state (or to express it more rigorously, the government of the state). According to realists, states also have fanatical aims namely, if a state is unguarded in such a way that the neighbouring state(s) can take advantage of it by military or other means then the unguarded state will be under attack. In this context there is, at least latently, a war of all against all with human conditions being one of the potential insecurity areas where destroyers take advantage of the weak. In line with this view, Dias (quoted in Biersteker *et al.*, 2007:279)

notes that the influential realists' school of thought has consistently maintained that international relations theory is about states, their interests and their power.

Realists' international relations theory is therefore state-centred, embraces state sovereignty as a central concept and under-appreciates the power of non-state actors (Dias quoted in Biersteker *et al.*, 2007:279); Scweller, (1996:155); Hobson (2000:17); Jackson & Sørensen (2007:75) and Pashakhanlou (2009:1). According to Nicholson (1998:91), sometimes this view is known by the German word: *real politik* or by the English phrase *power politics*. Realists therefore see cooperation as essential in a world of economic interdependence. It is therefore on this basis that they argue that shared economic interest creates a demand for international institutions and rules (Mitrany, 1975).

Nicholson (1998:95), Waltz (2000:5), Dunne (1995), Schmidt (1998) and Pashakhanlou (2009:1) summarise the key propositions of realism as follows:

- States are dominant actors in the international system;
- States pursue power to acquire more authoritative positions at the expense of rivals and to defend themselves against intrusion and trespass of rivals; and
- As the relationships of states are entirely dependent on their existing power relations in dealing with one another, they have no influence in the internal structure of the state or the type of regime. Therefore internal and external politics are totally separated. Nicholson (1998:95) notes that this has led to realism being known as the 'billiard-ball model' of international relations. This is because the movement of states, like the movement of billiard-balls, can be explained in terms of the movements of other states.

2.2.4 Realism and state politics: Implications for international relations

As discussed above, realists view international relations as the analysis of states that pursue power. Furthermore, the realising of relative peace is the result of manipulating existing power relations. Other issues that are identified in conflict situations are viewed as subordinate to the power position (Nicholson, 1998:95; Dunne, Kurki & Smith, 2007:72). Keohane (1984:8) illustrates the above with the realists' point of view that a relatively stable international economic order is only anticipated as a result of the United

States (US) dominance in the world order. In other words, for the realists, the early post WWII regimes were founded on the political hegemony of the United States.

This is because realists believe that international relations is a ceaseless competition for relative gains, especially regarding fundamental issues of national security among essentially autonomous nations only constrained by domestic politics or international law. Walt (1998:30) applies the North Atlantic Treaty Organisation's (NATO) activities to illustrate the realist point of view. In this regard he contends that NATO's expansion is an effort to extend Western influence beyond the traditional sphere of the United States. However, realism had been opposed at various points in time. The opposition was mainly from idealism, liberalism and neoliberal institutionalism (Keohane, 1984:15; Grieco, 1993:1) as will be discussed in the next sections.

2.3 THE EMERGENCE OF A CHALLENGE TO THE THEORETICAL HOLD OF REALISM

A divergence of the theoretical perspective of realism is evident since the mid-1960s. This followed after the United States' challenge to dominate the world's political economy due to the economic recovery and rising unity of Europe and the rapid economic growth of Japan (Mansbach & Vasquez, 1981:6; Setear, 1997). Strict institutionalism holds the view that the increasing need for coordination and policy, as a result of interdependence, was supposed to have led to more cooperation. However, from a realist perspective, the diffusion of power should have undermined the ability of anyone to create order (Keohane, 1984:12; Grieco, 1993:2). The preceding background portrays an argument that realism and institutionalism both influenced early post WWII developments.

It is on the basis of the above scenarios that Reus-Smit and Snidal (2008:203) observed that more than 50 years after WWII, the field of international relations has gone through significant changes. According to Plano and Olton (1979) as cited in Reus-Smit and Snidal (2008:203), the change manifested itself with the emergence of formal international institutions transcending national boundaries that provides for the establishment of an institutional method to facilitate cooperation among members in the security, economic, social and related fields. This rather narrow conceptualisations broadened with a focus on regimes defined as "principles, norms, rules and decision-making procedures around which actor expectations converge in a given issue area" (Krasner, 1983:185). This theoretical orientation supports neoliberal institutionalism to be discussed in detail below.

The intellectual grip of realism weakened from 1970 throughout to the 1980s. This period saw an increasing number of scholars applying various perspectives to challenge the dominant paradigm and all of its assumptions (Mansbach & Vasquez, 1981:6). As a result, scepticism increased towards the three fundamental assumptions that underscore realism. The assumption that states are the most important actors in governing or ruling a nation was first criticized (Mansbach & Vasquez, 1981:6; Baylis & Smith, 2001:4). In 1971, Robert Keohane and Joseph Nye Jr., explicitly called for the rejection of the state-centric paradigm. They highlighted that it failed to recognise the importance of what they referred to as “transnational behaviour” which indicates those activities that go through national frontiers but have not been mediated by governmental agents and/or directed by non-state actors (Keohane & Nye, 1977:5).

They revealed that varied actors such as multinational corporations, churches, foundations, terrorists and labour unions expose that the state is not necessarily the gatekeeper between intra-societal and extra-societal flow of action. Mearsheimer (quoted in Brecher and Harvey, 2002:57) concludes that the best that might be said for realism is that it was helpful for understanding how states interacted with each other before 1990, but it has become ineffective after the end of the Cold War. The need emerged for theories to make sense of international politics in the 21st century. He argues that former American president, Bill Clinton, was a strong proponent of this view as he declared in 1992 that: “In a world where freedom, not tyranny, is one march the cynical calculus of pure power politics simply does not compute. It is ill suited to a new era”.

Five years later in 1997, he expressed the same theme in defence of the NATO expansion where he asserted that: “Enlightened self-interest, as well as shared values, will compel countries to define their greatness in more constructive ways and will compel us to cooperate in more constructive ways”.

The other latent weakness of the realists’ perspective of international relations is the total disregard of the existing social interactions (e.g. cultural associations or similarities) that shape cooperative preferences between and among states. This criticism is mainly from the constructivism theorists who argue that the environment within which states operate is not only social but also material which can provide states with insight into their interests and welfare (Checkel, 1998:325). In Africa, in particular, political boundaries have separated nations and communities that were once a uniform entity sharing cultural and customary practices. However those artificial boundaries have not severed the cultural bond between the affected communities. Such examples include, but are not limited to,

Batswana and Swazi communities in Botswana and Swaziland respectively. The example is in no way considered a microcosm of the situation within the African context and therefore is not sufficient to make conclusive generalisations on the matter.

To date, various forms of societal cooperation, including inter-marriages between the communities of the exemplified ethnic groupings, are still evident. Most importantly, cooperation between countries involved in culture-based relationships is likely to spill over to economic, political and other forms of supra-national cooperation. Based on this point, it can therefore be argued that realists' assertion that the relationship between states are state-centric and based on power relationships amongst states does not hold for practical scenarios in Africa and possibly elsewhere in the world. This is due to a disregard of the role in international relations referred to as "trans-boundary or trans-national culture". To consolidate this argument, the next section deals with the emergence of neoliberal institutionalism.

2.4 NEOLIBERAL INSTITUTIONALISM THEORY OCCUPIES A CENTRE STAGE

Expressing her views about the foundation for the future, Wales (1999:11) notes that: "Tomorrow's governance will have to be flexible, allowing the mantle of leadership to shift within partnerships among countries, non-governmental organisations, corporations and multi-lateral institutions as new challenges emerge. This approach should also provide for the building of a lasting consensus among partners as to whether their guiding principles and priorities will be essential to building enduring regimes".

Placed in context, Wales' contention befits the basic tenets of international relations theory in as far as neoliberal institutionalism theory is concerned. This is a result of its application of retaliatory linkage or iterative processes to explain international cooperation. This is an important debate, one made even more relevant by the end of the Cold War and a subsequent concern with the ability of institutions to mitigate anarchy (Booth & Smith, 1996:23).

Following a critique of realism, neoliberal institutionalism theory was conceptualised in the early 1980s (Martin, 1992:729). The emergence of this theory can be traced from the publication of an edited volume called *International Regimes* (Krasner, 1983) and of Robert Keohane's book *After Hegemony* (1984). These books cast a new light on international institutions and suggested a general framework of novel explanation for

studying these institutions and patterns of international behaviour. According to Young (1980:337), students of institutions and rules hold a more general view regarding institutions to be described as “recognised patterns of practice around which expectations converge” and do not merely view institutions as headquarters comprising of buildings and specialised staff. They regard these patterns of practice as significant because they affect state behaviour as opposed to realists’ perceived state-centric role in international relations. Setear (1997) concludes that neoliberal institutionalists are characterised by the belief that international institutions play an important role in coordinating international cooperation. Keohane (1998:32); Setear (1997) and Dunne *et al.*, (2007:110), note that the institutionalist narrative of international relations begins with the same assumptions as those of the realists, but ends with a different twist. As opposed to realists, neoliberal institutionalists treat international cooperation as a problem of collective action which can be described through the concept of the game theory which holds that international institutions have a facilitating role in international relations. Thus, at this end, the propositions of neoliberal institutionalism need to be explored and follows in the section below.

2.4.1 Key propositions of neoliberal institutionalism theory

Questioning realism has led to the wake of the neoliberal institutionalism theory in the 1980s (Booth & Smith, 1996:21; Honghua, s. a). As a subset of the international relations theory, neoliberal institutionalism focused attention to the regimes and institutional settings of actors, rather than just dealing with the question of whether or not these were states (Booth & Smith, 1996:21; Keohane, 1984). According to Goldstein (1996:98) and Bearce (2002:472), neoliberal institutionalism stresses the importance of international institutions in reducing the inherent conflict that realists assume exists in an international system. Their reasoning is based on the core liberal idea that to search for long-term mutual gains is often more rational than maximising individual short-term gains. This theory is rooted in the functional integration of theoretical work in the 1950s and 1960s and the complex interdependence and transnational studies found in literature of the 1970s and 1980s. These theoretical integrations view institutions as the mediator and the means to achieve cooperation in the international system. Furthermore, Galbreath (s. a), Keohane (1988:32), Dunne *et al.*, (2007:110) and Honghua, (s. a), point out that critique of realism stems from the theory's focus on power relationships whereas neoliberals base their analyses on a pool of interests. In support of this assertion, Goldstein (1996:98) and Bearce (2002:472) argue that states can learn to draw on institutions to facilitate the

pursuit of mutual gains and to reduce the possibilities for deception or harm of another state. The central feature of this theory is the identification of ways in which states will cooperate in the absence of a ruling power. It further sets out that in order to impose its will on others, states need to focus on two critical issues, namely the nature of cooperation which develops from the need to manage conflicting or discordant interests and secondly the role of international regimes in conditioning cooperation (Keohane, 1984:243). This viewpoint identifies with the disaster risk reduction profile of SADC member states as outlined in chapter 6 and in the findings of the study in chapter 7. In this regard the role of international organisations in supporting disaster risk management and reduction discourses is of special significance.

Grieco (1983:494) and Galbreath (s. a:17) summarise the key propositions of neoliberal institutionalism as follows:

- States are the only actors in world politics but international institutions play a major role in facilitating cooperation among states i. e. states live with institutionalised cooperation;
- States are complex and unitary-rational actors;
- Anarchy is a major shaping force for state preferences and actions (apparently);
- International institutions are an independent force facilitating cooperation; and
- Neoliberal institutionalists are optimistic about prospects of international cooperation.

In line with the propositions presented above, the ensuing section discusses neoliberal institutionalism in state politics within the international system.

2.4.2 Neoliberal institutionalism: theory and state politics in international relations

As introduced above, Keohane (1988) and Setear (1997) observe that unlike realism, neo-liberal institutionalists assume that states focus on absolute gains and the prospects of cooperation. They believe that realists overstate the potential for conflict and suggest that there are countervailing forces, such as repeated interactions, that propel states towards cooperation. Keohane in Setear (1997) perceives iteration as the most crucial concept in

the analysis of international politics on the basis of the game theory. The game theory analysis underlies institutionalists' statements on international cooperation and international institutions. Keohane (1984:13) also points out that the international institutions (regimes) do not contribute to cooperation by implementing rules for states to follow, but through changing the context for states in order to make decisions based on self-interest. He further argues that international institutions' value to governments is based on them enabling governments to enter into mutually beneficial agreements with one another instead of enforcing binding rules. Thus, international institutions empower governments rather than restricting them. Setear (1997) adds that institutions can break down non-cooperative tendencies in the international system through establishing an environment for the resolution of various disputes. This view holds true for the SADC disaster risk management programmes considering the overtly active participation of United Nation Agencies and other Cooperating Partners in supporting the SADC disaster risk reduction programmes. This contribution of international institutions has proven to be beneficial to enhancing collaboration within the SADC and for shaping a collective disaster risk reduction agenda. Against this background, international law and, most particularly, the treaty process are used to accentuate the unfolding of neoliberal institutionalism.

2.4.3 Institutionalism in the neoliberal institutionalism theory

Stein (2008) as cited in Reus-Smit and Snidal (2008:208) points out that at the heart of neoliberal institutionalism is the view of international institutions or regimes as self-interested creations of states. Institutions, or regimes, are defined as specific human constructed arrangements that involve persistent and connected sets of rules (formal or informal) that prescribe behavioural roles, constrain activity and shape expectations (Keohane, 1989:162; 1990:175). In a group context, Wright (1954:3) states that an institution implies uniformity in certain practices, commitment to certain values, the understanding of certain ideals and obedience to certain leaders. According to Keohane (quoted in Derian, 1995:280-287), international cooperation only takes place in specific conditions. These conditions need to be understood before one can fully comprehend how international institutions take form and operate. Coicaud and Heiskanen (2001:519) note that international institutions were created to enhance and regulate the public dimensions of the international realm.

Within this context, Keohane's "After Hegemony" (1984) and Krasner's edited volume on international regimes propagated neoliberal institutionalism. These publications were grounded on a fundamentally informed insight which purports that individually rational

action from states could enhance mutually beneficial cooperation. Thus, these researchers view that institutions would only be effective to the degree that they allowed the state to avoid short-term enticement to renege and thereby realising available mutual benefits. In particular, institutions could assist to focus expectations on a cooperative solution, reduce transactional costs and provide a greater degree of transparency. As a result, the researchers expected that these factors would cause reputational concerns to come into play and render effective cooperative rules.

Noteworthy though is the fact that according to Keohane and Nye (1993:7-8) this does not mean that international institutions are more important than internal politics or the distribution of international capabilities. However, they have a vital role to play in understanding the degree of institutionalism in a problematic area before insight could be gained into the strategy of a particular state. Keohane's (1984:9) argument draws on the institutionalism tradition which argues that under some conditions cooperation can develop from complementary interests and that institutions, broadly defined, affect the patterns of emerging cooperation. In support to this, Josselin and Wallace (2001:19) argue that while the centrality of the state cannot be overlooked, there has been an increase in the role of non-state actors in emerging patterns of global governance and in norm definitions. This increase continues within the framework of the post-Cold War international system. Therefore, Josselin and Wallace (2001:19) believe that students of international relations, whatever their theoretical root, must accommodate the fast evolving nature of state-society relations in a globalising world.

Thus, institutions could be a solution to the problem of international collective action and be the response to realism's focus on state centrality (Carlsnaes, Risse & Simmons, 2008:195-196; Galbreath, s. a; Booth & Smith, 1996:21). Steans & Pettiford (2001:61) add that international institutions were considered a necessity to balance states as states' individual capabilities to deal with problems that emerged from new technologies have weakened. It is their view that states find that autonomous self-interest behaviour can be problematic hence they prefer to construct international institutions to deal with a host of concerns. He lists three key arguments for establishing institutions which are discussed below.

In the first instance, he identified the role of institutions as being to deal with coordination problems which apply for situations where the interests of states generate multiple equilibria and calls for a mechanism for equilibrium selection. In some cases, there is little conflict of interest and international institutions are easily constructed. In other instances,

there are conflicts of interest between equilibria, yet institutional solutions may be preferred above the risk of coordination failure (Stein, 1982; 1990; Snidal, 1985; Martin, 1992; Sterling-Folker: 2000:111).

The second argument is the facilitation of collaboration by international institutions. This stems from the fact that states also experience collaboration problems with the effect that their autonomous self-interested behaviour results in deficient outcomes. In this scenario, the "Prisoner's Dilemma" game is the quintessential example of a situation in which autonomy results in poorer outcomes. In such cases, institutions can resolve the collective action problems and allow states to reach mutually preferred outcomes (Stein, 1982; 1990; Snidal, 1985; Martin, 1992).

The third argument relates to the reduction of governance costs associated with autonomous decision making. The costs of organising coalitions for those in accord in all problematic areas and circumstances are quite high. Zartman and Touval (2010:229) argue that the prospect of sustained gains based on expected reciprocity is the core notion underlying cooperation, whether long- or short-term based. Bearce (2002:472) adds that international institutions promote bargaining cooperation by escalating the opportunity costs of bargaining failure.

In conclusion, Setear (1997) notes that despite terminology or definition details, the core idea of the rules and expectations that institutions promote, should ease the difficulties of coordination. The assumption can therefore be made that international cooperation will ensue under such conditions.

Flowing from the above argument, it is evident that cooperation can only be achieved through international institutions that have three institutional mandates, namely they were to:

- Be the forum for negotiations among countries on short, medium and long-term problems;
- Establish norms in the various areas of multilateralism and international law within their respective bailiwicks; and
- Extend assistance whenever possible and necessary in security, development and other domains Stein (cited in Reus-Smit & Snidal, 2008:208), Snidal (1985), and Martin (1992).

To this end, Keohane in *Der Derian* (1995:280-287), points out that these international institutions can be defined in terms of their rules, enforcement characteristics of rules and norms of behaviour that structure repeated human interactions. He further points out that institutions can be seen as 'frozen decisions' or history encoded into rules. According to John Tasioulas (cited by Barry & Pogge, 2005:4) and Goldstein (1996:99) institutions are meant to formulate, apply and enforce norms of distributive justice. These rules may be informal or implicit rather than codified like the British constitution which, in principle, mainly relies on unwritten rules. For these unwritten rules to be institutionalised in the sense that they are used, the rules must, besides being an activity to constrain and to shape expectations, also be durable and prescribe behavioural roles for actors. Coicaud and Heiskanen (2001:519) point out that legitimacy is sought on the basis of externalised values, the goals and mandates these values justified and the ability of the organisations to achieve them. As major powers envisioned, through this process, legitimacy of the international organisations as well as of the overall legitimacy of the international system was founded.

Notwithstanding the above assertion, Reus-Smit and Snidal (2008:213) point out that international institution vary according to dimensions such as membership and size. They observe that some are universal and encompass almost all states in the international system. Others are purely regional in character and include only a small set of countries. Some focus on very narrow issues, whereas others are broader and multi-purpose in character. Some are embodied in formal organisations whereas others have no building, address or secretariat.

From this description, it is clear that international institutions vary in size, the degree of their interest in issues (their scope), their monitoring and enforcement of issues, their mechanisms for dispute resolution and their way of dealing with states that show possible noncompliance. There is also a variation in their rules of procedure which refers to the collective selecting of decisions.

According to Rochester and Pearson (1984:319), despite their uniqueness in some respects, a common thread running between all types of international institutions is the presence of a set of concerns that transcend national frontiers. This is due to creating transparency and order information asymmetrical among states (a common policy prescription of neoliberals). This results in creating new information asymmetrically between international institutions and states (Bernett & Finnemore, 1999 in Little & Smith, 2006:164).

Stein (2008) as quoted in Reus-Smit and Snidal (2008:201) indicate that modern reality consists of a wide range of institutions including the United Nations (UN), World Trade Organisation (WTO), International Monetary Fund (IMF), Nuclear Non-proliferation Treaty (NPT), International Atomic Energy Agency (IAEA), Trade-Related Aspects of Intellectual Property Rights (TRIPS), Missile Technology Control Regime (MTCR), European Union (EU), Organisation of the Petroleum Exporting Countries (OPEC), North Atlantic Treaty Organisation (NATO), Association of Southeast Asian Nations (ASEAN), North American Free Trade Agreement (NAFTA). In the African region, Okokpari, Ndinga-Muvumba and Murithi (2009) identify institutions such as the African Union (AU) and its six Regional Economic Communities (REC) and associated institutions such as the Southern African Development Community (SADC), Economic Community of West African States (ECOWAS), Inter-governmental Authority on Development (IGAD), Common Market for Eastern and Southern Africa (COMESA), African Development Bank (ADB), Economic Community of Central African States (ECCAS), Pan African Parliament (PAP).

While the grounds for the formation of the institutions can be hailed as a positive step to strengthen multilateralism, in practice, the legitimacy of some institutions have become dubious. Junne (cited by Coicaud & Heiskanen, 2001:189), notes that a few years after the military intervention under the UN flag in the Gulf War in 1992, a new era seemed to have emerged suggesting that international organisations would play a prominent role in international affairs as discussed above. However, few years later, this has become dubious with the UN being bypassed by NATO, which intervened in Kosovo without the initial approval of the United Nations.

The financial crisis in Asia has also given rise to fundamental questions with regard to the future functions of the International Monetary Fund (IMF) (Stein cited by Reus-Smit & Snidal, 2008:201). The same scenario holds for the African region where the authority of SADC is continually brought to question by the alleged non-democratic rule in the Government of the Republics such as, but not limited to, Zimbabwe and Madagascar. In line with this argument, Akokpari (cited by Okokpari, Ndinga-Muvumba & Murithi 2009:85) notes further issues hampering the effectiveness of institutions namely the prevalence of nascent and weak regional institutions coupled with the absence of basic infrastructure as well as the attempts to provide regional responses to conflicts that undermine unity among countries. Another issue is the effect of conflict and demands of domestic politics that diminishes the political will of leaders in implementing regional programmes. Furthermore, overlapping membership and loyalties of existing regional groupings with other states that

have overlapping membership in these groupings presents problems and conflict of interests. Examples of such overlappings include Tanzania's membership in SADC, COMESA and the EAC. Also, Botswana, Lesotho and Swaziland with membership in both the Southern African Customs Union (SACU) and SADC.

In his critical reflection on institutional breakdown and international cooperation, Bearce (2002:472) identifies institutional breakdown as one of the threats to international cooperation. He defines a breakdown when states completely abandon an institution (such as the Council of Mutual Economic Assistance and Warsaw Pact after the Cold War) or when an institution becomes effectively moribund (such as many commercial institutions in the Americas and Africa). Breakdown also occurs when a planned institutional innovation fails to be realised. He identifies the European Defence Community as one such example. These factors compromise the ability of institutions to drive the collective agenda within the international relations context.

2.4.4 The Prisoner's Dilemma metaphor in the context of neoliberal institutionalism theory

The Prisoner's Dilemma can be described as a standard model for the evolution of cooperation within the international system. According to Setear (1997) neoliberal institutionalism focuses especially upon the "Iterated Prisoner's Dilemma" (IPD), an important concept of the game theory and is the key to understanding the evolution of international cooperation. Keohane in Setear (1997) concludes that neoliberal institutionalists treat international cooperation as a problem of collective action within the anarchic international system.

Within this context, Pahre (1994:327), Goldstein (1996:99), Setear (1997) and Keohane (1998) emphasise that neoliberal institutionalists believe that cooperation can evolve from a situation in which parties will repeatedly play a Prisoner's Dilemma (PD) (hereafter referred to as the Iterated Prisoner's Dilemma or IPD) which is the defining feature of the rank ordering among the pay-offs to be awarded to a player for a given outcome of the game. Three key features of the IPD are identified namely the set of states, games played and the probabilities for transition.

Within this context, Setear (1997) notes that if parties can recognise one another at each encounter and remember their previous interactions, both of which seem reasonable

assumptions in the context of international relations, cooperation may evolve over time despite the short run incentives to defect from the cooperative endeavour.

Goldstein (1996:99) and Keohane (cited by Setear, 1997) summarise the PD scenario model as follows: "If both players cooperate with one another, then the pay-off for each player will be higher than the pay-off for each player when both players defect. If one player defects while the other blithely cooperates, however, then the defecting player reaps the highest possible pay-off (and the cooperating player is left with the lowest possible pay-off). If the players want reliable gains and can trust each other, then each should choose cooperate as her action".

In line with Goldstein's argument, Axelrod (1980:4) concludes that the distinguishing feature of the IPD is that, in the short term, neither party can benefit in such a great way from a selfish choice that it make up for the harm caused by the selfish choice of another. Therefore the IPD embodies the tension between individual rationality (reflected in the incentive of both sides to be selfish) and group rationality (reflected in the higher pay-off to both sides for mutual cooperation over mutual defection). Sterling-Folker, (2000:111) notes further that once cooperation is associated with efficient interest maximisation, the incentive to continue cooperating is reinforced. Also, repeated cooperative acts create a progressively expanding commitment to the cooperative effort. This then results in an internalised commitment to the social practice of cooperation itself. On the other hand, Ehrhardt (2008:61) points out that uncertainty about the partner is at the heart of the dilemma and therefore concludes that the lessons we can draw from the game theory is that even in situations where a cooperative outcome is best for the group, non-cooperation may be better for the individual actors.

Table 2.1 below, as adapted from Axelrod (1980:5) and Setear (1997), depicts the pay-off matrix on the general hypothetical relationship between South Africa and India to exemplify the conceptual framework which accentuates the Iterated Prisoner's Dilemma (IPD), a defining feature of the neoliberal institutionalists' view of international relations.

An illustration of the pay-off matrix based on the Iterated Prisoner's Dilemma (IPD)
Countries Action

Table 2.1: The Prisoner's Dilemma Scenario involving South Africa and India

Countries	Action	
South Africa	Cooperate	Defect
Cooperate	(3,3)	(1,4)
India		
Defect	(4,1)	(2,2)

Note: First number in each group is India's pay-off, second is South Africa's. The number 4 represents the highest pay-off, while number 1 represents the lowest pay-off.

From this analogy, Setear (1997), Keohane (1988:32), Dunne *et al.*, (2007:110), Stein (quoted in Reus-Smit & Snidal 2008:208), Martin (1992), Zartman and Touval (2010:229), and Bearce (2002:472) point out that stable institutions facilitates a kind of repeated interaction that encourages the evolution of cooperation. It is therefore clear that rules, combined with a concern for reputation, can discourage defections from the cooperative scheme once that scheme is established. As discussed above, this is due to the fact that institutions can breakdown non-cooperative tendencies in the international system through an environment to resolve various disputes. Bearce (2002:472) notes further that in the context of international regimes, interstate bargaining, as created by the states self, seemed to have increased.

On the choice of a prison as a metaphor, Marks (2004:9) points out that it is a reflection of the notion that both international relations and the prison reflect far more complex arenas of human interaction. As an example, categories that make up the study of international relations such as aggression, violence, law and rules are also found in the study of life in criminal individuals who end up in prison. It can therefore be concluded that one of the unique qualities of the prison metaphor for international relations is that it draws on another realm of human interaction for its lessons about interaction among international actors. Marks (2004:150) continues that the important feature of this metaphor is that it is based on the human experience to shed light on other human experiences. He notes that many institutions from trade to arms races have been characterised as Prisoner's Dilemma games and these are the ones in which states have either created or tried to create international institutions. Zartman and Touval (2010:228) believe that states cooperate when they can achieve gains through pooling efforts and through trade - an

economic concept that has equal meaning in politics and that encapsulates the basic notion of negotiation.

From a compliance and enforcement point of view, Grieco (cited by Pahre, 1994:327) notes that with a small number of partners, neoliberals argue that the range of behaviour that must be monitored declines and thus reduces verification costs. The collective action costs of organising retaliation against defectors will thus be lower. As a result, the implicit credibility of small group threats to punish fraudsters will be higher and more effective. This implies that bilateral engagements are critical in contributing to multilateral efforts within the international relations discourses. On the other hand, Pahre (1994:329) and Setear (1997) identify that multilateral cooperation is possible in repeated play if the states that are involved in the cooperative arrangement place a high value on the future. They therefore argue that the consensus policy recommendation (an attempt to break multilateral cooperation into bilateral deals) may still stand, especially because of unnoticeable discount rates. Pahre (1994:347) however cautions that multilateralism can also be effective even if bilateral arrangements are not. This implies that although the approaches are mutually reinforcing, they are not necessarily mutually inclusive. The lessons from the IPD are presented hereunder to elaborate on the view point.

2.4.4.1 Lessons from the Iterated Prisoner's Dilemma Metaphor

From the discussion above, one can reason that the appeal to change sides in hopes of unilateral gains (i.e. absolute gains) complicates the situation in international relations and thereby threatening the relations. It is also made clear from table 2.1 that if states interact frequently over a period of time, they will discover that non-cooperation will result in fewer benefits for all and thus lead them to reconsider their positions.

It should also be noted that although the above concept of the game theory refers to a cooperative scenario involving two countries, the cumulative effects of state behaviours in their IPD discourses will have an effect on the success of multi-national collaboration. This is a critical focus of the study as introduced in the previous chapter.

From a disaster risk management point of view chapters 6, 7 and 8 discuss the following factors, namely the political interest of countries and buy-in towards functions, disaster risk profiles of countries, risk awareness, their risk avoidance culture and policy and legislative frameworks. All these factors are critical to the success of any negotiated collaborative initiative. It is evident from this study that there is still unevenness within the

SADC in terms of the existence of a favourable environment for disaster risk reduction (e.g. political buy-in, legal and institutional systems) and appreciation of DRM as an integral element of service delivery, poverty reduction and sustainable development. In line with this view, Setear (1997) cautions that a game theory perspective requires analysing the motivations of states and how their preferences map into pay-offs within a game model. He brings to light the fact that establishing this correspondence between an issue area and its game model is the toughest problem confronting successful empirical application of the game theory. Regarding the SADC in general, the study confirms a motivation to implement and collaborate on disaster risk management programmes. The challenges with the implementation can be attributed to weak legislative provisions in the majority of the countries (as discussed in detail in chapter 6). This is the result of only three countries (Namibia, South Africa and Swaziland) having clear legislative pronouncements on the matter. It must however be noted that the implementation of these provisions still remains a challenge. Moreover, the role of international organisations in supporting national and regional disaster risk reduction efforts is important and notable as well as the fact that other SADC countries are collaborating without external facilitation (e.g. Mozambique, South Africa and Swaziland). From the data as presented in chapter 7, it can be argued that the collaborative arrangement for DRM in the SADC is gaining momentum due to the increasing level of interaction of the member's states as well as the active support of international organisations and collaborating partners. This collaborative arrangement should however take place within a legally regulated environment consistent with the political and legal founding principles of the SADC. It therefore has to be legally codified and regulated. To this end, the need to have a codified and regulated collaborative system dictates that an analysis of the Law of Treaties be analysed in the section below.

2.4.5 Applying the "Law of Treaties" to demonstrate iteration in the neoliberal institutionalism theory

As defined above, a treaty, whether in a written form or an oral declaration, is a critical instrument to regulate international cooperation under the International Law of Treaties. Reuter (s. a:30) and McNair (1961:7) indicate that treaty processes only have legal foundation if parties manifest their will through expression. This is due to the fact that the law cannot consider parties' concealed issues. In addition, he reveals that the expression of their will must concur with the object and purpose of the agreement, which both play a prominent part in the whole law of treaties. Reuter (s. a:31) and Setear (1997) specify that

within the context of a treaty, international law governs the process of attribution of a will which to a large extent, albeit not completely, refers to the legal order of each state.

For the application of these legal principles, Setear (1997) notes that the Vienna Convention includes a cluster of rules addressing the route of international cooperation to develop into a complete treaty. These rules specify that a nation is only partially bound by a treaty after signing the content at the conclusion of international negotiations, or by registering its accession to that treaty. Reuter (s.a:33) and Setear (1997) also agree that a nation becomes fully bound by the content of the treaty after that nation, and a sufficient number of other nations, have ratified or acceded to the content. However, Reuter (s.a:31) mentions that although the 1969 Vienna Convention confined itself to written treaties, a number of its provisions prove that unwritten agreements are likely to surface and correlate with written treaties. Notwithstanding, he notes the fact that certain reactions during the 1968-1969 Vienna Convention pointed to the fact that states remain reluctant to accept a too liberal approach to the form of treaty commitments which are in place.

According to Setear (1997), an analogy of the "Law of Treaties" is used to examine how the international law of treaties can provide one relatively clear and objective set of definitions of an iteration and two different methods to guide determinations of whether a nation's behaviour at each of those iterations should be interpreted as a cooperative or a defect action. Setear's argument is based on the view that international treaties bring about international cooperation. He concludes that if treaties are a means to international cooperation, and if international cooperation presents nations with a Prisoner's Dilemma (PD), then the choice to comply with a treaty's terms also presents nations with a PD.

To this end, Keohane (cited by Setear, 1997) identifies three phases of the treaty process suited for the objective definition of iterations due to their relatively clear origin and end, namely negotiation, signature and entry into force. He continues that, in this context, parties can recognise one another at each encounter and remember their previous interactions, both of which seem reasonable assumptions in the context of international relations. This interaction may evolve cooperation over time despite the short-term incentives to defect from the cooperative endeavour. In this context Sterling-Folker (2000:109) suggests that changing perceptions and beliefs among the affected parties will more likely lead to cooperation and that the interaction forms the formula which facilitates the cooperation. A classical example about this view is the transformation from the Southern African Development Co-ordination Conference (SADCC), established in 1980 to the current Southern African Development Community established in 1992 (SADC,

1992; 2001c). Of note is the fact that the SADCC was formed with the objective to advance the cause of national political liberation in southern Africa and to reduce dependence on the then apartheid South Africa. SADCC's objectives also embraced basic development and regional integration issues. As a progression from the original objective the SADC in turn was formed with the objective to ensure integration of economic development.

Although the SADC scenario demonstrates a fair balance of the progressive application of the Iterated Prisoner's Dilemma within the multilateral context, Keohane (1998), Goldstein (1996:99), and Setear (1997) regard deception as the greatest threat to cooperation and anarchy as the lack of an organisation to enforce rules against the deception. According to Reus-Smit and Snidal (2008:212), central to an interest in institutions is the notion that institutions matter, make a difference in the behaviour of states as well as in the nature of international politics and thus influence international cooperation. The role of various international institutions as identified above has been critical to ensure the smooth running of the collaborative arrangement *albeit* with some challenges here and there (e.g. political instability).

In conclusion, Setear (1997) notes that, as a result of its formal actions at three consecutive points in time, a nation participating in the unfolding treaty process takes three succeeding obligations:

- By participating in negotiations, a nation becomes obliged to induct those negotiations in good faith;
- By subsequent signing (or acceding to) a treaty, a nation becomes obliged to refrain from defeating the object and purpose of the treaty; and
- Upon the subsequent entry into force of a treaty, a nation that has ratified or acceded to that treaty becomes obliged to adhere in good faith to all of the treaty's terms until the treaty is terminated.

The successive stages of obligation as presented above, suggest a three iteration structure to the treaty process in the context of international relations. Noteworthy is the fact that, conversely, a nation's failure to participate in the treaty negotiations, to sign a treaty or to ratify or accede to a treaty, means that the nation in question is not bound by the legal obligations imposed by the respective phases. The IPD will therefore not have

contributed to fostering international cooperation irrespective of whether or not international institutions played a role as envisaged by neoliberal institutionalists. In the case of the SADC arrangement, 14 of the 15 member states have signed-off the SADC Protocol on Politics, Defence and Security Cooperation. In the SADC context however, the country that has not signed the protocol (i. e. Madagascar) will also be obliged to cooperate as defined in the protocol as it has been ratified by the majority of the countries thereby binding on all members. The country therefore obliged to serve the SADC in line with the SADC Treaty as well as its allegiance to the Hyogo Framework for Action under the United Nation's International Strategy for Disaster Reduction (UNISDR) system.

2.5 A COMPARATIVE ANALYSIS OF REALISM AND NEOLIBERAL INSTITUTIONALISM THEORIES IN THE CONTEXT OF INTERNATIONAL RELATIONS

As discussed above, the emergence of neoliberal institutionalism as a subset of the international relations theory in the 1980s is a direct challenge to the perspective of the realist theoretical framework for international relations. Therefore a comparative analysis of the two theories is imperative in order to determine their foundation, similarities and differences and how these factors impact on international cooperation based on documented case studies.

Chapter 7 of this study presented an empirical analysis of the relevance of the propositions of neoliberal institutionalism to foster collaborative disaster risk management in the SADC.

The fundamental difference between realists and neoliberal institutionalists is that neoliberal institutionalists view cooperation as essential in a world of economic interdependence. They also hold the belief that shared economic interests create a demand for international institutions and rules (Grieco, 1993:486; Galbreath, s. a; Bearce, 2002:472). Of importance is their assertion that institutions exert a causal force on international relations, shaping state preferences and locking them into cooperative arrangements (Dunne *et al.*, 2007:110). Realists in contrast, emphasises the roles of states as dominant actors in international relations. It is pointed out in Grieco (1993:494) that neoliberal institutionalists agrees with some of the tenets of the realist and neorealist camps, namely that power is important and states act in their own interest. Reus-Smit and

Snidal (2008:203) accepted the central realist premise that state behaviour is rooted in power and interests.

Baldwin (1993:4-8) identifies six points of dispute between the neo-realists and neoliberal institutional schools of thought:

- The neo-realists concern over physical security has much greater influence in generating motivation for state action than the viewpoints of the neo-liberals;
- Second, neo-realists view international cooperation as much harder to achieve than the neo-liberals;
- Neo-realists stress the centrality of relative gains for decision makers in dealing with international cooperation, whereas neo-liberals emphasise the importance of absolute gains (see also Powell, 1991:1203);
- Neo-realists tend to deal with national security issues, whilst neo-liberals lean towards political economy which result in different prospects for cooperation;
- In the fifth place, neo-realists focus on capabilities rather than intentions whilst neo-liberals contemplate intentions more than perceptions; and
- Lastly, whereas neo-liberals see institutions as able to mitigate international anarchy, neo-realists doubt this.

According to Galbreath (s. a), Mansbach and Vasquez (1981:7), Keohane (1984:8), Powell (1991:1203), Grieco (1993:1), Schweller (1996:155), Setear (1997), Nicholson (1998:91), Hobson (2000:17), Josselin and Wallace (2001:19), Carlsnaes *et al.*, (2008:195-196), Mearsheimer (quoted in Brecher and Harvey, 2002: 57), Jackson and Sorensen (2007:75), Dunne *et al.*, (2007:72), and Pashakhanlou (2009:3) the debate between realism and liberal institutionalism is based on the five propositions presented in table 2. 2.

Table 2.2: Comparison of realism and neoliberal institutionalism

REALISM AND NEOLIBERAL INSTITUTIONAL THEORY: SUMMARY OF DIFFERENCES IN KEY PROPOSITIONS		
Proposition	Viewpoint	Viewpoint
	Realism	Neoliberal Institutionalism
States are the only major actors in world politics	Yes	Yes (but international institutions play a major role).
States are unitary-rational actors	Yes	Yes (but the decentralisation of states hinders governments to pursue the most rational policies).
Anarchy is a major shaping force for state preferences and actions	Yes	Yes (but other concerns such as technology, knowledge and interdependence of domestic welfares on international society undermine the force of international anarchy).
International institutions (regimes) are the independent force facilitating cooperation	No (institutions affect the prospects for cooperation only marginally).	Yes
Optimistic / pessimistic about prospects for cooperation	Pessimistic	Optimistic

2.6 A CRITIQUE OF THE NEOLIBERAL INSTITUTIONALISM THEORY

As with other theories, neoliberal institutionalism has also faced criticism from certain quarters. Some of the critiques of neoliberal institutionalism can be found predominantly from the writings of realist scholars such as, but not limited to, Grieco (1993) and Bearce

(2001) while some are from other scholars and researchers such as Sterling-Folker (2000) within the international relations field.

In his seminal work "Anarchy and the Limits of Cooperation: A realist Critique of the Newest Liberal Institutionalism", Joseph Grieco (1993) identifies neoliberal institutionalists' failure to analyse anarchy in line with realists' contention as the major flaw in their theoretical grounding of international cooperation. In this context, he argues that in principle, neoliberal institutionalism misconstrues the realist analysis of international anarchy. This, it is argued, results in a misunderstanding of the realist's analysis of the impact of anarchy on the preferences and actions of states. In his view, this has led to neoliberal institutionalism's failure to address the major constraint in the willingness of states to cooperate, which is, according to realism, generated by international anarchy (Grieco, 1993:487). In line with these viewpoints, there are five key areas that point to limitations in neoliberal institutionalism. These key areas are discussed in the following sections.

2.6.1 Concerns about deception and the gains question

Grieco (1993:487) and Galbreath (s. a:11) notes that realism finds at least two major barriers to international cooperation namely the state's concerns about deception and the relative achievement of goals. However, neoliberal institutionalism focuses exclusively on the former and is unable to identify, analyse or account for the latter. This implies that, for neoliberal institutionalists, the role of international institutions is to ensure that the temptation to deceive in the collaborative arrangement is minimised. This is because international institutions have a positive influence in the behaviour of states and the nature of international politics. It is on this basis that neoliberal institutionalists are optimistic about international cooperation within a regulated framework. The regulated collaboration arrangements within the SADC as discussed in chapter 8 is a direct contribution to this view point. There is however no evidence to the effect that the IPD component of neoliberal institutionalism theory is applicable to the SADC disaster risk management system as evidenced in chapters 7 and 8.

2.6.2 Attention to the gains of partners

According to Grieco (1993:487), realism contends that states must give serious attention to the gains of partners whereas neoliberal institutionalism fails to consider the threat of war arising from international anarchy. Thus neoliberal institutionalism fails to identify a

major source of state inhibitions regarding international cooperation. For neoliberal institutionalism, this is a limitation as war has an inhibiting effect on the design and implementation of collaboration. An example of this is the SADC countries which are facing weak democratic systems (e.g. Madagascar) and have not signed the recent collaborative frameworks of SADC (i.e. Protocol on Politics, Defence and Security Cooperation of 2001) (SADC, 2001a). Therefore it can be argued that anarchy, as it manifests with weaker democratic systems, has an inhibiting effect on cooperation within the SADC.

2.6.3 Risks and uncertainties to overcome

Compared to the realist theory, neoliberal institutionalism understates the range of uncertainties and risks that states should overcome in order to cooperate with others, of which one is the threat of war (Grieco, 1993:503).

2.6.4 The development of collective identities

Wendt (quoted by Sterling-Folker, 2000:109) identifies another limitation in neoliberal institutionalism namely its primary concern with “behavioural cooperation” instead of the development of international community or collective identities. This discards the functional efficiency of international institutions. However as a direct challenge to this point, Sterling-Folker (2000:110) reveals that a closer examination of neoliberal institutionalism indicates that it does not actually exclude the possibility of collective identity transformation from its analysis. In fact, it presents that identity can be transformed through interaction and that collective identities will form around the norm of cooperation itself. The current collaborative arrangement between Brazil, Russia, India, China and South Africa under the banner of BRICS is an example of identity, goal and norm of cooperation based supra-national collaboration.

2.6.5 Latent benefits of institutional breakdown

Bearce (2002:471-489) uses the European Community’s decision to recognise the breakaway of the Yugoslav Republics of Croatia and Slovenia to argue that the risk of institutional breakdown will promote bargaining cooperation. He continues that the risk of breakdown will raise the opportunity costs of bargaining failure and then provide a strong incentive for states that value the fragile international institution, to cooperate and negotiate towards an agreement. He adds that the risk of valued institutional breakdown

can reduce state preferences for defection, moving the enforcement problem away from the standard Prisoner's Dilemma structure.

As a practical illustration to support the critique, Grieco (1993:490) indicates that post-war events, and especially those of the 1970s, seemed to have supported the realist theory and to have invalidated neoliberal institutionalism. This was due to the fact that states remained autonomous in setting foreign policy goals and retained the loyalty of government officials who were active in "trans-governmental networks". Despite it being a popular theory of explaining international collaboration, neoliberal institutionalism is not an exhaustive theory for explaining international relations. For the research, it is a relevant theory to assist in conceptualising an institutional model for collaborative disaster risk management in the SADC. The discussion hereunder demonstrates its practical application.

2.7 LINKING NEOLIBERAL INSTITUTIONALISM TO REAL LIFE SCENARIOS: A CRITICAL REFLECTION

The analysis of the neoliberal institutionalism theory and the centrality of international institutions or non-state actors in international relations discussions may present both a benefit and a threat to international relations discourses. This is because of the bias of international institutions/organisations or non-state actors regarding a certain topics at a certain point in time. On the other hand, a particular country with selfish political or economic interests may influence the agenda of international organisations. The current phenomena of quiet diplomacy which is prevalent in the Southern African Development Community (SADC) leaves the body incapable to resolutely deal with governance mediocrity which affects the sub-region (Akopari as quoted in Okopari, Ndinga-Mavumba & Murithi, 2009:85). An analysis of the state of affair points to the fact that certain leaders are reluctant to take unpopular decisions against their political and economic allies in order to safeguard their relationships, some of which date back to of the liberation struggle.

In his articles titled: *Africa has lost faith in the United Nations*, Mbeki (2011:4) states that the confidence of Africans in the United Nations (UN) is weakening. The article states that the UN proved to be central in destabilising peace processes in countries such as the Ivory Coast and Lybia. In the Ivory Coast, for instance, the UN was supposed to ensure the signing of the peace agreement and to find a political solution to the turmoil. But,

contrary to the expectation the UN opened the door for the rebels to march into Abijan to take sides and action with the UN forces. He further cautioned that Western control over the UN would lead to the powerful nations appointing leaders they preferred to govern the continent. He therefore proposed that the UN be restructured to represent the people of the world.

Mbeki's statement confirms the threat of having a stage managed institution within the international relations discourses as these discourses contribute counterproductively to international cooperation. This confirms Bearce's (2002:476) opinion that international institutions may be durable but are nonetheless vulnerable to external shocks and internal contradictions. Thus he advised that states should be cautious when bargaining in the context of valued international institutions and regimes to prevent these types of breakdowns.

Hence, it can be argued that while neoliberal institutionalism presents a credible theory for international cooperation, the phenomena of bias in international organisations involved in any given context is a threat to the success of international cooperation. Bearce (2002:476) notes that such prejudicial practices will result in member states and outside parties to view the institution as ineffective or less credible due to its failure to produce a cooperative deal thereby leading to eventual institutional abandonment and breakdown. A case can therefore be made that the general acceptance of non-bias of international organisations are critical to the success of the neoliberal institutionalist's approach to international relations. This consideration however lacks in the theoretical orientation and practice of neoliberal institutionalism for international relations.

In addition, the application of the Iterated Prisoner's Dilemma (IPD) to foster collaboration on disaster risk management issues is not completely appropriate to disaster risk management practices, particularly from an absolute gains perspective. This is due to disaster risk management being a developmental function whereby non-compliance with the implementation arrangements will compromise the achieving of the development objectives of a country concerned, in most cases the defecting one. This is different from situations relating to arm control and nuclear enrichment to mention a few. Despite the above argument, there are sector based disaster risk reduction measures which may be suitable to IPD discourses, namely water catchment management, water course management protocols, communicable disease control and border security control. The role of international institutions in line with the neoliberal institutionalism view of international relations is critical to both these scenarios.

This analogy implies that for disaster risk management, as a coordinating function, the application of the IPD is less, if not non-existent. However, the view is also held that for certain sector based disaster risk reduction programmes the need does exist to apply the IPD. From the analysis of the discussions above, the role of international institutions becomes critical in both scenarios in order to facilitate engagements and to monitor compliance with set rules of collaboration.

2.8 CONCLUSION

According to the United Nations (1994a:2), the world is increasingly interdependent implying the need for greater cooperation among international state- and non-state actors. From the analysis of the UN constitution and the consideration of the theory of neoliberal institutionalism, it can be argued that the SADC's founding principles provide a suitable institutional basis for cooperation within the Regional Economic Community (REC) as discussed in subsequent chapters.

This implies that countries shall act in a new spirit of partnership to build a safer world based on common interests and shared responsibility to save human lives, since (natural) disasters do not respect borders. Regional and international cooperation will significantly enhance our ability to achieve real progress in managing disaster risks through the transfer of technology and the sharing of information and joint disaster prevention and mitigation activities. Bilateral and multilateral assistance and financial resources should be mobilised to support these efforts.

Consequently, neoliberal institutionalism can provide a basis for fostering the necessary collaborative theory from which a practical expression of the SADC disaster risk management collaboration can develop. This has been done through the unravelling of the views of neoliberal institutionalism and the demonstration of its application through the Iterated Prisoner's Dilemma and the pay-off matrix. Considering the contribution of international organisations in supporting disaster risk management discourses as outlined in this chapter, it is concluded that neoliberal institutionalism is a suitable theory to explain the institutional role of propelling national and international collaboration. However, it should be noted that some of the elements of neoliberal institutionalism, like the Iterated Prisoner's Dilemma, is not applicable to disaster risk management programmes because of risk reduction and management's mutual benefit make-up. As exemplified in chapters 6, 7 and 8, the content demonstrates that institutions are the mediators and the means to

achieve cooperation in the international system. A demonstration has also been made that within any international collaborative effort the quest to achieve development is a central consideration.

Based on this view, the following chapter, chapter 3, investigates the evolution of the development concept and its trajectories through focusing on its philosophical and theoretical foundations.

CHAPTER 3
**A REFLECTION ON THE EVOLUTION OF DEVELOPMENT
THEORY AND PRACTICES:
SOME SIGNPOSTS**

3.1 INTRODUCTION

The previous chapter discussed international relations theory focusing on neoliberal institutionalism. This was done to set the scene for the development of an institutional model for disaster risk management in the SADC as outlined in chapter 8. A single discussion of international relations theory will however not be sufficient to achieve the study objective, hence the need to explore the development context within which the theory plays out.

In this chapter, a discussion of the evolution and trajectories of development are therefore discussed. The discussion focuses on the evolution of the development theory and practices in the aftermath of the WWII. This is also done with due regard to the influence of international institutions in shaping the development scholarship and practices. The chapter also serves to clarify the objective of the research relating to the influence of the development scholarship on disaster risk management and reduction within a multi-national cooperation perspective as discussed in chapter 5. Therefore this chapter is critical to the conceptualisation of an institutional model for collaborative disaster risk management in the SADC as the problem statement that accentuates the study.

**3.2 SETTING THE SCENE: HUMAN-NATURE RELATIONSHIP
AND ITS MANIFESTATIONS**

Over time, humankind has devised and instituted systems and processes to gain a better understanding of the environment within which it exists. This resulted in the formation of human-environment relationships. In view of the prevailing yet ever changing bio-physical, social, ecological and institutional factors in the world, the human-environment relationship assumed varying and often context-based meanings and structural and non-structural manifestations. Concepts and practices such as, but not limited to, indigenous

knowledge systems, myths, tradition, religion, culture, education and civilisation resemble the manifestation of humankind's reaction to or influence on the natural environment. Noteworthy is the fact that human beings' reaction to natural processes differ according to the orientations and preferences of various people within society. Their daily needs and circumstances are also vital in shaping their actions and reactions towards the environment.

Therefore, perceptions, preferences, ideologies, political and economic factors and other circumstances prevalent at a given time and within specific settings shape the human-nature relationships. This implies that the way in which humankind relates to nature in one area will differ from the way it correlates in another area. It is on this basis that a farmer's reaction to the environment will vary from that of the fisherman, the geologist, the miner, the engineer, the traditional healer and a climatologist, to mention a few. This means that even global development patterns as we see them today originated from the cultures, values and livelihood objectives set by different people. It can therefore be argued that there are cultural connotations to what we currently call the first-and second world countries.

This argument does however not downplay the influence of artificial forces in the welfare and position of other nations. These forces relate to aspects such as colonisation, apartheid, ethnicity, patriarchy. These are factors that can also change the patterns and traditional outlook of any society due to the imposition of externally conceived ideologies and practices. This observation does not however reduce the value based shaping of humankind and nature environment to a subservient viewpoint. This is because the values and preferences of a particular society have a fundamental influence on how the society in question will relate to the environmental and inform its outlook. In line with this view, Greider and Garkovich (1994:1) states that: "Every river is more than just one river. Every rock is more than just one rock. Why does a real estate developer look across an open field and see comfortable suburban ranch homes nestled in quite cul-de-sacs, while a farmer envisions endless rows of waving wheat and a hunter seen a five point buck cautiously grazing in preparation for the coming winter? The open field is the same physical entity, but it carries multiple symbolic meanings that emanate from the values by which people define themselves. The real estate developer, the farmer, the hunter are definitions of who people are, and the natural environment – the physical entity of the open field– is transformed symbolically to reflect these self-definitions. These symbolic

meanings and definitions are socio-cultural phenomena, not physical phenomena and they transform the open field into a symbolic landscape”.

Irrespective of the discipline under which they subside, these concepts and practices have evolved over time into different directions, thereby applying different methods with various terminologies. According to Bill and Hardgrave (1981) cited by McEntire (2004:193) philosophers from ancient Greece to the modern era have also given much attention to understanding (and at times promoting) change and progress within society and the environment they lived in. This is due to the realisation that every phenomenon is subject to evolution in line with societal needs and preferences. Heraclitus (cited by McEntire, 2004:193), for instance, argues that everything is in a continual state of change and that one cannot put his or her foot in the same river twice. Likewise Aristotle (cited by McEntire, 2004:193) asserts in various treatises that empirical reality and the realisation of potential are subject to the laws of birth, growth, maturity and decay.

To this end, with the development of science and civilisations, some of the spontaneous and structured responses to natural and human influenced systems and processes came to be known as '*development*' which also assumed various forms and was subjected to numerous interpretations over time. Names such as civilisation were used to describe the different stages of living standards, skills and states of material possession among countries. On this basis this study agrees with Blewitt's (2008:75) contention that it should first be recognised that for thousands of years the natural world has been shaped by the knowledge, capabilities and skills of human beings (i.e. human capital). To this end, Greider and Garkovich (1994:1) convincingly concludes that: "Landscapes are the symbolic environments created by human acts of conferring meaning to nature and the environment, of giving the environment definition and form from a particular angle of vision and through a special filter of values and beliefs. This renders every landscape a symbolic environment which reflects our self-definitions that are grounded in culture”.

3.3 THE CONCEPTION OF DEVELOPMENT: WWII AS THE TURNING POINT

Following the cessation of the WW II, the world witnessed the emergence of debates and policy discourses on the development question (Anderson, 2001; Matthews, 2004; Collins, s. a). During this era, the ideas and philosophies of development were centrally nested in the ideas of mainstream economists housed at the World Bank (WB) and the International

Monetary Fund (IMF) (Matthews, 2004:375). In this context, Anderson (2001:29) notes that at that time the defining feature of the development agenda was the industrialised nations' particular preoccupation with the problems of sustained economic growth. Underdevelopment was then measured in terms of per capita income and the relative strivings of nations in rates of economic growth. This philosophical orientation triggered debates and writings about the concept of development (Anderson, 2001; Costache & Roman, 2012; Chachage, 1987; Evans, 2004). Notable is the fact that for almost every writer, a peculiar interpretation of development existed (Evans, 2004:30; Chachage, 1987:6). For writers such as Evans (2004:30), since the inception of the development theory it has over time moved from the original single-minded focus on capital accumulation towards a more complex understanding of the institutions that make development possible. This positioned development as an institutional question. Hence the introduction of movements such as “grassroots development” or “community development” that immediately followed WWII (Collins, s.a:58). Also, successor movements were initiated until the emergence of the sustainable development paradigm (Blewitt, 2008; Rogers *et al.*, 2008).

Owing to the different perceptions, meanings, interpretations and subjective measurements of development, the following key questions emerged to determine its main intent: What is it? Where does it originate from? What is it aimed to achieve? What are the interdependencies for the success hereof? Is development a state or process? These questions and other ideological underpinnings around the concept “development” made it a highly contentious yet multi-dimensional process from both a theoretical and practical point of view. It is therefore a concept and practice that is founded on the sustained contributions of the different disciplines as demonstrated in the ensuing discussion.

3.4 DEFINING AND DESCRIBING DEVELOPMENT

More than 500 years ago, most inhabited parts of the world ensued subsistence economies with little outer trade. However, with the dawn of 'the age of discovery', several European nations seized territory as colonies and organised a significant amount of economic activity so as to trade in goods and people (Broad & Cavanagh, 2011:1128). According to Harper (2010) cited by Becker (2010:17), the word 'development' has been used for at least 250 years. Thomas (2000) notes that it was not until the end of the WWII that it became an important concept. At this time it was used in three different ways: (1) as a description of a desired future state of society; (2) as a process of change over time; or

(3) as deliberate efforts of various role players aimed at improvement of the state of affairs or living conditions. In line with this view, Costache and Roman (2012:165) points out that development must be viewed bi-dimensionally, both as a process and as a state. It is argued that, as a *process*, it represents the quantitative and qualitative evolution of the entire economic, social and political systems. As a *state*, it represents the state of development, in which developed countries acknowledges the characteristics and traits through which they are differentiated from the under developed countries (Costache & Roman, 2012:165).

Munasinghe (2009:20) reflects on the evolutionary nature of development as a concept and notes that the current approaches to development derive from the experiences of several decades of developmental efforts. He notes that, historically, the development of the industrialised world focused on material production as the basis for human well-being. This state of affairs necessitated a continuous evolution in the paradigms and practices to policy and the practice of development and was characterised by various interpretations and practical approaches (Matthews, 2004:375; Gibb, 2009:701). In line with the primary focus of the study, Gibb (2009:706) notes that development cooperation was also part and parcel of the International Economic Order (IEO) movement, with a view to catering for Africa's interests. This implies that the principles and practices of working together for a common course are indispensable to any given development discourse.

Although it refers to the question of meeting the needs of populations, a number of scholars such as Evans (2004) and Todaro (1989), formulated various interpretations and approaches based on their varying philosophical orientations to try and explain the ways of achieving "development". In strictly economic terms, traditionally development has meant the capacity of a national economy, with an initial economic condition being more or less static for a long time to generate and sustain an annual increase in its gross national product at rates of perhaps 5 to 7% or more (Todaro, 1989:87). He further explains that during those formative periods, the concept of development was characterised by the theories of structural change. Therefore development strategies have usually focused on rapid industrialisation, often at the expense of agriculture and rural development. However, Todaro (1989:87) makes clear that these principal economic measures of development have often been supplemented by casual reference for instance to non-economic social indicators such as gains in literacy, schooling, health conditions and services and the provision of housing. These diverse schools of thought marked the evolution in the ideology and scholarship on development. The positive

element of those diverse interpretations of the concept helped to stimulate interest among academics and researchers with the result that a universally agreed terminology derived in the 1980s, namely sustainable development (UN, 1987).

In tracing its history, development has proved to be one of the dynamic fields which went through various theoretical and ideological phases over a period of time (Anderson, 2001; Costache & Roman, 2012; Evans, 2004). This concept's evolution is a representation of the human nature's direct response to deal with issues confronting society in pursuit of addressing the needs of the populations. Remenyi (2004:22) defines *development* by way of contextualisation, namely a process directed at outcomes encapsulating improved standards of living and greater capacity for self-reliance in economies that are technically more complex and more dependent on global integration than before. One of the key features of development is that it should represent a progressive upward movement of the entire social system (Myrdal, 1975:5). As a process, it should involve the unfolding of changes in the direction of reaching a higher or more mature state of being (Matthews, 2004:376). Consistent with this viewpoint, Todaro (1989:62) argues that development should be perceived as a multidimensional process involving the reorganisation and reorientation of the entire economic and social systems. In addition to improvements in incomes and output, it typically involves radical changes in institutional, social and administrative structures as well as in popular attitudes and, in many cases, even customs and beliefs (Evans, 2004; Collins, s.a). Todaro (1989:62) further cautions that although development is usually defined in a national context, its widespread realisation may necessitate fundamental modifications of the international economic and social systems.

From the above definition, it can be reasoned that development represents a process of growth towards self-reliance and contentment (Remenyi, 2004:25) and originated from the recognition of the need to eliminate the burden of poverty (Collins, 2009:15). It is therefore a process by which individuals, groups and communities obtain the means to be responsible for their own livelihoods, welfare and future. According to Collins (2009:15), through achieving development, nation-states and the citizenry would realize a more equitable and less risky world. It is also necessary to clarify the opposite of development, namely *de-development*. This occurs when the capacity for self-reliance and contentment deteriorates, typically because the means to be responsible for one's own livelihood, welfare or future has been lost to war, civil unrest, natural calamity (disasters) or to the need to flee and adopt the life of a refugee (Remenyi, 2004:25). Thus, there is clearly an

indication of high levels of vulnerability when the concept “de-development” is applicable (UNDP, 1992:3; World Bank, 2014).

From the above background, it becomes clear that the concept of development has undergone significant changes since the end of WWII and the evolution of thought on development has not been uniform or even (Anderson, 2001:29; Remenyi, 2004:22). According to Anderson (2001:29), Hettne (1997), Preston (1996) (cited in Kothari, 2005:1), and Remenyi (2004:22) the development thought and practices commenced with economic growth and modernisation theories, then the discussion of theories explaining ‘underdevelopment’ and culminates in neo-liberalism and the Washington Consensus. Notable is the fact that, this period is mapped with particular events and processes, most notably with the reification of 1945 as the key year in which development was initiated owing to the establishment of the World Bank and the other Bretton Woods institutions as explained in chapter 2. As it will be evidenced in the ensuing sections, development, like disaster risk management, is affected by, political actions and human will rather than a natural history. Its context is also provided by the world order (Hettne, 1997:87), which is defined in terms of global cohesiveness through shared preferences and objectives as well as the power to mobilise resources and enforce agreements (World Bank, 2014:36).

3.5 THE EVOLUTIONARY STAGES OF DEVELOPMENT

Over the years, various development models and strategies were propagated globally in an attempt to address international, regional and national material and non-material priorities and needs of the time (Anderson, 2001; Chachage, 1987; Hettne, 1995; Collins, s. a; Scott & Storper, 2003). According to Naqva (2010:3) a full narrative of the evolutionary perspective on development policy has required a detailed analysis of the major ‘turning points’ in development thinking namely, the Traditional development paradigm, the Liberalist paradigm and the Human development paradigm. He is of the view that this analytical framework has the distinct advantage of integrating a diverse and large body of contributions to development policy around a reasonable organising principle, which is that specific development policies should be traced to their pragmatic roots.

To ensure policy pragmatism, Swanepoel and de Beer (2006:14) note that parliaments of individual countries have decreed various laws to guide and help establish the rules to which society should conduct its affairs and also to promote development according to the

prescriptions of the constitutions of the effected states. These laws were measures to ensure compliance with prescriptions of the development paradigm prevalent at the time. De Beer and Cornwell (2004:51) however point out that some of the developments efforts have been counterproductive and have worsen people's circumstances. Very often, this is because government and other role players involved with development programmes have ignored the very real constraints and opportunities that exist in a given situation. This is based on their belief that the actual material constraints and opportunities facing a country at a particular time determine the kind of development that it can successfully attempt. In the final analysis, Naqva (2010:4) points out that the existing differences in development policies would then be seen to flow logically from the differences (divergences) in the basic assumptions of rival paradigms as evidenced in the ensuing discussion.

The next section unpacks the concept of development by exploring some of the general development paradigms and implementation discourses. It is important to note that this thesis does not attempt to provide an exhaustive analysis of all development models including regionally applied models. Such in-depth analysis requires dedicated research which falls outside the scope of this thesis. Therefore, the following section will provide an analysis of the key development paradigms which evolved post WWII without zooming into specific implementation programmes for the paradigms in question.

In order to locate disaster risk management within the evolving development paradigms and discourses, the evolution of the development theory and practices need to be understood. To gain this understanding requires an analysis of the key theoretical stages and philosophical underpinnings regarding development. Thus the process to understand the theories and paradigms that will locate disaster risk management within the development discourse has an influence on the whole approach to assess the evolution of theories for development and disaster risk management. The next section explores the evolution, interrelationships and inter-dependencies between various theoretical paradigms of development.

3.5.1 Development as economic growth

The economic development theory provides a good entry point in the assessment of the evolution of the theories of development, especially on post WWII discourses. Studies point out that the theory of economic development has had a long and tangled history extending from the classics of the eighteenth and nineteenth century political economy, through to the German historical school of the early twentieth century (Schumpeter cited

by Scott & Storper, 2003:580), to the many different streams of development ideas that were in circulation in the immediate post WWII decades (Scott & Storper, 2003:580). During this period, gross domestic product (GDP) (then gross national product (GNP)) accounts were used to measure the capacity of wartime production (Cobb *et al.*, 1995 cited by Ukaga, Maser & Reichenbach, 2010:20).

The thinking of the 1950s and early 1960s focused mainly on the stages of economic growth in which the process of development was viewed as a series of successive stages through which all countries had to pass (Todaro, 1989:63). Anderson (2001:29) points out that during the period roughly from 1948 to 1965 there was widespread agreement on the primacy of economic growth as a societal goal. Economic growth was therefore an economic theory of development in which the right quantity and mixture of savings, investment and foreign aid were the only necessity to enable Third World nations to proceed along an economic growth path that historically had been followed by the more developed countries (Todaro, 1989:63).

According to Meier (1965:5), the world has experienced almost continuous expansion of trade between nations, along with increasing interdependence of economies and a rapid diffusion of modern technology during this period. He notes that various methods were formulated to expedite the transfer of goods. Some of these methods were implemented through mutual reduction of tariff barriers and quotas, others by moving toward convertibility of currency. However, the increasing availability of credit was probably the most responsible for accelerating the transfer of goods. Development was therefore viewed as being synonymous with rapid aggregate economic growth (Meier, 1965:5; Todaro, 1989:63). Bauer and Yamey (cited by Wilber and Jameson, 1979:5 in Tsheola, 1995) visualise development as “the widening of the range of alternatives open to people as consumers and producers”.

According to Todaro (1989:63) in the 1970s two competing economic (and ideological) schools of thought replaced this linear stages approach to development. The first school focuses on *theories and patterns of structural change*. This school applies modern economic theory and statistical analysis to portray the internal process of structural change a typical developing country need to undergo in order to succeed in generating and sustaining rapid economic growth. The second school of thought is *the international dependence revolution* which is more radical and political in orientation. It views underdevelopment in terms of international and domestic power relationships, institutional

and structural economic rigidities and the resulting proliferation of dual economies and dual societies both within and among the nations of the world.

As a result, development was during this period defined by Huggins as a “discernible rise in total and in per capita income, widely defused throughout occupational and income groups, continuing for at least two generations and becoming cumulative” (cited by Wilber and Jameson, 1979:5-6 in Tsheola, 1995). In the words of Tsheola (1995), such a conception of development, as implied in the preceding discussions, places more emphasis on commodities, savings and investments than on people themselves. That is, people are viewed as objects rather than subjects of development (Tsheola, 1995). It can be argued that this view of development did not improve the social and economic well-being of people let alone the protection of the natural environment. Ukaga *et al.*, (2010:20) specifically points out that this view of development, through the lenses of the GDP, ignores everything that happens outside the monetised exchange, regardless of its importance or positive effects to people’s well-being. Given these pitfalls, the view of modernisation arose as a solution to the world’s development challenges.

3.5.2 Development as modernisation

According to Chachage (1987:5), during the modernisation era, development was viewed in terms of economic indicators synonymous with capital formation and industrialisation. The argument was that development of the third world countries could be possible through further integration in the world market, which in turn would lead to injection of capital, technology and values. He further argues that: “This would then narrow the gap between the “Lazarus” and the “Shylocks”, agrarian and industrialised societies”.

The shift to a view of development as modernisation did not reject the conception of development as economic growth completely. Development was still perceived as an economic component of the wider process of social change, which is modernisation (Mabogunje, 1980:38). The modern era of development, underscored by the modernisation theory, began and gained confidence that the world and developing countries in particular, could be remodelled within a generation or two. According to this view, poverty would be vanquished, but only if backward economies were modernised (Remenyi, 2004:24). According to Witthuhn (cited by Tsheola, 1995), modernisation is a process of change which involves conceptions of efficiency, increased human and spatial interaction and extraordinary complexities or social relationships. As a result, he uses “modernisation” as a synonym for economic growth, social mobilisation, westernisation,

social change or development (Witthuhn, 1968 cited by Tsheola, 1995). According to Remenyi (2004:45), within the modernisation mainstream economic thought, there has been a strong assumption throughout this period that given certain conditions and policies growth in successful regions will eventually 'trickle down' to the more peripheral areas. Thus, poor countries can catch-up and benefit from the earlier growth experiences of others, and pass through a similar process of development, *albeit* at a later stage.

Remenyi (2004:50) notes that during the 1950s and part of the 1970s, Rostow's *The Stages of Growth* (1960) was published proposing the path to development and modernity involving the movement of any nation through a series of stages. Those stages were conceptualised as being: the national society, the pre-take-off society, take-off, the road to modernity and the mass-consumption society. Following the conception of modernisation as described above, development was defined in Mabogunje's (cited by Tsheola, 1995) words as "a rapid and sustained rise in real output per head and attendant shifts in the technological, economic and demographic characteristics of a society". Chachage (1987:6) notes however that the state has to play the central role in this process of transformation, together with enlightened (civilised) individuals such as entrepreneurs, politicians and modernising agents. This viewpoint positions modernisation as a development theory that propagates the approach to development founded on the skills and capacities of the external agents not the affected people's capacities and preferences. The difference between modernisation theory and economic growth theory can thus be summarised as the shift from using the growth national product (now the growth domestic product) to the human approach (social capital) with greater investment in education and skills training.

Contrary to its theoretical foundations on development, Witthuhn (cited by Tsheola, 1995) argues that modernisation can be destructive as it has the potential to lead to the rejection of the ethnic, tribal, cultural, social and economic customs which are deeply ingrained in the society in favour of the anticipated prospects which may never come to realisation. This latter view indicates that modernisation is not necessarily an accurate description of the ideal process and state of development because development should be, as stated by Wilber and Jameson (1979:5) (cited by Tsheola, 1995), a gradual advance or growth through progressive changes or stages in some particular direction (to address material and non-material needs of nations and peoples). Consequently, development cannot be expected to be desirable in one sense and disruptive in another. In other words, development should be a change for the better (Tsheola, 1995). It is also necessary to

ensure that the change in question is not only geared towards benefiting the communities but must also take account of the environmental and institutional factors.

Chachage (1987), Anderson (2001), and Remenyi (2004:24) noted that modernisation prescriptions went through great criticism and continuous attack since the 1960s. Their theories and prescriptions were first criticised from what became known as the 'dependency school', originating especially from Latin America. Several authors argued that the underdeveloped world could not develop in this 'trickle down' manner, because the very processes of global change that gave rise to prosperity in the North resulted in the simultaneous impoverishment of the countries in the South. Remenyi (2004:46) notes that several authors have questioned the often unspoken assumption that development is to deliver to every citizen a lifestyle that is similar to that now prevailing in rich countries. They have dismissed the idea that development must always be the same as 'modernisation', which is, in fact, nothing less than 'Westernisation'. The growing environmental movement also took up this perspective, which argued that it would be physically impossible for everyone in poor countries to live the sort of lifestyle now prevailing in North America or Western Europe. The implication is that the costs in terms of resource depletion, pollution and general environmental degradation would simply be too great. Linked to this argument, Smith (2004:6) notes that as disasters are characteristic rather than accidental, disaster mitigation within the development context depends on fundamental change involving a re-distribution of wealth and power for the benefit of rich and poor countries. Martens, Slooff and Jackson (1997:583) point out that human induced climate change also compromises the sustainability of human development on the planet. This is because it threatens the ecological support systems on which human life as well as human health and well-being depend, the continuing improvement of which should be the very goal of the development process itself. The climate and its changes or variations are also factors to consider in development policy and implementation discourses. To this effect, Blaikie, *et al.*, (1994) points out that, based on its tenets and philosophical orientation, the modernisation theory is rejected in favour of a reliance on local knowledge rather than imported technology.

On the other hand, Ullman (1980) (cited by Green, 1980:2) explains that some by-products of modernisation have led to an explosion in population growth which caused drastic stress on fragile ecosystems and have vastly magnified the toll of natural disasters. Other forces, also by-products of modernisation, have enabled possible disaster relief as known today. From the discussion above, it is clear that the blanket assumption that

development under modernisation would follow a linear path and that under-developed countries will automatically follow a linear path towards development will be void of contextual realities such as, but not limited to, culture, existing capacities, prevailing developmental challenges and ethnic orientations. It is also debatable whether being developed implies that you have to be modernised because the needs of people need to be defined according to the context of the affected population and not from an outside perspective.

A number of scholars opposed the conception of development as modernisation on the basis that development should be viewed in terms of “what it does to enhance the lives of individual human beings” (Coetzee, 1980:8) not how it is perceived by outsiders using their own measurement. Coetzee (1980:32) therefore argues that “development is the desirable course to be taken by human beings in a particular situation”. Furthermore, a view is held that development should resemble an all-embracing social change for the better and not a mere growth of production. This, it is argued, is based on the fact that the concept development embraces every kind of social improvement (Ohlim, 1979 cited by Hill, s. a). Consequently, development came to be viewed as a process of distributive justice designed to satisfy the basic needs of the people (Mabogunje, 1980 cited by Tsheola, 1995) and will be discussed in the following section.

3.5.3 The basic needs theory

According to Remenyi (2004:32), the basic needs theory represented the movement for greater prominence to basic needs in development planning. This was seen as a positive evolution in the development thought process. It resulted in renewed vigour for programmes aimed at ensuring the availability of the basic needs to the poor and the upgrading of literacy, numeracy and health maintenance skills in rural communities. This development concept emphasises the elimination of inequalities, the reduction of unemployment and the alleviation of poverty (Tsheola, 1995).

Remenyi (2004:33) notes in particular that paternalism however obscured the verity about development, confusing charity with development assistance, education with knowledge and poverty with ignorance. This is apart from the fact that these are genuine concerns for basic needs of the people and societies. It is also noted that under the basic needs theory, development planning gives no or little value to determine if the poor have knowledge of how poverty affects them, know the reasons they cannot escape their poverty unaided, or know to what realistic and attainable poverty alleviation targets refer. It Thus, the basic

needs theory did not approach development as a representation of qualitative and quantitative evolution of the entire economic, social and political system (Costache & Roman, 2012:165) for realising the well-being of the people and community. Based on this realisation, Remenyi (2004:33) highlights that these dominant negative views of the poor prevented the development profession from seeing what was always prevalent, namely that it is not possible to have real poverty-reduction-based development without a deep appreciation of the problems and constraints that poor households face.

Based on the preceding discussion, the basic needs theory for development also faced challenges from other emerging theories such as the view of development as a distributive justice.

3.5.4 Development as distributive justice

Silimano, Aninet and Birdsall (2000:2) define the theory of distributive justice as one that explores the causes and types of equality by distinguishing between background factors (e.g. wealth, talent, social connections) that shape wealth distribution, but are often beyond individual control and elements pertaining to the realm of individual responsibility (effort, risk taking, ambition). The main objective of development as distributive justice is expressed by Seers (Wilber & Jameson, 1979 cited by Tsheola, 1995) as: “Development is the realisation of the potential of human personality – a universally acceptable aim”. This therefore is a theory that concerns itself with social equity. Silimano, Aninet and Birdsall (2000), describes social equity by way of three perspectives namely:

- The absence of income deprivation for everybody in society – this relates to the reduction and eventually, the elimination of poverty;
- The absence of large inequalities of income and wealth; and
- Availability and quality of opportunities.

Remenyi (2004:33) points out that the period from 1969 to 1999 was dominated by the struggle of leading thinkers on development to overcome the myopia of entrenched attitudes and prejudices. Critical among these being the assumptions that the poor have little if anything to contribute, that they are a burden on society, and that the poor themselves are, in part at least, responsible for their own plight because of their ignorance, laziness or blind commitment to outmoded customs and traditions. To this affect the agricultural economists and social scientists that focused on the role of the poor

in development, promoted the role of the poor and identified them as a critical part for the solution to poverty. In so doing the poor became not only beneficiaries, but also a resource for development to reduce poverty. Therefore, the view of development as redistributive justice also faced criticism (Tsheola, 1995). As a result, development as socio-economic transformation emerged (Todaro, 1989:103; Tsheola, 1995) and will be discussed in the ensuing section.

3.5.5 Development as socio-economic transformation

Todaro (1989:103) notes that studies such as the one conducted by the United Nations Research Institute on Social Development (UNRISD) revealed that the development index of any given country correlates more with social and economic factors of that particular country. Contrary to popular belief, it was noted that the social development of the analysed countries occurred at a more rapid pace than economic development. According to Mabogunje (cited by Tsheola, 1995) there are two different definitions of development emanating from the socio-economic transformation perspective. Mabogunje (cited by Tsheola, 1995) points out that on the one side development is the transformation of a society's (or country's) mode of production (those elements, activities and social relationships which are necessary to produce and reproduce real /material life). He further states that development refers to those basic shifts in any aspect of the mode of production that activate wide ranging changes and culminate in the transformation of the mode of production and/or changes in the relative importance of the social class. From this standpoint, development is concerned with "the capacity of individuals to realise their inherent potential and to effectively cope with the changing circumstances of their lives" (Mabogunje, 1980:45). On the other hand, it is argued that socio-economic transformation has to be comprehensive and therefore, development should involve the total and full mobilisation of society (Mabogunje cited by Tsheola, 1995). Thus, development is seen as a self-centred and self-reliant position with regards to the processes of decision-making and the patterns and styles of production and consumption (Mabogunje cited by Tsheola, 1995). Viewed as a means to serve the people and a means to human ascent, Goulet (cited by Wilber & Jameson, 1979:38 in Tsheola, 1995) notes that development is defined as "a struggle to create criteria, goals and means for self-liberation from misery, inequality and dependency in all forms".

Following criticism on the view of development as socio-economic transformation, views of development in the historical context also emerged. These views define development as "the history of the future" (Heilbroner cited by Ohlim, 1979:126 in Tsheola, 1995).

Rejecting this view, Tsheola notes that to define development as “the history of the future” is to imply that even the undesirable shifts leading to a state of underdevelopment which most of the peripheral countries experienced in the past decades is to be regarded as development.

Another development approach which received criticism during this era was the *Laissez-Faire*. According to Naqva (2010:16), the *laissez-faire* approach was a development discourse which advocated that development policy should unquestioningly follow the dictates of the (static) Ricardian Law of Comparative Advantage or the Heckscher-Ohlin version. The key argument in favour of the *laissez-faire* was that foreign trade is the primary determinant of growth and for that reason, poverty reduction (and by extension, vulnerability reduction). In so far as conditions similar to the *laissez-faire*, it produced more harm than good to developing countries. Lewis in Naqva (2010:17) specifically observes that the *laissez-faire* model in the nineteenth century mainly benefited the Western Countries, while it only offered the developing countries the opportunity to remain poor. Notable was the fact that the income losses of the developing countries were greater in the 1990s than in the 1980s. This was not only because of the larger terms-of-trade losses but also because of the increase in share of trade in the Growth Domestic Product (GDP) (UNCTAD, 1999 cited by Naqva, 2010:17). Grilli and Yang (1988 cited by Naqva, 2010:17) note further that strong evidence exists that the terms of trade for manufactured goods of developing countries have declined relative to those goods exported by the developed countries. This represented imbalanced and unfair trade relations between the developed and developing nations. It is on these grounds that Todaro (1989:89) summarises the three values emphasising development, and which need to be applied in a balanced manner, namely:

- a) *Life sustenance*: The ability to provide basic needs. This implies that all people have certain needs without which life would be impossible. These life-sustaining basic human needs include food, shelter, health and protection. When any of these is absent or in critically short supply, it could, without reservation, be stated that a condition of absolute underdevelopment is present. Therefore, a basic function of all economic activity is to provide as many people as possible with the means of overcoming the vulnerability and misery arising from lack of food, shelter and protection.
- b) *Self-esteem*: To be a person. This refers to a sense of worth and self-respect and not being used as a tool by others for their own purpose. All people and

societies seek some form of self-esteem, although they may call it authenticity, identity, respect, honour and recognition. The nature and form of this self-esteem may vary from society to society and from one culture to another.

- c) *Freedom from servitude*: To be able to choose. This relates to the concept of freedom. It refers to the more fundamental sense of freedom or emancipation from alienating material conditions of life and from social servitudes to nature, ignorance, other people, misery, institutions and dogmatic beliefs. Freedom involves the expanded range of choices for societies and their members together with the minimisation of external constraints in the pursuit of some social goal namely development.

Along this line of reasoning, ISDR (2002a:34; 2002b) points out that the relationship between disasters, risk reduction and globalisation also needs to be researched to explore the detrimental effects of deregulation and economic interconnection on the one side and the beneficial effects associated with trade opportunities and economic competitiveness on the other.

Also, Noqva (2010:26) specifically notes that the terms of trade of the goods that are exported by developing countries plummeted. Domestic manufacturing has suffered mainly because of the many institutional constraints on all kinds of import substitution that the World Trade Organisation (WTO) has enacted and imposed while letting the developed countries disregard it. Deshpande (2008:2) in particular points out that the policies advanced by the Washington Consensus (WC) have had a dubious effect on rates of growth in most cases. They have hugely improved the living standards and opportunities for small elite in developing countries, while increasing the insecurities and vulnerabilities of the vast majority of the working class. Noting that these policies will exacerbate social tensions, these institutions, particularly the World Bank, offered a palliative in the form of 'social safety nets'. Contrary to expectations, this development approach brought about negative effects on developing countries and left them vulnerable to various shocks. This is because actual development needs to show an improvement in the lives of the poor and the working class in all countries.

The 1960s and 1970s witnessed a growing concern that economic growth, development and lifestyle demands in industrial nations were undermining the ecological balance, economic stability and security of the planet. It is during this era that world famous pressure groups were formed like Friends of the Earth and Green Peace (Blewitt,

2008:14). Wisner *et al.*, (2004:11) notes that the 1970s saw increasing attempts to use political economy to counter the modernisation theory and its triumphant outlook, and political ecology to combat increasing subtle forms of environmental determinism. Blewitt (2008:13) indicates that the view then was to adopt sustainable development practices described as protecting and conserving the planet's natural environment and promoting social equity and a degree of economic equality within and between nations. He argues that this approach can be conceptualised as a process of convergence, implying that the question of spatial scale is a necessary element in any serious thought and action designed to make the world a better place. It was therefore the opinion that it is possible to conceive of scale in ecological and socio-political terms as institutions and organisations operate at many different levels (Blewitt, 2008:13). The United Nations and the World Bank, being large international bodies operating on a global scale, and through their various projects, shaping the lives of people in specific communities and households are examples of the preceding opinion. Also, these bodies may develop and implement policies, treaties and actions that affect all ecological scales.

The basis of this understanding is simple, the national character and chosen form of governance can be viewed as a determinant in understanding the risks in a given country, as are the various social, economic and environmental triggers.

Therefore, the following section explores the sustainable development paradigm which attempts to synergise the various aspects that ISDR (2002a:27) identified that causes people to be vulnerable to unfortunate events, namely the social, political, economic, environmental and political (institutional) settings in a country.

3.5.6 The sustainable development paradigm

In the 1960s and 1970s, environmental policy was conceived and implemented as a 'stand-alone' policy area, largely independent of policies in other sectors. However, by the 1990s, the emerging agenda for sustainable development envisaged economic, environmental and social policies as interdependent, thus highlighting the need to consider environmental matters in a wide range of sectoral policies (Beker & Eckerberg, 2008:8).

As a contribution to phasing in the sustainable development paradigm, Blewitt (2008:15) notes that in 1983, the World Commission on Environment and Development (WCED) commenced a study that would firmly establish sustainable development as the most

significant concept and practice of the time. In 1987 the results were published as *Our Common Future* (the Brundtland Report). The quest was to ensure that global environmental concerns would not overwhelm the desire to eradicate the problems of human needs and poverty. Wisner *et al.*, (2004:22), Costache and Roman (2012:165) also observe that the lingo of sustainable development entered development studies and policy documents from the late 1980s with the publication of *Our Common Future*. Since the holding of the 'Earth Summit' in 1992, shortly after the opening of the International Decade for Natural Disaster Reduction (IDNDR), disaster risk reduction has been included, at least on paper, as an element of the various national and local efforts to implement *Agenda 21*, the Rio Summit's plan of action. In line with this policy direction, Soedjatmoko, former president of the United Nations University (cited by Todaro, 1989:62) states that: "Gone are the early naive illusions of development as an endeavour in social engineering toward a brave new world. Multiple goals have now replaced the initial single focus. There is now a greater understanding of the profound interaction between international and national factors in the development process and an increasing emphasis on human beings and the human potential as the basis, the means and the ultimate purpose of the development effort".

Within this context, in their publication that reviews the current challenges of sustainable development, Costache and Roman (2012:165) notes that: "The concept of sustainable development represents all forms and methods of socio-economic development that are based primarily on ensuring equilibrium between socio-economic systems and the elements of natural capital. The concept of sustainable development determines a constant re-evaluation of the links between man and nature and pleads for the solidarity between generations as the only viable option for long terms development".

In line with the focus of the study, Costache & Roman (2012:165) state that a concern not only for justice and equity between states, but also between generations has become the object of sustainable development. It is therefore worth appreciating that sustainable development has to bring about a balance between environmental, social and economic dimensions such that unsustainable development includes the risk of hazards and disasters through environmental degradation, social decay or economic collapse, to name a few (Baker & Eckerberg, 2008:9 and Hatzius, 1996 cited by Collins, 2009:16; Ukaga, Maser & Reichenbach, 2010:19). The main implication for sustainable development is that strategies need to include concepts and provisions for, *inter alia*, improving capacity with the ultimate goal of enhancing the ability to evaluate and address the crucial questions

related to policy choices and modes of implementation (UNCED, 1992 cited by Baker & Eckerberg, 2008:34) in order to be implemented successfully in the long term. It is on this basis that there is consensus that by differentiating between economic activities that diminish social-environmental capital and those that enhances such capital, the genuine progress indicator (GPI) is designed to measure sustainable economic welfare rather than solely economic activity. Thus, as the GPI is stable or increases a given year, the implications is that stocks of social-environmental capital, on which goods and services depend, will also be secured for the current and future generations (Ukaga *et al.*, 2010:19). This description presents sustainable development as a catch-all phrase that seeks to bring about a balance between different yet complementary factors as defined and further discussed below.

The universally adopted definition of *sustainable development* was thus coined as: “Development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (WCED, cited by Blewitt, 2008:15).

In line with the WCED definitions, Munasinghe (1992 cited by Munasinghe, 2009:22) describes it broadly as a process for improving the range of opportunities that will enable individual human beings and communities to achieve their aspirations and full potential over a sustained period of time, while maintaining the resilience of economic, social and environmental systems. Adapting this general concept, Munasinghe (2009:22), Costache and Roman (2012:166) advocate for a more focused and practical approach towards improving sustainable development to be founded on continuing progress in the present quality of life as a lower intensity of resource use and thereby preserving for future generations an increase of productive assets (i. e manufactured, natural and social capital) to enhance opportunities that will improve their quality of life. On the importance of sustainable management for sustainable development, Costache and Roman (2012:166) point out that an evaluation of progress through costs externalisation should be done. This cost externalisation refers to an efficient collaboration between the public, academic and private environments as well as the civil society. This also implies an integration of inputs of various stakeholders, sectors and disciplines within society. In this instance, the municipal integrated development plans (IDPs) which is a strategic instrument of multi-disciplinary planning and implementation of service delivery programmes in the South African municipalities (South Africa 2000), is a classical mechanism for achieving sustainable service delivery and development objectives.

In outlining the sustainable development triangle and balanced viewpoint, Munasinghe (2009:23) contends that sustainable development requires balanced and integrated analysis from three main perspectives namely social, economic and environmental (see chapter 5, figure 5.4). He notes that each view corresponds to a domain (and system) that has its own distinct driving forces and objectives. He notes that the economy is geared towards improving human welfare, primarily through the increase in consumption of goods and services. The environmental domain focuses on the protection of the integrity and resilience of environmental systems. It also focuses on protecting the integrity and resilience of ecological systems. The social domain on the other hand emphasizes the enrichment of human relationships and the achievement of individual and group aspirations. Interaction between these domains is also important.

In line with this view, the WCED (1987 cited by Blewitt, 2008:15), points out that sustainable development contains two key concepts, namely:

- The concept of 'needs' in particular the essential needs of the world's poor to which over-riding priority should be given; and
- The idea of 'limitations' imposed by the state of technology and social organisation on the environment's ability to meet present and future needs.

Wisner *et al.*, (2004:22) notes that in 2002, the Johannesburg World Summit on Sustainable Development reaffirmed the status of disaster risk reduction within its notion of 'sustainable development'. In the run-up to the Johannesburg Summit, ten years after the Rio Summit, the third Global Environmental Outlook report by the UN Environmental Programme (UNEP 2002 cited by Wisner *et al.*, 2004:22) included a substantial chapter on disasters. It noted some uneven progress in reducing disaster risk, mostly concentrated in the wealthier countries. But, it did consider the significance of a 'vulnerability gap' which is widening within society, between countries and across regions resulting in the disadvantaged groups to be more at risk to environmental change and disasters. Based on the theoretical grounding presented in chapter 2, the section below outlines the role of international institutions in shaping and directing development discourses.

3.6 THE EVOLVING ORIENTATION OF INTERNATIONAL INSTITUTIONS ALONGSIDE DEVELOPMENT PARADIGMS

It is important to point out that the evolution of the development idea and practices, as discussed above, has always been a cause and, at times, the effect of the existence and orientation of international institutions. This influence is due to the establishment of international institutions owing to diverse reasons, some of which revolved around the contribution to debates and practices on general and specialised (governing and development) areas of affected countries. Such institutions include the Multi-National Institutions (MNIs) like (but not limited to) the United Nations (UN), the African Union (AU) (formerly the Organisation of African Unity (OAU), the former Soviet Union (SU), the Association of the East Asian Nations (ASEAN), the Regional Economic Communities (RECs) such as the SADC, ECOWAS, COMESA, and IGAD. On the specialist or technical side of international relations and cooperation Multi-Lateral Development Banks (MDBs) were also formed namely; the World Bank, the African Development Bank, Asian Development Bank, the European Bank for Reconstruction and Development, Inter-American Development Bank, and the International Fund for Agricultural Development. These MNIs and MLIs were established with objectives and strategic focus areas that were relevant at a given time. The focus areas evolved as the global priorities and developmental orientation changed over time.

Rogers, Jalal and Boyd (2008:314) illustrates the above through the example of the World Bank (WB) as its establishment in 1944 was based on the motivation to assist those countries that were destroyed during WWII. To demonstrate its evolving orientation and developmental focus, Rogers *et al.*, (2008:314) highlights that in the 1950s, the Bank emphasised growth and development. In the 1960s, the emphasis shifted to rural development and in the 1970s the focus was economic reform. In the 1980s, there was a major shift in the Bank's policies towards human development and providing assistance to developing countries. During the 1990s and 2000s, the bank focused on poverty reduction. It was during this time that the bank concentrated to allocate projects to evolve the environment as a resource to progress the lives of people. These projects were based on previous lessons learned when projects did not consider the ecological impact that the environment could suffer from these project implementations as it were previously miscalculated.

Following the establishment of the Environment Department in 1987, it became mandatory that every single operation of the bank would have to undergo a screening process to determine the project's environmental impacts. It was also during this period that measures were added to policies and practices to evaluate the social impacts of development. These policies became known as the “Do No Harm” policies and focused to not cause any unnecessary harm to the environment or people. If problematic situations arise and harm was inevitable, mitigation was a priority.

It was around the 1990s and 2000s when the “Do No Harm” principle was elevated to an active focus on addressing environmental problems through the Global Environmental Facility (GEF). The 1992 Rio Summit on Sustainable Development had a global influence in terms of highlighting and emphasising environmental issues as an area of concern (Rogers *et al.*, 2008:315; Blewitt, 2008:75). The summit resulted in a number of progressive measures such as the setting up of the Ministries of Environment, which are now globally the legitimate part of the national governance structures (Rogers *et al.*, 2008:318).

Today the WB applies policies and programmes to advance sustainable, trans-disciplinary development which range from environmental assessment, natural habitats, forestry, pest management, safety of dams, physical and cultural resources to involuntary resettlement and indigenous people. It also has two policies on disputed areas and international waterways (Rogers *et al.*, 2008:318).

From the discussion above, it can be assumed that evolution is, and will always be, a feature of every phenomenon (human and conceptual). Linked to the focus of the study, it is clear that as development evolved, the interest remained to ensure that the reduction of risk keep on heading for development gains to the benefit of the current and future generations. Also critical is the fact that MNIs and MDBs emerged and that their philosophy and orientation evolved over time. Also, measures such as the WB’s two policies on disputed areas and international waterways as cited above accentuate the MNIs and MDBs focus on supra-national support and collaboration.

3.7 CONCLUSION

The preceding discussion described the concept of development with reference to its evolving theoretical paradigms and practical applications. It has demonstrated that the quest to address human needs has been supported by various measures which also

evolved as circumstances dictated. Furthermore, the presentation that the current development paradigm (i.e. sustainable development) has been founded on the need for a balance between the social, economic and environmental perspective is of critical importance.

Similarly, authors such as Goran Hyden (cited by Chachage, 1987:7) declared that conditions like the economic matters are the most decisive prerequisites for development to take place. This fundamental point of departure needs rediscovery in relation to the specific materialist and social conditions. By implications, Hyden's view places development as a trans-disciplinary field dependant on a balance between economic, social, institutional governance, environmental, political, environmental factors and the roles and responsibilities of diverse role players to succeed. Based on the analysis of the African situation, Evans (2004:30) demonstrated that the quality of basic governance institutions should be considered the key element of fostering growth.

From an environmental perspective, it can be argued that sustainable development represents a relational concept referring to a series of practices and processes that ensure development not exceeding the planet's ecological capacity (Blewitt, 2008:5). The idea of strong sustainability condition argues that over time there should be no decline in natural capital. This implies that future generations must inherit the same amount of natural resources as previous generations. This perspective is critical for disaster risk management as it extends to the basis of vulnerability reduction or developing resilience from hazards and disasters. Once resilience is achieved, it will contribute to the enhancing of service delivery and poverty reduction as well as guarantee the achievement of sustainable development objectives. This view agrees with the stance that development of a country or region is dependent on the quality and extent of ownership and participation affected people show in order to determine and influence their destiny. Therefore development can be classified as a 'taste-based discourse' given the fact that it should always take place in line with people's taste, preferences, capacities, needs and resources.

Hence, this chapter addressed the objective to trace the evolution of the development concept through the analysis of its philosophical underpinnings and thereby establishing its institutional foundations to inform the institutional collaborative model in the SADC as presented in chapter 8. This review is necessary given the inextricable link between development and disaster risk management.

Flowing from this discussion, the next chapter (chapter 4) explores the evolution of the theory and practices for disaster risk reduction and management. The aim of chapter 4 is then to demonstrate the fundamental linkages between the two disciplines which will be discussed in detail in chapter 5.

CHAPTER 4

THE EVOLUTION OF THE THEORY AND PRACTICES OF THE DISASTER RISK MANAGEMENT AND REDUCTION DISCIPLINE

4.1 INTRODUCTION

The previous chapter outlined the evolution of the development theory and practices to address the research objective on exploring and clarifying the evolution of development as a concept within an international relations context. In this chapter, the evolution of disaster risk management and reduction is explored with the focus on its theory and practices. This is done to cover the research objective on tracing the evolution of the disaster risk management and reduction policy from a multinational perspective as well as its manifestation in implementation practices. Like chapter 2, this chapter also reflects on the role of international institutions in shaping the disaster risk management and reduction discipline.

To realise these objectives, the chapter starts off with an outline of the concept of disaster risk management and reduction. This is done by clarifying the philosophical features of the disaster risk management and reduction discipline. Furthermore, the chapter discusses the various turning points in the evolution of the disaster risk management and reduction discipline. These include the pre-1950 era, the 1950-1999 era and beyond. Further turning points are the critical global mobilisation measures and policy development stages, namely, the International Decade for Natural Disaster Reduction (IDNDR) (1990-1999), the mid-term Review of the IDNDR which culminated in the Yokohama Strategy for a Safer World (1994) and the era of 2000 onwards which concluded in the establishment of the United Nations International Strategy for Disaster Reduction (ISDR) and the subsequent adoption of the Hyogo Framework for Action (HFA) (2005-2015): *Building the Resilience of Nations and Communities to Disasters* (ISDR, 2005a). The chapter further consider the proposed disaster risk management and reduction trajectory for 2015 and ahead when the HFA comes to an end. It concludes with an outline of the role of the UN system in directing the evolution of disaster risk management and reduction discipline.

In addition to realising the above objective, the chapter serves as a foundation for chapter 5 which outlines a comparative analysis of the interfaced evolution between development and disaster risk management and reduction together with the continued role of international institutions in shaping theories and supporting the implementation of these discourses. The chapter also serves as a point of reference for chapter 6 which explores policies and institutional arrangements for disaster risk reduction in the SADC. Thus, this chapter assists the reader to link the evolution and current paradigm of the disaster risk management and reduction function with the present configuration of the SADC policies and institutional arrangements.

It should however be noted that although the chapter applies a timeline to discuss the evolution of the disaster risk management and reduction discipline, the progression should not be viewed as a linear process. This is due to the fact that so many disciplines and professional constituencies contributed (and still contribute) to the understanding of disaster risk management and reduction. Therefore this chapter needs to be read in conjunction with chapter 3 to identify the parallels between the two constructs. These parallels are also further explored in chapter 5.

4.2 GROUNDING THE CONCEPT: EXPLORING DISASTER RISK MANAGEMENT AND REDUCTION

Like any other discipline, before the field and concepts underlying disaster risk management and reduction can be understood, a systematic tracing of its origin, its components and inter-dependencies are necessary. This is due to the acknowledgement of the fact that no one discipline is independent of other disciplines. Studies point out that the field of disaster risk management and reduction has undergone various stages of progression and its evolutionary path is marked by a number of turning points (UNDP, 1992; van Niekerk, 2005; Mangena, O'Brien & O'Keefe, 2011). These turning points are associated with the evolution of other disciplines' thoughts and practices. Research points out that over decades, disciplines such as geography, environmental studies, economics, sociology, public health and planning have contributed significantly to disaster studies (Collins, 2009:2). Within this context, there is widespread consensus that the development and disaster theory and practices are inter-related (UNDP, 1992:17) and, where properly applied, are mutually enhancing.

Systematic research in the disaster discipline has evolved from a complete focus on hazards through to the vulnerability paradigm towards the now propagated resilience

paradigm amid the unprecedented increase in loss of lives and livelihoods as a result of hazards and disaster impacts (adapted from Mangena *et al.*, 2013). The renewed focus on disaster risk reduction which is founded on resilience building as espoused in the global framework for disaster reduction: the Hyogo Framework for Action 2005-2015 (ISDR, 2005a) further consolidated the progression of research in disaster studies. Due to the interchangeable and interconnected use of the terms “disaster risk management” and “disaster risk reduction” this study applies these terms as they are referred to in the source documents to mean the measures for reducing the risk of disasters proactively as well as to respond to and recover from hazards and disasters incidents as they occur. This is based on the fact that, the concept of disasters and the management thereof is still undergoing theoretical and practical remodelling from its founding philosophy of preparedness for response and recovery to a risk reduction focus. The relationship between disasters, development and the effects of the changing climatic conditions must therefore be considered as critical components of the disaster risk reduction equation.

4.3 EXPLORING THE DISASTER RISK REDUCTION AND MANAGEMENT PHILOSOPHY

The concept of disasters and disaster risk management and reduction is difficult to coin in simple and straight-forward terms due to varying perceptions on it. This is because there is no simple way of explaining or describing it. Wisner, Gaillard and Kelman (2012:18) point out that while not all people have a general curiosity, like wanting to know how children acquire a language or the reason some animals hibernate, people that witnessed a disaster or became aware of the destruction and suffering it bring about, often develop inquisitiveness towards the causes for these effects. This implies that the experience of a disaster generates an interest with people to understand disasters. These are often painful experiences. It can even be observed that in South Africa and globally areas with high prevalence of disaster incidents receive higher attention in terms of disaster risk management and reduction capacities (UNDP, 2004:17; Botha *et al.*, 2011:111). This confirms the fact that growing interest in hazards and their effects, poverty and vulnerability and the general growth in knowledge has led to an increased interest in, enquiry on and prioritisation of the disaster question over time.

During the biblical times, disasters were merely explained as *Acts of God's* anger towards his people implying that nothing could be done about them (Mangena *et al.*, 2011). Currently, a more holistic approach focusing on risk and vulnerability has brought about

the concept of risk reduction and disaster risk management (ISDR 2002:17). The subject draws its relevance from earlier contributions and previous practices in the disaster management fields, where traditionally the focus has been on preparedness for response (ISDR, 2002; 2004:15) to the current approach focusing on resilience of nations and communities (ISDR, 2004; 2005a). The adoption of the concept of sustainable development in the late 1980s and the related declaration of the decade 1990 to 1999 as the International Decade for Natural Disaster Reduction (IDNDR) marked a turning point in the perception of disasters and the management thereof. One can therefore argue that this period characterised the meeting of minds between economists, social scientists and environmentalists, who have previously been operating for opposing purposes.

4.4 THE DISASTER RISK MANAGEMENT AND REDUCTION CONTEXT

Smith (2004:1) specifically notes that as the world population grows, more people are exposed to hazards and as people become prosperous, more personal wealth is at risk. The growing gap between rich and poor where a handful of countries with power in politics, trade and culture dominate the world, has in itself, contributed to feelings of alienation and hostility that occasionally find expression in hazards of mass violence. Frazier (1979), Maybury (1986), Ebert (1993) and de Blij (1994)(cited by Wisner *et al.*, 2004:10) point out that until the idea of vulnerability had emerged to explain disasters, the range of views that existed did not deal with how society creates conditions that cause people to face hazards in different ways. It is noted that one approach was unapologetically naturalistic (sometimes termed physicalist) in which all blame is apportioned to 'the violent forces of nature' or 'nature on the rampage'. Other views of 'man [sic] and nature' (e.g. Burton *et al.*, 1978; Whittow, 1980 cited by Wisner *et al.*, 2004:10) involved a more subtle environmental determinism, in which the limits of human rationality and consequent misperception of nature lead to tragic misjudgements in our interactions with it (Pelling, 2001 cited by Wisner *et al.*, 2004:10). Therefore there was a perception of complete lack of control over the event (i.e. Acts of God) (UN and the World Bank, 2010:23).

Various studies point to the fact that the ideological standpoints about disasters changed over time resulting in the evolution in thought and practices for managing disaster risk (Twigg, 2004; Wisner *et al.*, 2004; UNDP, 2004; Van Niekerk, 2005; Smith & Petley, 2007; Copolla, 2007). In this context, van Niekerk (2005:46) concludes that authors from a wide

array of different disciplines with varied direct involvement in situations of disasters realised that the occurrence of disasters (be it natural or human induced) can, and should be addressed through a change of focus. He contends that such a change of focus should be directed at addressing the root causes of disaster (risk) mostly through developmental interventions. Within this context, Smith (2004:4) confirms that the interpretation and understanding of hazards and disasters has changed significantly through history and is explored in the following section.

4.4.1 The pre-1950 era

The continued evolution of human enquiry and science about the world system and its dynamics implied that people began to question various aspects about disasters and their effects. This demonstrated a move away from a passive “Acts of God” perception about hazards and disasters to an active scrutiny of causes and effects. In the same way Botha *et al.*, (2011:17) points out that some of the earliest recorded ideas on disaster and risk within the social sciences were expressed by the likes of Carr (1932) and Sorokin (1942) who questioned the influence of catastrophe on social patterns. According to Covello and Mumpower (cited by Smith, 2004:4), the pre-1950 era characterises the existence of a concern for earthquakes and famine since the earlier times. In the past, these great catastrophes were seen as ‘Acts of God’ (Smith & Petley, 2009:4; Twigg, 2004:19). This perspective suggests that damaging events were seen as a divine punishment for moral misbehaviour, rather than a consequence of human exploitation of the earth. It encouraged a general acceptance of disasters as external, inevitable events. In some cases, like that of frequent flooded land, communities made an effort to avoid such sites. Later still, attempts were made to control the immediate causes and kicked off with the causes of floods. The first river dams and levees were constructed in the Middle East over 4000 years ago whilst attempts to defend buildings against earthquakes date back at least 2000 years (Smith & Petley, 2009:4).

Smith (2004:4) further notes that the growth of science and engineering over the following centuries produced an increase in effective structural responses. By the end of the nineteenth century, new measures like weather forecasting could be deployed against certain hazards. However, there was still little understanding between hazards, the environment and people. A progression from the era 1950 onwards sheds light on the development trajectory of the disaster risk management and reduction as provided in the section below.

4.4.2 The era 1950-1990

The mid-20th century represents the emergence of global standards and organised efforts to address preparedness (Copolla, 2007:4). This was due to an improved understanding of hazards and disasters. According to White (cited by Smith, 2004:4), the 1950-1990 era grasped that natural hazards are not physical phenomena outside of society but are linked to countless individual decisions to settle and develop hazard-prone land. White's contribution was to introduce a social perspective (human ecology) into hazard mitigation and to question whether truly 'natural' hazards really exist. A new field of hazards research began to emerge and differences in approach were soon depicted. Whilst earth scientists – geologists, meteorologists, hydrologists and civil engineers – exerted to predict extreme natural events and construct defensive control works, geographers and others explored a wider programme of loss mitigation through human adjustments such as disaster aid and better land planning (Burton & Kate, 1964 cited by Smith, 2004:4). Many industrialised nations began to establish civil defence systems incorporating aspects like detection systems, early warning alarms, hardened shelters, search and rescue teams and local and regional coordinators (Copolla, 2007:4). Most countries also established legal frameworks to support their disaster management objectives. The subsequent recognition of 'man-made' or technological hazards, notably environmental pollution, described as a 'quasi-natural' hazards strengthened White's approach.

According to Smith (2004:4), this hazards-based viewpoint which applies a blend of structural and non-structural measures, became widely accepted. Under the inspiration of White, books from the North American research school were consolidated in the 1970s as the *behavioural paradigm*. In Western countries most civil defence organisations shifted their focus officially from a corporate image to emergency management instead of underlining a war-related drive. Civil defence was not about risk management as such – it did not attempt to reduce threat of war, but rather sought to protect the state and, to a lesser extent, the people (Handmer & Dovers, 2007:12).

Smith (2004:4) notes that at the same time major disasters in less industrialised parts of the world encouraged more radical interpretations. The focus began to shift from hazards to disasters and from the more developed countries (MDCs) to the less developed countries (LDCs). Attention was now paid on the relationships between underdevelopment and disaster occurrence in Third World countries where factors such as a colonial legacy and economic dependency seemed to increase the impact of natural hazards. According to Blaikie *et al.*, (1994 cited by Smith, 2004:4) human vulnerability as a characteristic of

the poorest and the most disadvantaged people emerged as an important concept in disaster management. To illustrate the point, Smith (2004:4) notes that early signals of technological hazards were the Flixborough (UK) explosion in 1974, the release of dioxin at Seveso (Italy) in 1976 and the nuclear incident at Three Mile Island (USA) in 1979. These technological hazards have led to a greater prominence of 'man-made' hazards. He further points out that several industrial accidents, including a major disaster at Bhopal (India) positioned 1984 as another turning point towards disaster risk management and reduction.

Alexandra (1997) (cited in Smith, 2004:6) points out that by the late twentieth century, hazards research was fragmented amongst many academic disciplines. Maleti *et al.*, (cited in Smith, 2004:6) grouped these theoretical perspectives into two main camps. Most physical scientists continued with an agent specific, hazard-based approach using a variety of technical solutions plus the non-technical responses derived from human ecology.

In contrast to the structural approach, Quarantelli (1998 cited by Smith, 2004:6) points out that social scientists, such as sociologists and anthropologists, drew on the structural paradigm and adopted a cross-hazard, disaster-based view of failings within social systems and the need to improve human responses to all types of mass emergency. Other writers such as Blaikie *et al.*, (cited by Pelling, 2003:9) also made the contribution of bringing social science analysis closer to the inputs of physical science, partly echoing the human ecology school with a firm belief in the interdependence of human and physical systems. Following this disposition, Smith (2004:7) notes that practical hazard mitigation became the task of the International Decade for Natural Disaster Reduction (IDNDR) and the United Nations organised this from 1990-1999 (UN, 1987; 1994a; 1994b) as explored in the next section.

4.4.3 The International Decade for Natural Disaster Reduction: 1990–1999 and its 1994 mid-term review

During the 1990s there has been a convergence of thinking and to a limited degree practice, concerning natural hazards, people's vulnerability and disasters (Wisner *et al.*, 2004:29). As an advocacy to this paradigm, Dr Frank Press (then President of the US National Academy of Sciences) proposed in 1984 with his address to the meeting of the American Geography Society in Washington D. C. that the International Decade for Natural Disaster Reduction (1990 – 1999) as a combined international effort should seek

to apply more scientific knowledge and promote a wider use of technology for the prevention of natural disasters (Jeggle, 2001:327).

As a positive development towards this vision, the United Nations (UN) General Assembly declared on 11 December 1987 the upcoming 1990s as the “International Decade for Natural Disaster Reduction” (IDNDR) (Copolla, 2007:5; UN, 1987; SBS, 2006). According to UN (1987) and SBS (2006:89), the annex of the UN Resolution 42/169 of the General Assembly of the United Nations on the 96th plenary meeting of the International Decade for Natural Disaster Reduction which was held on 11 December 1987, states: “The objective of the IDNDR is to reduce through concerted international action, especially in developing countries, the loss of life, property damage and social and economic disruption caused by natural disasters such as earthquakes, windstorms, tsunamis, floods, landslides, volcanic eruptions, wildfires, grasshopper and locust infestation, drought and desertification and other calamities of natural origin” (UN, 1987).

As described above, concerns about the rising disaster losses which threatened the sustainability of further population growth and wealth creation in parts of the world drove this global programme. The National Research Council (1987) (cited by Burton, Kates & White, 1993:254) points out that these concerns further stemmed from progressively more detailed journalist coverage of the great disasters of the time as well as from rising confidence on the part of natural scientists and engineers that their research contributions could reverse the escalation of human losses as a result of natural events. This action was taken to promote international coordinated efforts to reduce material losses and social and economic disruption caused by natural disasters, especially in developing countries. Copolla (2007:5) points out that the mission of the IDNDR was to improve each United Nations member country’s capacity to prevent or diminish adverse effects from natural disasters and to establish guidelines for applying existing science and technology to reduce the impacts of natural disasters.

On 22 December 1989, through UN Resolution 44/236, the UN General Assembly has set forth the goals envisaged to be achieved during the IDNDR. These goals are, to:

- (i) improve each country’s capacity to mitigate the effects of natural disasters expeditiously and effectively, paying special attention to assisting developing countries in the assessment of disaster damage potential and in the establishment of early warning systems and disaster-resistant structures when and where needed;

- (ii) devise appropriate guidelines and strategies for applying existing scientific and technical knowledge, taking into account the cultural and economic diversity among nations;
- (iii) foster scientific and engineering endeavours aimed at closing critical gaps in knowledge in order to reduce loss of life and property;
- (iv) disseminate existing and new technical information relating to measures for the assessment, prediction and mitigation of natural disasters; and
- (v) develop measures for the assessment, prediction, prevention and mitigation of natural disasters through programmes of technical assistance and technology transfer, demonstration projects as well as education and training tailored to specific disasters and locations plus to evaluate the effectiveness (UN, 1989).

UNESCO (2000), cited by van Niekerk (2005:54), points out that through the above goals the IDNDR has set targets for all countries to be reached by the year 2000. The targets contained in the United Nations (1989) (cited by Coppolla, 2007:6) which are relevant to this study in order to present a collaborative model for DRM in the SADC, revolved around the fact that all participating governments would, at the national level:

- (i) formulate national disaster mitigation programmes as well as economic, land use and insurance policies for disaster prevention, and furthermore, particularly in developing countries, fully integrate the programmes into their national development programs;
- (ii) participate during the IDNDR in concerted international action for the reduction of natural disasters and, as appropriate, establish national committees in cooperation with the relevant scientific and technological communities and other concerned sectors with a view to attain the objectives and goals of the decade;
- (iii) encourage their local administrations to take appropriate steps to mobilise the necessary support from the public and private sectors and to contribute to achieving the purpose of the decade;
- (iv) keep the Secretary-General informed of their countries' plans and of assistance that could be provided so that the UN could become an international centre for the exchange of information and the coordination of international efforts concerning activities in support of the objectives and goals

of the decade, thus enabling each state to benefit from other countries' experience;

- (v) take measures, as appropriate, to increase public awareness of damage risk probabilities and the significance of preparedness, prevention, relief, and short term recovery activities with respect to natural disasters and to enhance community preparedness through education, training and other means, taking into account the specific roles of the news media;
- (vi) pay due attention to the impact of natural disasters on healthcare, particularly to activities to mitigate the vulnerability of hospitals and healthcare centres, as well as the impact on food storage facilities, human shelter and other social and economic infrastructure; and
- (i) improve the early international availability of appropriate emergency supplies through the storage or earmarking of such supplies in disaster prone areas.

In addition to calling upon all governments to realise the policy measures as outlined, the resolution tasked the Decade with engaging an International Framework for Action to be composed of scientific and technological institutions, financial institutions including banks and insurance companies, industrial enterprises, foundations and other non-governmental organisations to fully support and participate in the programmes and activities of the Decade which is to be coordinated by a small secretariat located in the Office of the United Nations Disaster Relief Coordinator (UNDRO) in Geneva Switzerland (Jeggler, 2001:327).

With specific relevance to this study, the International Framework of Action for the International Decade for Natural Disaster Reduction called for a number of measures to reach the goals set for the Decade, including that:

- i. the United Nations Resident Co-ordinators (UNRCs) and the Field Representatives of the United Nations (UNFRs) system should work closely and in a co-ordinated manner with governments to achieve the objective and goals of the Decade; and
- ii. that the Regional Commissions (RCs) need to play an active role in implementing the activities of the Decade, considering that natural disasters often transcend national boundaries.

The first half of the implementation of the IDNDR was however met with mixed reactions with some observers expressing dissatisfaction with the top-down, technocratic approach to disasters that had characterised the first half of the decade's activities (Wisner *et al.*, 2004:21). The IDNDR's mid-decade conference was then held in Yokohama, Japan in May 1994 to review and assess the progress of the implementation of IDNDR related measures for reaching the goals set for the Decade (Copolla, 2007:6; UN, 1994b).

4.4.3.1 IDNDR mid-term review: The Yokohama Strategy and Plan of Action for a Safer World

From the founding UN General Assembly Resolution on the IDNDR (UN Resolution 42/169 of 03 February 1987), it was the intention of the UN member states to hold a mid-term review of the implementation of the targets set for the decade (UN, 1987; UN, 1994b). Responding to the request of the UN General Assembly in its Resolution 48/188 of 1993 (UN, 1994b), the United Nations organised the "World Conference on Natural Disaster Reduction" in May 1994. The objectives of the conference as spelled out in the resolution were to:

- (i) review the accomplishments of the Decade at national, regional and international levels;
- (ii) devise and map a programme of action for the future;
- (iii) exchange information on the implementation of the Decade programmes and policies; and
- (iv) increase awareness of the importance of disaster reduction policies.

The Yokohama Message began to take on board the notion of vulnerability, the social side of the equation, as distinct from the side of natural hazards (Wisner, 2003:2). The mid-term review was an occasion where UN member states met at the World Conference on Natural Disaster Reduction in Yokohama, Japan to assess the progress attained by the IDNDR (Copolla, 2007:6). It highlighted the growing importance of engaging a much broader community of people interested in hazards awareness and risk management practices to extend beyond traditional disaster management or civil protection authorities. The importance of socio-economic vulnerability as a rapidly increasing factor in risk in most modern societies, underlined the necessity of more efforts to encourage the direct participation of local communities in hazards and risk reduction activities.

The views of the conference participants were conveyed through the resulting *Yokohama Strategy and Plan of Action for a Safer World* which included specific guidelines for natural disaster prevention, preparedness and mitigation applicable to community, national and regional levels of responsibility (UN, 1994b). Key to the outcomes of the conference was the adoption of the principles, strategy and Plan for Action for disaster reduction.

The key principles underscoring disaster reduction as outlined by ISDR (2002) and (ISDR, 2004:18) are stated below:

- (i) Risk assessment is a required step for the adoption of adequate and successful disaster reduction policies and measures.
- (ii) Disaster prevention and preparedness are of primary importance in reducing the need for disaster relief.
- (iii) Disaster prevention and preparedness should be considered integral aspects of development policy and planning at national, multilateral and international levels.
- (iv) The development and strengthening of capacities to prevent, reduce and mitigate disasters is a top priority area to be addressed so as to provide a strong basis for follow-up activities to the IDNDR.
- (v) Early warnings of impending disasters and their effective dissemination are key factors to successful disaster prevention and preparedness.
- (vi) Preventive measures are most effective when they involve participation at all levels from the local community through the national government to the regional and international level.
- (vii) Vulnerability can be reduced by the application of proper design and patterns of development focused on target groups through appropriate education and training of the whole community.
- (viii) The international community accepts the need to share the necessary technology to prevent, reduce and mitigate disaster.
- (vx) Environmental protection as a component of sustainable development consistent with poverty alleviation is imperative in the prevention and mitigation of natural disasters.

- (x) Each country bears the primary responsibility to protect its people, infrastructure and other national assets from the impacts of disasters. The international community should demonstrate strong political determination required to make efficient use of existing resources, including financial, scientific and technological means in the field of disaster reduction, bearing in mind the needs of the developing countries, particularly the least developed countries.

According to Wisner *et al.* (2004:325) the conference provided an opportunity for countries to focus on disaster risk reduction as it was the first international conference seriously considering the social aspects of vulnerability. Jeggle (2001:328) and ISDR (2005a:2) note further that as an important contribution of the Decade, requirements were specified to be accomplished through bi-and multi-lateral arrangements for international cooperation. At the same time they mentioned the significant potential to better exploit existing resources and established practices for more effective disaster risk reduction.

Pelling (2003:51) identifies three kinds of progress that was made during the IDNDR, notably diffusion of technical knowledge, support for institution building as well as financial assistance. It is however noted that the IDNDR period lacked a moral imperative to mobilise political will, referring to a stage when the world at large agrees to standards of responsibility by nation-states towards their citizens in the form of treaties, covenants and other agreements.

On the implementation of the set targets, UNESCO (2000, cited by van Niekerk, 2005:54) points out that the IDNDR envisaged that all countries would have conducted national risk assessment, developed national and/or local prevention plans and implemented global, regional, national and local warning systems. UN (1987; 1989) and Van Niekerk (2005:54) further indicate that the IDNDR assumed that if different governments show political will and conduct it would assist in achieving the above goals and specific targets, specially bearing in mind the needs of developing countries. Also worth noting is the fact that the IDNDR dealt only with 'natural hazards (Wisner *et al.*, 2004 cited by SBS, 2006:89) with drought excluded in the first drafts (SBS, 2006:89).

Upon analysis of the impact of the Decade, Jeggle (2001:328) notes that the World Conference on Natural Disaster Reduction held in Yokohama, Japan in May 1994 gave recognition of the IDNR inspired global awareness within the international political arena. Bates, Bynes and Quarantelli (1991) cited by Van Niekerk (2005:54) notes that a wider

global interest in the economic and social consequences of natural disasters developed as the decade progressed. This indicated a much broader interest in issues of hazards awareness and risk management practices. The importance given to socio-economic vulnerability as a rapidly increasing factor of risk in most societies, underlined the need to encourage the wider participation of local communities in hazards and risk reduction activities (ISDR, 2002 cited by Van Niekerk, 2005:54).

Wisner *et al.* (2004:21) note that during the second half of the IDNDR, considerable efforts were made to involve NGOs and communities. A popular magazine, *Stop Disasters*, was also published. Annual themes for 'World Disaster Day' included social issues for example a focus on women in disasters. The most important development during the last three years of the IDNDR was to also turn towards cities where an ambitious pilot programme for urban earthquake risk assessment and mitigation was run from 1997 to 2000.

According to Wisner *et al.*, (2004:325) the Decade ended with the IDNDR Programme Forum held in Geneva in July 1999. It is noted that one of the objectives of the forum went far beyond the Yokohama Message expressing the intention to collect accurate data for the analysis of the socio-economic impacts on societies as a result of disasters. The forum also established an important link between poverty reduction and (disaster risk) mitigation. To that effect, the programme summary reminded delegates that: "the people most vulnerable to disasters are the poor, who have very limited resources to avoid losses. Environmental degradation resulting from poverty exacerbates disaster impacts..... Innovative approaches are needed; emphasis should be given to programmes to promote community level approaches" (IDNDR, 1999 cited by Wisner *et al.*, 2004:325).

Hence, efforts were made to take the disaster risk reduction agenda beyond the Decade itself in order to ensure a follow-up in the actions towards a safer world in 2000 onwards (SBS, 2006:95). As the policy direction and implementation discourses characterising the IDNDR was explored, it is critical that the policy direction and trajectory characterising 2000 onwards as precipitated by the Decade be unpacked to demonstrate the systematic evolution that characterises disaster risk reduction.

4.4.4 The era: 2000 onwards

Emerging from the IDNDR, Smith (2004:7) notes that the era 2000 and onwards is characterised by a continued growth in scale and diversity of research on hazards whereof many of these ideas stemmed from the social science community. According to

White *et al.*, 2001 (cited by Smith, 2001:7), this is an era where there is an apparent continuation in the shift in emphasis from hazards to disaster risk while the spotlight on human vulnerability is maintained. However important differences still remained (Smith, 2004:7). According to Smith (2004:7), the strength of the disaster-based approach lies in refining the concept of poverty and vulnerability to help protect the most disadvantaged members of society in the MDCs as well as the LDCs. Smith (2004:7) explains this through the example that human vulnerability analysis and mapping is undertaken alongside more quantitative risk surveys and geographical assessments, although the structural school sometimes lacked practical risk reduction measures. He also notes that the hazards-based school had its own weaknesses due to the fact that it (the hazards-based school) has neglected environmental quality in the past and was slow to recognise the role of global forces like poverty and climate change in rising human vulnerability. Lessons drawn from the IDNDR, taking into account these and other views, provided a critical foundation for the inception of the strategy beyond 2000. To this end, SBS (2006:99) concludes that the IDNDR cultivated fertile soil for the announcement of its successor in 2000, namely the International Strategy for Disaster Reduction (ISDR).

4.4.4.1 *The International Strategy for Disaster Reduction (ISDR)*

As previously discussed, the IDNDR: 1990 – 1999 period, presented a decade dedicated to promoting solutions to reduce risk from natural hazards. Noteworthy however is the fact that, at the doorstep of the new millennium, the decade ended with more deaths from more disasters, involving greater economic losses and more human dislocation and suffering than at its start (ISDR, 2002:5). In line with this observation, the review of progress made with the implementation of the Yokohama Strategy identified major challenges for the coming years in ensuring more systematic action to address disaster risk in the context of *sustainable development* and in building resilience through enhanced national and local capacities to manage and reduce risk. Consequently, it stresses the importance of disaster risk reduction being supported by a more pro-active approach to inform, motivate and involve people in all aspects of disaster risk management and reduction in their own local communities. It also highlighted the scarcity of resources allocated specifically from development budgets for the realisation of risk reduction objectives, either at the national or the regional level or through international cooperation and financial mechanisms. At the same time it notes the significant potential to better exploit existing resources and established practices for more effective disaster risk reduction (UN, 2005:4).

The ISDR is the focal point in the UN system to promote links and synergies between, and for the coordination of disaster reduction activities in the socio-economic, humanitarian and development fields as well as to support policy integration (ISDR, 2002 cited by SBS, 2006:100). As the successor to the IDNDR in 2000, the International Strategy for Disaster Reduction (ISDR) proceeded with the emphasis on the protection against hazards, reducing vulnerability and building resilient communities (ISDR, 2002 cited by van Niekerk, 2005:60).

As pointed out above, this resilience building focus is based on the acknowledgement that the measures that the IDNDR has put in motion are irreversible and beneficial for political and social processes. Thus, the aspects that the ISDR will further build on are to foster more awareness, to create more public commitment, to establish more knowledge and to embark on partnerships to implement various risk reduction measures at all levels (ISDR, 2002:5). It also seeks to advance multidisciplinary advocacy for wider professional understanding of disaster risk reduction practices. This could be accomplished by operating through political, professional, institutional and public collaboration. To this end, the ISDR serves as an international information publishing house on disaster reduction, developing awareness campaigns and producing articles, journals and other publications and promotional materials related to disaster reduction (ISDR, 2002 cited by SBS, 2006:100). The ISDR combines the strengths of many key players through the Inter-Agency Task Force on Disaster Reduction (IATF/DR) and the Inter-Agency Secretariat of the ISDR (ISDR) (SBS, 2006:100).

The IATF/DR, supported by the secretariat, has formulated a framework for action for the implementation of the ISDR with four objectives namely:

- (i) to increase public awareness to understand risk, vulnerability and disaster reduction;
- (ii) to promote the commitment of public authorities to disaster reduction;
- (iii) to stimulate multidisciplinary and inter-sectoral partnerships, including the expansion of risk reduction networks; and
- (iv) to improve scientific knowledge about the causes of natural disasters as well as the effects of natural hazards and related technological and environmental disasters on societies (ISDR, 2002:20; Copolla, 2007:495).

The UN General Assembly specifically mandated two additional functions to the ISDR secretariat, which are:

- (i) to continue international cooperation to reduce the impact of El Niño and other climate variations; and
- (ii) to strengthen disaster reduction capacities through the development of early warning systems.

A framework for disaster reduction as discussed above is depicted in the figure below.

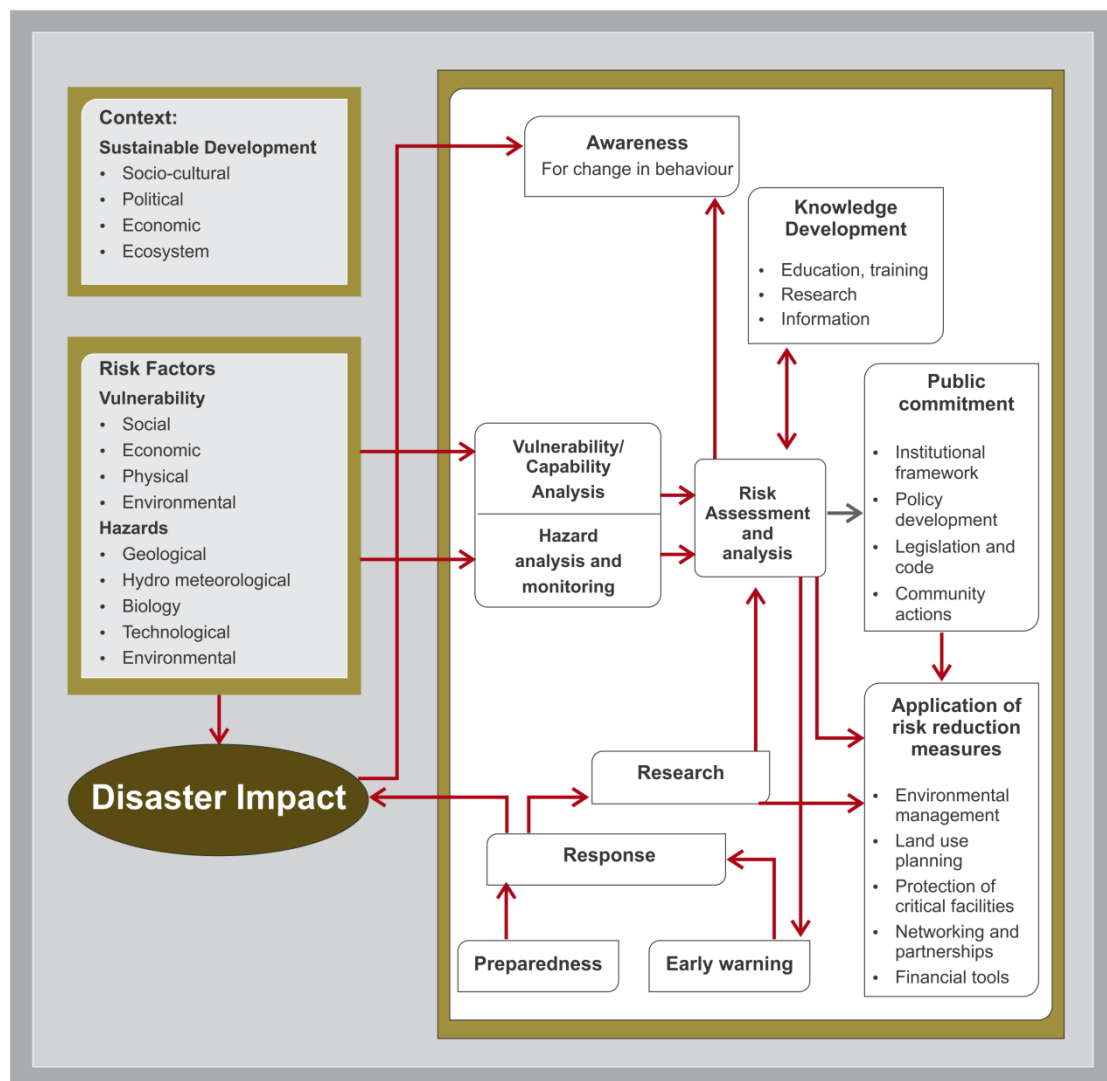


Figure 4.1: A framework for disaster risk reduction

(ISDR, 2004:15)

The framework for action outlines five areas of common concern to be implemented in an integrated manner in pursuit of the ISDR objectives.

Those areas include:

- (i) incorporating the recognition of the special vulnerability of the poor in disaster risk reduction strategies;
- (ii) environmental, social and economic vulnerability assessment with special reference to health and food security;
- (iii) ecosystems management, with particular attention to the implementation of Agenda 21;
- (iv) land use management and planning, including appropriate land in at risk rural, mountain and coastal areas as well as unplanned urban areas in megacities and secondary cities; and
- (v) national, regional and international legislation with respect to disaster reduction.

In line with its founding principles, the ISDR served as the organising body for the second World Conference on Disaster Reduction (WCDR) held in January 2005. It is on this basis that a discussion on the co-evolution of development and disaster risk management policy and practices would be incomplete without an exploration of the above mentioned conference.

4.4.4.2 *The 2005 World Conference on Disaster Reduction*

The United Nations General Assembly convened a World Conference on Disaster Reduction through its resolution 58/214 dated 23 December 2003. This Conference was to be held in Kobe, Hyogo Japan from 18 to 22 January 2005. The conference was meant to reflect on the progress of disaster risk reduction since the Yokohama conference as well as to plan for the next ten years (UN, 2003). Under the guidance of the United Nations General Assembly, it was the intention of the international community that the conference should emerge with a concrete framework that could establish a direction for disaster risk reduction in a manner that supports poverty reduction, service delivery and sustainable development programmes. The primary focus of this study, namely to develop an institutional collaborative model for disaster risk management for the SADC, was also founded on the need to foster concrete international (and regional) collaborative

mechanisms to support global and regional efforts for disaster risk management (reduction).

To this effect, one of the five (5) statements of the Preamble for the Hyogo Declaration (UN, 2005) declares:

“We are determined to reduce disaster losses of lives and other social, economic and environmental assets worldwide, mindful of the importance of international cooperation, solidarity and partnerships, as well as good governance at all levels”

To this effect, five specific objectives accentuated the WCDR 2005, namely:

- (i) to conclude the review of the Yokohama Strategy and its Plan of Action with a view to updating the guiding framework on disaster risk reduction for the twenty-first century;
- (ii) to identify specific activities aimed at ensuring the implementation of relevant provisions of the Plan of Implementation of the World Summit on Sustainable Development (“Johannesburg Plan of Implementation”) on vulnerability, risk assessment and disaster management;
- (iii) to share best practices and lessons learned to further disaster risk reduction within the context of sustainable development and identify gaps and challenges;
- (iv) to increase awareness of the importance of disaster risk reduction policies, thereby facilitating and promoting the implementation of those policies; and
- (v) to increase the reliability and availability of appropriate disaster related information to the public and disaster management (risk) agencies in all regions, as set out in the relevant provisions of the Johannesburg Plan of Implementation (UN, 2003:2-3).

Throughout the WCDR 2005, parallel thematic meetings were organised to cover technical and specialised operational experience issues in accord with the Framework for Disaster Reduction which provided the basic structure for the WCDR. These broad subject areas were clustered under five themes. Previously, various role players through different processes also identified these five themes to be priority areas for the next ten

years. The role players were ISDR partners involved in organising thematic clusters, while the processes include the Review of the Yokohama Strategy and Plan for Action and consultation of members of the Inter-Agency Task Force for Disaster Reduction.

The clusters in question were:

- (i) governance: Institutional and policy frameworks for risk reduction;
- (ii) risk identification, assessment, monitoring and early warning;
- (iii) knowledge management and education;
- (iv) reducing underlying risk factors; and
- (v) preparedness for effective response and recovery.

Linked to the focus of the clusters, one of the eight points contained in the Hyogo Declaration (UN, 2005) acknowledges the urgent need to enhance the capacity of the disaster-prone developing countries to reduce the impact of disasters through strengthened national efforts and enhanced bilateral, regional and international cooperation, including through technical and financial assistance. This is in particular relevant to the least developed countries, small islands and developing states. To this end, the WDRC emerged with the key outcome of adopting the *Hyogo Declaration* and the *Hyogo Framework for Action (HFA) 2005-2015: Building the Resilience of Nations and Communities to Disasters*. This declaration and framework for action aims to define a new plan of action for the years 2005-2015 to implement disaster risk management (reduction) in support of the realisation of the Global Development Agenda as spelled out in the Millennium Development Goals and discussed in section 3.3.5 below.

The UN General Assembly noted that the First Global Platform for Disaster Reduction which was held from 5 to 7 May 2007 under Resolution 62/192 dated 19 December 2007 (UN, 2007) aimed to support global efforts on the implementation of the HFA. The Global Platform for Disaster Reduction (GPDRR) takes place every two years and serves as the global forum to assemble the disaster risk reduction community to review the progress on disaster risk reduction efforts globally with a view to accelerate world-wide momentum on disaster risk reduction.

The UN Resolution 62/192 mandated the global platform to:

- (i) assess progress made in the implementation of the Hyogo Framework for Action 2005-2015;

- (ii) enhance awareness of disaster risk reduction;
- (iii) share experience and lessons from good practices; and
- (iv) identify remaining gaps and recommend targeted action to accelerate national and local implementation (UN, 2007).

The first (2007), second (2009) and third (2010) sessions of the Global Platform have seen progressive participation from more than 163 governments and 162 organisations. The ISDR Secretariat, later named as the United Office for Disaster Risk Reduction, is responsible for coordinating the organisation of the Global Platform and supporting the regional platforms and Ministerial meetings on disaster risk reduction.

Aligned to the mandate of the GPDRR, the ISDR supported the formation and operation of regional and national platforms for disaster risk reduction. These are forums aimed at gathering regional and national disaster risk reduction stakeholders respectively to share experiences on the implementation of disaster risk reduction/management as provided for under regional and national legal frameworks.

It is also worth mentioning that the processes leading to the adoption of the HFA during the WCDR in 2005 (UN, 2005) were also characterised by regional, sub-regional and national efforts to institutionalise disaster risk reduction. To this end, the SADC has adopted the SADC Multi-Sectoral Disaster Risk Management Strategy 2001 (SADC, 2001b) while the African Union adopted the Africa Regional Strategy for Disaster Reduction 2004 (AU & NEPAD, 2004a; AU & UNISDR, 2004a). During this developmental period, South Africa also adopted the White Paper on Disaster Management (South Africa, 1999), Disaster Management Act 2002 (Act 57 of 2002) (South Africa, 2003) and the National Disaster Management Framework 2005 (South Africa, 2005). In the South African context, the Disaster Management Act 2002 (South Africa, 2003) calls for the establishment of a National Disaster Management Advisory Forum (NDMAF). In 2007, the NDMAF was recognised as a focal point for disaster reduction in South Africa, and serves as a body in which national, provincial and local government and other disaster (risk) management role players consult one another and co-coordinate actions on matters relating to disaster (risk) management (South Africa, 2003). A detailed discussion of these frameworks follows in chapter 5.

It is also necessary to mention that there have been attempts at regional and sub-regional levels in Africa to ensure that the regional and sub-regional frameworks align to the provisions of the HFA. This is done through the review of the content (SADC, 2010b) and

the adoption of Implementation Plans aligned to the global priorities as outlined under the HFA Priorities for Action 2005-2015.

The HFA Priorities for Action as adopted in 2005 (UN, 2005) are to:

- (i) ensure that disaster risk reduction is a national and local priority with an institutional basis for implementation;
- (ii) identify, assess and monitor disaster risks and enhance early warnings;
- (iii) use knowledge, innovation and education to build a culture of resilience and safety at all levels;
- (iv) reduce the underlying risk factors; and
- (v) strengthen preparedness for effective response at all levels (UN, 2005).

Some time has passed from the time of implementation of the HFA. Three Global Platforms for Disaster Reduction have already been held since the adoption of the Framework for Action. Therefore, on this basis, an exploration of the HFA will not be complete without a reflection on the Mid-Term Review of its implementation as listed during the 3rd Global Platform for DRR in 2010. This is also necessary as some scholars hold the opinion that the Hyogo Framework for Action (UN, 2005) failed dismally in linking the Kobe outcomes with the goals and targets set out in the Millennium Development Goals (Walker & Wisner, 2005 cited by van Niekerk 2005:63). The Mid-Term Review will therefore provide lessons for better implementation of disaster risk reduction/management as an integral element of sustainable development.

4.4.4.3 *The Mid-Term Review of the Implementation of the Hyogo Framework of Action 2005-2015*

It is generally agreed that the HFA has provided a clear agenda and route map for the implementation of disaster risk reduction (management) as a concern for sustainable development. While there is general consensus on the importance of HFA to direct the disaster risk reduction (management) agenda globally through the global, regional and national mechanisms, the ability to quantify and qualify its impact depends on the review of its implementation. To this effect, the HFA calls for the review of the implementation of the Framework (ISDR, 2005a:14).

According to ISDR (2011:14), the Mid-Term Review became a broad strategic review of the HFA as a strategic instrument to guide global and national efforts for the

implementation of disaster risk reduction (management) as a concern for sustainable development. It is therefore not meant to be an evaluation of the state of disaster risk reduction worldwide or a quantitative evaluation of the implementation of the HFA to date.

In 2008, the UN Secretary General made an announcement to the UN General Assembly to put the HFA Mid-Term Review process in motion. The second Session of the Global Platform held in June 2009, initiated the Mid Term Review (MTR) for 2010 (UN, 2010:1).

The objective of the review was:

- to provide a critical analysis of HFA implementation over the first five years of its existence with a view to inform its continued implementation through 2015 and to provide initial thinking about any future international framework on disaster risk reduction (management) that would follow it beyond 2015 (UN, 2010:1).

Important lessons were learned from the review of the implementation for the HFA and necessary to guide further implementation of the HFA. In line with the focus of this research, only those lessons relating to regional level progress with the implementation of the Framework are summarised. ISDR (2011:30) points to the fact that HFA has brought about a significant momentum for change at the regional level. It is observed that given the relatively uncontroversial nature of the topic, regional and sub-regional cooperation around disaster risk reduction has been easier compared to similar collaborations in other fields. Indirectly, this also had a positive impact on countries' relationships at the sub-regional and regional levels. Most critical is the fact that in this area initiatives are critical for the development of national policy and practice as well as to support the broader South-South cooperation initiatives. This cooperation will also be important to address cross-boundary risks in a joint and coordinated manner. These regional collaboration initiatives have yielded positive results for the benefit of the affected regions as discussed in Chapter 4.

The review concluded with the identification of three strategic areas in need of further reflection namely:

- (i) the need to implement HFA strategically and holistically (ISDR, 2011:43);
- (ii) improved local level implementation of the HFA (ISDR, 2011:46); and

- (iii) integrating climate change within the planning and implementation of disaster risk reduction programmes (ISDR, 2011:50).

Alongside the Mid-Term Review of the implementation of the HFA, the second United Nations Global Assessment Report (GAR) (UN, 2011a) was also compiled under the auspices of the ISDR. The key lessons drawn from the GAR points to the fact that while the primary responsibility for reducing disaster risks rests within individual countries, progress also depends on international cooperation to address climate change and support adaptation. This is particularly the case in developing countries where risk is concentrated. In highly vulnerable, low-income countries, DRM and adaptation financing should be used to strengthen risk governance capacities to leverage mainstream development investment and help meet the Millennium Development Goals. To this end, the GAR proposes four (4) critical areas for achieving this, that is:

- addressing global risk drivers;
- taking responsibility for risk;
- leveraging existing development instruments; and
- strengthening risk governance capacities (see Global Assessment Report 2011) (UN, 2011a:149).

The report proposes a framework founded on three layered key elements for successful disaster risk management and reduction across governance and development sectors as depicted in table 4.1 below. The key elements for successful disaster risk management and reduction across governance and development sectors as identified in the Global Assessment Report on Disaster Risk Reduction are outlined hereunder.

Table 4.1: Key elements of successful DRM as per GAR

TAKE RESPONSIBILITY FOR RISK

Invest in Risk Reduction	Take Responsibility	Anticipate and share risks that cannot be reduced
Use cost-benefit analysis to target the risks which can be most efficiently reduced and which produce positive economic and social benefits	Develop a national disaster inventory system to systematically monitor losses and assess risks at all scales using probabilistic models	Invest in risk transfer to protect against catastrophic loss, anticipate and prepare for emerging risks that cannot be modelled

INTEGRATE DRM INTO EXISTING DEVELOPMENT INSTRUMENTS AND MECHANISMS

Regulate urban and local development	Protect ecosystems	Offer social protection	Use national planning and public investment systems
Use participatory planning and budgeting to upgrade informal settlements, allocate land and promote safe building	Employ participatory valuation and management of ecosystem services and mainstreaming of ecosystems approaches in DRM	Adapt conditional cash transfer and temporary employment schemes, bundle micro-insurance and loans, consider social base and poverty line	Include risk assessments in national and sector development planning and investment

BUILD RISK GOVERNANCE CAPACITIES

Show political will	Share power	Foster partnerships	Be accountable
Place policy responsibility for DRM and climate change and adaptation in a ministry with political authority over national development planning and investment	Develop decentralised, layered functions, use the principle of subsidiary and appropriate levels of devolution including to budgets and civil society	Adapt a new culture of public administration supportive of local initiatives and based on partnership between government and civil society	Ensure social accountability through increased public information and transparency, use performance based budgeting and rewards

(UN, 2011a:151)

An analysis of the strategic recommendations of the HFA Mid-Term Review and the GAR indicates commonalities in the proposed strategic measures necessary for the enhanced implementation of HFA founded on three key pillars, namely:

- (i) the need for a balanced implementation of the Priorities for Action of the HFA;
- (ii) the need to strengthen bottom-up and top-to-bottom approach to the implementation of the HFA; and
- (iii) a closer integration of planning and implementation of disaster risk reduction/management and climate change adaptation programmes.

The preceding strategic proposals reflect a systematic evolution in thought and approach to disaster risk reduction policy and practice as well as the way it can inform further strategic approaches for managing disaster risk. The unpacking of the trajectory will therefore not be complete without a reflection of views on the proposed strategic direction beyond the HFA in 2015.

4.5 THE POST-2015 ERA: TAKING CUE FROM THE HYOGO FRAMEWORK FOR ACTION 2005-2015

The declaration of the International Decade for Natural Disaster Reduction in 1990 (A/RES/42/169) culminated in the World Conference on Disaster Reduction in January 2005 which developed the Hyogo Framework for Action 2005-2015 that was subsequently adopted by the United Nations General Assembly (A/RES/60/195) (UN, 1987; UN, 2005). According to the UN (2005) the World Conference on Disaster Reduction held from 18-22 January 2005 adopted the HFA based on a written commitment that it (the HFA) would serve as a guiding framework on the implementation of disaster risk reduction/management for the Decade: 2005-2015. It can therefore be justifiably expected that a successor framework for the HFA would be required in place by the time the HFA would have lapsed, if not renewed in totality.

Concrete reflections on the possible successor to the HFA were outlined in the Mid-Term Review (ISDR, 2011:65). The report acknowledges the consultative nature of the process underscoring the development and adoption of the framework in question. Although no consensus existed at the time of writing the thesis, the common views on the nature and focus of the strategy to succeed the HFA advocates for the following measures:

- (i) the need for solid and structural links with sustainable development and climate change for international framework agreements;
- (ii) the need to define targets for achievement, if not at global level, at least at regional level; and
- (iii) the need to reflect on the legal status of the envisaged framework.

In taking the process forward, the ISDR (2011) has decided on a phased approach to construct the framework structure and content, namely:

(a) Phase 1 (March 2012 to May 2013)

- (i) **Milestone 1 (March 2012 to February 2013).** The ISDR facilitated a series of regional consultations through its regional offices to focus on the substantial questions to feature in a post 2015 framework. Other relevant stakeholders such as countries, local governments and administrations, civil society, the scientific community, the private sector, UN and regional organisations were also consulted.

- (ii) **Milestone 2 (March 2012 to February 2013).** In-depth studies on specific thematic areas were executed by using independent consultants, member states as well as national research and academic institutions. The aim of the studies was to obtain more analytical and in-depth views on specific issues for the envisaged framework.
 - (iii) **Milestone 3 (May 2012 to October 2014).** On-line debates were introduced to reach as wide an audience as possible to ensure that the specific topics that emerged from regional and stakeholder consultations are fully explored and debated.
- (b) Phase 2 (from May 2013 Global Platform to the 2015 World Conference)**
- (i) **Milestone 1 (during 2014).** An analysis and report detailing the analysis of progress achieved by member states and stakeholders in implementing the HFA was published. The report is based on reports submitted by countries through the HFA Monitor, various editions of the Global Assessment Reports (GAR) and the inputs from the first phase of consultations.
 - (ii) **Milestone 2** Consultations at regional levels through regional platforms and Ministerial meetings to consider different drafts that were composed.
 - (iii) **Milestone 3 (from June 2013 to 2014).** On-line debates and live discussions on emerging issues related to the post-2015 framework. UINSR's invitation of submissions based on the background papers and initial drafts (ISDR, 2012:9).

Considering the focus of the study and taking into account the discussion in Chapter 2, the discussion of the evolution and trajectories that characterise disaster risk management and reduction cannot be adequately explored without a reflection on the role of non-state actors and/or international institutions in shaping the evolutionary discourses. The ensuing section therefore discusses these role players in shaping the evolution of disaster risk management and reduction discourses.

4.6 THE ROLE OF INTERNATIONAL ORGANISATIONS IN SHAPING THE DISASTER RISK MANAGEMENT AGENDA

In chapter 2, the study outlined the role of international organisations and non-state actors in fostering international cooperation at all levels. It specifically outlined the way cooperation can be achieved through iterative processes in a quest to achieve absolute gains in international relations discourses. A reflection on the evolution and philosophy underlying disaster risk management and reduction as discussed in this chapter has also pointed to the critical role played by international institutions hitherto in directing the function and fostering collaboration among states. As hazards and disasters have affected many people over years, there has been growing appreciation of the need to manage disaster risk as a concern for achieving and sustaining development within the UN system. The United Nations institutional mechanisms were instrumental in the achievement of this objective. The progressive stages depicting the evolution of disaster risk management and reduction in the UN system is depicted in figure 4. 2 below:

MILESTONES IN THE HISTORY OF DISASTER RISK REDUCTION WITHIN THE UN SYSTEM

During the 1960s the UN/GA adopted measures regarding severe disasters

1962	Res. 1753	The Buyin-Zara earthquake struck Iran and killed more than 12000 people.
1963	Res. 1882 Res. 1888	The earthquake at Skopje, Yugoslavia, caused the death of more than 1200 persons. A hurricane struck the territories of Cuba, the Dominican Republic, Haiti, Jamaica and Trinidad and Tobago resulting in the loss of thousands of lives and causing considerable material damage.
1965	Res. 2034	The GA requests Member States' assistance in cases of natural disasters to inform the Secretary General of the type of emergency assistance they are in a position to offer.
1968	Res. 2378	Again a severe earthquake struck Iran, killing some 10000 people. The GA requests the Secretary General and heads of specialised agencies, in the light of funds available, to bear in mind the needs of the Government of Iran in connection with its plans for the reconstruction of the devastated areas when deciding on the services to be provided to Member States.

1970-1986: Assistance in cases of natural disaster

1970	Res. 2717	Assistance in cases of natural disaster. The UN invites the Secretary General to submit recommendations in particular on (b) Pre-disaster planning at the national and international levels, including the definition of machinery and contingency arrangements capable of coping immediately with disaster situations; (d) The application of technology to, and scientific research for the prevention and control of natural disasters, or a mitigation of the effects of such disasters, including arrangements to disseminate effectively to all countries the fruits of research from satellites and other sophisticated technology with a view to strengthening international co-operation to determine the causes and early manifestation of impending disasters and the development and improvement of early warning systems.
1971	Res. 2816	Creation of the United Nations Disaster Relief Office (UNDRO) "The GA calls upon the Secretary General to appoint a Disaster Relief Co-ordinator, who will be authorised on his behalf to: (f) promote the study, prevention, control and prediction of natural disasters, (g) assist in providing advice to governments on pre-disaster planning. It endorses the Secretary General's proposals for an adequate permanent office in the United Nations which shall be the focal point in the UN system for disaster relief matters; it invites governments to: (f) improve national disaster warning systems".
1971- 1985		The GA adopted a number of separate resolutions on drought in Afghanistan (Res. 2757, Oct. 1971); in drought-stricken areas of Ethiopia and other countries in Africa (Res. 33/21, Nov. 1978, 40/228, 1985, 40/175, 1985).
1972	Res. 2959	The GA reaffirms "the vital importance, in order to lessen the impact of disasters, of assistance to disaster-prone countries in preventive measures, disaster contingency planning and preparedness".
1974	Res. 3337 Res. 3345	The GA decides to convene the United Nations Conference on Desertification. Strengthening of the United Nations Disaster Relief Office "Convinced that disaster prevention and pre-disaster planning form an integral part of the international development policy of governments and international organisations. . . the GA requests the Secretary General to continue to investigate the feasibility of measures to strengthen the UN machinery with regards to disaster prevention and pre-disaster planning".

1978	Res. 33/22	Office of the United Nations Disaster Relief Coordinator The GA requests the Governing Council of the United Nations Development Programme at its next session to give consideration to the inclusion of technical cooperation activities for disaster preparedness and prevention in its regional and inter-regional programmes.
1979	Res. 34/55	Office of the United Nations Disaster Relief Co-ordinator The GA "Welcomes the decision taken by the Governing Council of the UNDP. . . to give consideration to the inclusion of technical cooperation activities for disaster preparedness and pr+evention in national and regional programmes;"Requests the Preparatory Committee for the New International Development Strategy to take into account matters concerning disaster relief, preparedness and prevention".
1981	Res. 36/225	Strengthening the capacity of the United Nations system to respond to natural disasters and other disaster situations The GA "Stresses the need to take full advantage of information provided by existing early-warning monitoring systems that have been developed to strengthen the capacity of the UN systems in responding to natural disasters. . . and to coordinate. . . all relevant early-warning systems".

1990-1999: The International Decade for Natural Disaster Reduction

1987	Res. 42/169	International Decade for Natural Disaster Reduction "The GA recognises the importance of reducing the impact of natural disasters for all people, and in particular for developing countries; It decides to designate the 1990s as a decade in which the international community, under the auspices of the United Nations, will pay special attention to fostering international cooperation in the field of natural disaster reduction".
1988	Res. 43/202	International Decade for Natural Disaster Reduction Recalling that in 1988 many disasters, such as floods in Sudan and Bangladesh, typhoons in the Philippines, hurricanes in Latin America and the Caribbean, locust infestations in Africa, the GA recognises the need for reducing the impact of natural disasters and welcomes the progress report of the Secretary General on the preparation for the International Decade for Natural Disaster Reduction and requests to develop a framework of action.
1989	Res. 44/236	International Decade for Natural Disaster Reduction The GA "proclaims the International Decade for Natural Disaster Reduction, beginning on 1 January 1990; Decides to designate the second Wednesday of October as International Day for Natural Disaster Reduction to be observed annually during the Decade by the international community; adopts the International Framework of Action for the International Decade for Natural Disaster Reduction".
1990	Res. 45/185	International Decade for Natural Disaster Reduction The GA urges the international community to fully implement the International Framework of Action of the IDNDR (annex of res. 44/236), to establish national committees and reaffirms the need for the secretariat of the Decade to work in close cooperation with UNDRO.
1991	Res. 46/149	International Decade for Natural Disaster Reduction The GA endorses the New York declaration and the recommendations contained in the first annual report of the Scientific and Technical Committee (STC) on the Decade as well as the proposal of the STC to convene a world conference of representatives of national committees for the Decade in 1994.

1993	<i>Res. 48/188</i>	International Decade for Natural Disaster Reduction The GA decides to convene in 1994 the World Conference on Natural Disaster Reduction.
1994	<i>Res. 49/22 A</i>	World Conference on Disaster Reduction, Yokohama, Japan The World Conference was held in Yokohama, Japan from 23 to 27 May 1994. Res. 49/22 A endorses the Yokohama Strategy and its Plan of Action adopted at the World Conference.
1994-2008		Early Warning First steps for early warning systems.
1995	<i>Res. 50/117A</i>	The GA decides to convene a closing event of the Decade in order to facilitate the full integration of disaster reduction into the substantive efforts for sustainable development and environmental protection by the year 2000.
1996	<i>Res. 51/185</i>	The GA calls upon the secretariat of the Decade to continue to facilitate a concerted international approach to improvements in early warning capacities for natural disasters and similar disasters with adverse impact on the environment within the process leading towards the closing event of the Decade.
1997-2000		The El Niño phenomenon Taking into account that the El Niño Southern Oscillation Phenomenon, commonly known as "El Niño", has had an acute impact in several regions of the world, with particular severity and frequency in the coastal countries of the Pacific Ocean, the GA in its resolutions 52/200, 53/185, 54/220, 55/197 invites the States involved in the Decade to participate in its activities including those related to international cooperation to reduce the impact of the El Niño phenomenon. It also calls upon the organisations and bodies of the UN system, especially the Intergovernmental Oceanographic Commission of UNESCO, WMO, WHO, FAO, UNEP and UNDP and the World Climate Research Programme as well as the International Council of Scientific Unions within the Decade, to further contribute to a comprehensive approach and study of El Niño. Also to intensify their cooperation with the regions affected by the phenomenon, especially with developing countries, small island developing States and landlocked countries. The GA also requests to facilitate the process for the prompt establishment of the International centre for the study of the El Niño and requests the Secretary General to continue the full implementation of these resolutions for the period 1997-2000.
1999		The IDNDR Programme Forum 1999 As the International Decade for Natural Disaster Reduction (IDNDR) concludes, the international community becomes increasingly aware that natural disasters are a major threat to social and economic stability and that disaster prevention is the main long-term solution to this threat. Therefore the biggest challenge of the Decade lies in the creation of a global culture of prevention . It is in this context that the IDNDR Secretariat in the United Nations has organised the IDNDR Programme Forum 1999 within the closing event of the Decade. Thematic and regional events with respect to natural disaster prevention have been held as part of the 1998 -1999 Action Plan for the concluding phase of the IDNDR. This culminated in the IDNDR Programme Forum 1999 which provided a platform for global multi-sector and inter-disciplinary dialogue between all concerned partners within IDNDR. Results of the Programme Forum will constitute a major input to the UN Economic and Social Council (ECOSOC) deliberations on IDNDR. The IDNDR Programme Forum 1999 offered more than 40 thematic sessions in support of natural disaster prevention, including three tracks of concurrent sessions as well as a Sub-Forum on Science and Technology organised by WMO and UNESCO. In addition, panels, poster sessions, exhibits and an open public forum were organised which provided a comprehensive overview on the broad spectrum of IDNDR achievements at all levels.

2000-2007: Disasters, Vulnerability, and the ISDR

2000	<i>Res. 54/219</i>	International Strategy for Disaster Reduction Taking note of Economic and Social Council resolution 1999/63 of 30 July 1999 on the successor arrangements for the International Decade for Natural Disaster reduction, the GA endorses the proposal of the Secretary General to establish an Inter-Agency Task Force and Inter-Agency-Secretariat for disaster reduction. These positions were under the direct authority of the Under-Secretary-General for Humanitarian Affairs. The GA also decides to maintain the observance of the International Day for Disaster Reduction on the second Wednesday of October.
2001	<i>Res. 56/195</i>	International Strategy for Disaster Reduction The GA requests the relevant organisations of the UN system to support the implementation of the goals of the Strategy and endorses the proposal of the Secretary General to review the implementation of the Yokohama Strategy for a Safer World.
2002	<i>Res. 57/256</i>	International Strategy for Disaster Reduction The GA requests the Secretary General, with the assistance of the Inter-Agency Secretariat for the Strategy, to plan and coordinate the 2004 review of the Yokohama Strategy in consultation with governments and relevant organisations of the UN system, including international financial institutions.
		The Johannesburg Plan of Action The World Summit on Sustainable Development (WSSD) in Johannesburg, South Africa in August to September 2002 provided the ISDR with a concrete set of objectives within the sustainable development agenda to which both the Inter-Agency Task Force on Disaster Reduction and the ISDR secretariat, along with partners, will increasingly turn their attention and capacities to integrating and mainstreaming risk reduction into development policies and processes.
	<i>A/57/190</i>	In his report on the ISDR (A/57/190) the UN Secretary General specifies that: "This review process will help identify gaps and means of implementation in a way that will chart the course of action for the forthcoming decade, while taking into account the outcome of the World Summit on Sustainable Development".
2003	<i>Res. 58/214</i>	International Strategy for Disaster Reduction The GA decides to convene a World Conference on Disaster Reduction in 2005 to: a) conclude the review of the Yokohama Strategy and its Plan of Action; b) identify specific activities aimed at ensuring the implementation of relevant provisions of the Plan of Implementation of the World Summit on sustainable development on vulnerability, risk assessment and disaster management; c) share best practices and lessons learned to further disaster reduction within the context of attaining sustainable development and identify gaps and challenges; d) increase awareness of the importance of disaster reduction policies; e) increase the reliability and availability of appropriate disaster-related information to the public and disaster management agencies in all regions as set out in the relevant provisions of the Johannesburg Plan of Implementation . The ten year review takes into account several relevant processes, such as the Johannesburg Plan of Implementation of the World Summit on Sustainable Development, and will culminate in the Second World Conference on Disaster reduction to be held in Kobe, Japan, January 2005.
	<i>Res. 58/215</i>	Recalling its decision 57/547 (Dec. 2002) the GA urges the international community to continue to address ways and means, including through cooperation and technical assistance, to reduce the adverse effects of natural disasters, including those caused by extreme weather events, in particular in vulnerable developing countries. This should be done through the implementation of the International Strategy for Disaster Reduction.

2004	Res. 59/231	International Strategy for Disaster Reduction The GA welcomes the work of the ongoing preparatory process for the World Conference on Disaster Reduction, to be held in Kobe, Japan from 18 to 22 January 2005 and notes with appreciation the pledge made by the Government of Japan to cover costs of the World Conference.
	Res. 59/232	The GA emphasises the importance of to maintain the El Niño/Southern Oscillation observation system, to continue research into extreme weather events, to improve forecasting skills and to develop appropriate policies for reducing the impact of the El Niño phenomenon and other extreme weather events. The GA also accentuates the need to further develop and strengthen these institutional capacities in all countries, in particular in developing countries. Japan from 18 to 22 January 2005 and notes with appreciation the pledge made by the Government of Japan to cover costs of the World Conference.
2005	Res. 60/195	International Strategy for Disaster Reduction It endorses the Hyogo Declaration and the Hyogo Framework for Action 2005-2015: building the resilience of Nations and communities to disasters which was adopted by the World Conference on Disaster Reduction, held at Kobe, Hyogo, Japan from 18 to 22 January 2005. In addition, it recalls the common statement of the special session on the Indian Ocean disasters: risk reduction for a safer future.
	Res. 60/196	The GA urges the international community to continue to address ways and means, including through cooperation and technical assistance, to reduce the adverse effects of natural disasters including those caused by extreme weather events, in particular in vulnerable developing countries, including least developed countries and in Africa. This is to be accomplished through the implementation of the International Strategy for Disaster Reduction, including the Hyogo Framework for Action. The GA also encourages the Inter-Agency Task Force for Disaster Reduction to continue its work in this regard.
2006	Res. 61/198	International Strategy for Disaster Reduction The Global Platform on Disaster Reduction The GA notes the proposed establishment of a Global Platform for Disaster Risk Reduction as the successor of the Inter-Agency Task Force for Disaster Reduction and taking into account the implementation of the Hyogo Framework of Action, decides that the Global Platform shall have the same mandate as the Inter-Agency Task Force for Disaster Reduction. The GA requests the Secretary General to include information on the Global Platform, for consideration by the General Assembly in his next report; The GA decides that the proposed establishment of the Global Platform should continue to be carried out in an inclusive and transparent manner and be open to all Member States.
	Res. 61/199	The GA recognises the ongoing efforts made by the Government of Ecuador, the World Meteorological Organisation and the Inter-Agency Secretariat for the International Strategy for Disaster Reduction. All these bodies have led to the establishment of the International Centre for the Study of the El Niño Phenomenon at Guayaquil, Ecuador. The GA also encourages them to continue their support for the advancement of the Centre.
	Res. 61/200	The GA urges the international community to continue to address ways and means, including through cooperation and technical assistance, to reduce the adverse effects of natural disasters including those caused by extreme weather events, in particular in vulnerable developing countries including least developed countries and in Africa. This is to be realised through the implementation of the International Strategy for Disaster Reduction, including the Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters. Additionally, the GA encourages the institutional arrangement for the International Strategy to continue its work in this regard.
2007	Res. 62/192	Strategy for Disaster Reduction First session of the Global Platform on Disaster Reduction The GA, with great interest and appreciation, takes note of the first session of the Global Platform for Disaster Risk Reduction at Geneva from 5 to 7 June 2007. The GA also observes the successor mechanism of the Inter-Agency Task Force for Disaster Reduction as a useful forum for Member States and other stakeholders to assess the progress in implementation of the Hyogo Framework for Action, to enhance awareness of disaster risk reduction, to share experiences and learn from good practice, to identify remaining gaps and to identify actions that accelerate national and local implementation of the HFA

DRR programmes post the first session of the Global Platform for Disaster risk reduction towards 2015 and beyond

The second, third and forth sessions of the Global Platform for Disaster Risk Reduction were held in 2009, 2011 and 2013 respectively. A mid-term review on the implementation of the Hyogo Framework for Action 2005-2015 formed one of the bases of the discussions during the third session of the Global Platform for Disaster Risk Reduction. The session emphasised the need to strengthen local action for disaster risk reduction to ensure local activism on DRR. A special focus was also made on making children and young people active partners in disaster risk reduction through the adoption of the Children's Charter on DRR. Subsequently, a focus on women and on persons with disabilities on DRR was made and still remain the key focus areas for DRR in the UN system and within regional and national programmes. Current discussions and debates on DRR post 2015 advocate for closer alignment of DRR, development and climate change frameworks and programmes in pursuit of building resilience of nations and communities as a concern for sustainable development.

Figure 4. 2: Milestones in the history of disaster risk reduction within the UN system
(UN, 2014)

It is important to note that the evolutionary path that is presented has played a pivotal role in shaping regional and national disaster risk management and reduction policies as well as implementation discourses. Some of the classical examples include the SADC and AU's adoption of the SADC Multi-Sectoral Disaster Risk Management Strategy of 2001 (SADC, 2001b) and the Africa Regional Strategy for Disaster Risk Reduction 2004 (AU & NEPAD, 2004a). These are instruments meant to guide disaster risk reduction under the aegis of the regional and sub-regional institutions supported by non-state agencies and non-governmental organisations. Since the 1970's, in South Africa, the disaster management responsibilities (then civil defence) were managed in terms of Civil Defence Act (Act 67 of 1977) and the Fundraising Act (Act 107 of 1978) (South Africa, 1977; 1978).

With the progression of time and evolution of thought on disaster risk management and reduction, there was a realisation of the need to move from a response philosophy and approach to disaster risk management and reduction to a more proactive approach with a developmental objective. For institutions like the Disaster Management Institute of Southern Africa (formerly the Civil Defence Association of South Africa, then the Emergency Management Association of South Africa, then the Disaster Management Association of South Africa) this realisation led to a change in focus. These institutions had to structure their capacity building and lobbying efforts toward the entrenchment of a risk reduction philosophy and approach in the South and southern Africa. Within the AU and SADC, structures such as the African Union Technical Advisory Committee and the SADC DRR unit respectively, were established to drive the disaster risk management and reduction agenda. A number of non-state entities, NGOs and other civil society formations also played a critical role in shaping this evolutionary path as demonstrated in chapter 6 and depicted in the SADC institutional collaborative model presented in chapter 7 of the study.

4.7 CONCLUSION

This chapter gave a systematic outline of the evolution of the disaster risk management and reduction discipline. The evolution was explained through an outline of the philosophical grounding of the discipline, the influence of various disciplines towards its evolutionary discourses, its evolutionary stages according to timelines and critical turning points in specific timeframes. Based on the acknowledged role of international and non-state entities in shaping international collaboration and for influencing disaster risk management and reduction, the chapter concluded with an outline of the evolutionary timeline for the disaster risk management and reduction function within the UN system. This illustrated the role and impact of the UN system in influencing the international disaster risk management and reduction system through encouraging national and regional policy and legislative reforms and fostering regional and sub-regional collaborative mechanisms. The chapter has therefore contributed to realising the objectives of the research on the evolution of disaster risk management and reduction theory within a multinational collaborative perspective and how this manifest in implementation practices. It also demonstrated the application of neo-liberal institutionalism in shaping international cooperation through an outline of the UN system's disaster risk management and reduction evolutionary trajectories.

In line with the focus of the study, the chapter has therefore demonstrated that disaster risk management and reduction is a dynamic discipline requiring the collective drive of all nations and regional entities. Furthermore it proved that international institutions have a critical role to play in enhancing international, regional and sub-regional collaboration on the function of disaster risk management and reduction. Based on the foundation laid in chapter 3 and in this chapter, about the evolution of development and disaster risk management and reduction theory and practices respectively, chapter 5 explains the co-evolution of the two disciplines in both policy and practices.

CHAPTER 5

DISASTER RISK MANAGEMENT AND REDUCTION: AN IMPERATIVE FOR SUSTAINABLE DEVELOPMENT – FROM POLICY TO PRACTICE

*“Can sustainable development along with the international instruments aiming at poverty reduction and environmental protection be successfully implemented without taking into account the risks of natural hazards and their impacts? Can the planet afford the increasing costs and losses due to so-called natural disasters? The short answer is **NO**”* (ISDR Background Paper for World Summit on Sustainable Development, 2002 cited by ISDR, 2002:28)

5.1 INTRODUCTION

In the previous two chapters (chapters 3 & 4) the evolution of the concepts and practices of development and disaster risk management and reduction was discussed. Reference was made to the influence and contribution of international organisations in the thinking and practices of development and disaster risk management and reduction. These discussions addressed two of the objectives of the research notably, tracing the evolution of development and disaster risk management and reduction respectively. The chapters showed that there is an interconnection between development and disaster risk management and reduction which needs to be explored to address these objectives in full.

The two chapters also revealed that a review of development and disaster risk management and reduction principles and practices as two separate constructs cannot complete the detailed evolution process. This chapter therefore presents a comparative analysis of the development and disaster risk management and reduction theories and practises. This is done through the review of existing instruments ranging from global, regional and national policy frameworks to implementation instruments. The chapter also reflects on the integration of thought and practices around climate change adaptation in shaping development and disaster risk management and reduction policy and practices. In line with chapter 2 of the research, this chapter also reflects on the role and contribution of international institutions in shaping the development and disaster risk management and reduction discourses.

In addition to enhancing the objectives of chapters 2, 3 and 4, chapter 5 addresses the objective of the research through focusing on the identification and comparative analysis of the global, regional and national development and disaster risk management and reduction instruments such as policy instruments, protocols and strategies governing global, regional and national collaboration.

5.2 SETTING THE SCENE: HOW MUCH IS KNOWN ABOUT HAZARDS AND DISASTERS?

Studies point out that understanding hazards and disaster risk draws on accumulated knowledge from many years of human experience and enquiry (Twigg, 2004; Van Niekerk, 2005; Mangena *et al.*, 2012; Reddy, 2011; Wisner *et al.*, 2012:33). Nowadays, the question of the relationship between disasters, disaster risk reduction and development has become a universal and popular theoretical and practical realm. The causal relationship between the two constructs has also been better understood at policy and practical levels (UNDP, 2004:i; DFID, 2005:2). Furthermore, there is an acknowledgement that this relationship can either be positive or negative, i. e. development that enhances resilience and development that creates vulnerability to hazards to result in disasters (DFID, 2005:5-6). It is on this basis that scholars such as Collins (2009) conclude that development to a larger extent determines the way in which hazards impact on people while on the other hand, the occurrence of disasters alters the scope of development. It must however be pointed out that the alignment between the two constructs is not automatic or guaranteed as it depends on the orientation of the authorities towards risk reduction and management for sustainability. On this base, if certain areas of development do not take the risk of prevalent and anticipated hazards into account, then the effectiveness of such a development programme cannot be guaranteed. It is on this ground that Collins (2009:1) builds the fundamental argument that everyone should start to realise that: “no disaster is natural in terms of the association between disasters and development”

Along the line of this argument, writers such as Manyena *et al.* (2012:1) points to the fact that more researchers accept the viewpoint that disasters are caused by a complex interaction of hazards, vulnerability and resilience. Thus a discussion of the disaster and development connections can serve to highlight the parallels between the disaster and development paradigms as well as the possible future conjunctions and contradictions between the two constructs.

The question of climate change has become an added theme for consideration within a package for implementing sustainable development with disaster risk management and reduction as one of the enabling services (South Africa, 2011a; 2011b; 2013). This is because of the acknowledgement that the linkages and overlaps between climate change and disaster risk reduction have proven to be real and are formally accepted in a number of international treaties and development plans including, but not limited to, the Hyogo Frameworks for Action 2005-2015 (ISDR, 2005a), the Kyoto Protocol (UN, 1997), the Bali Action Plan (UN, 2007), the Africa Regional Strategy for Disaster Reduction (AU & NEPAD, 2004a), the draft SADC Policy and Strategic Framework for Disaster Risk Reduction 2010-2015 (SADC, 2010a) and the National Climate Change Response White Paper (South Africa, 2011a). Within the context of development, Van der Waldt (2009:15) indicates that disaster risk reduction (management) can be regarded as an emerging, distinct study domain that originated from various disciplines such as Environmental Studies and Public Administration as a science.

It is against this backdrop that Wisner *et al.*, (2004) view disaster not as an aberration, but as signalling a failure of the mainstream development programmes. The next discussion serves to orientate the reader through the connection of the two constructs.

5.3 EXPLORING THE CONCEPTS OF DEVELOPMENT AND DISASTER RISK MANAGEMENT AND REDUCTION

Given the current global service delivery, poverty reduction and sustainable development priorities, the understanding of the development and disaster question facilitates clarity on how disaster risk management policy and practices, as a trans-disciplinary field adapted (and still needs to adapt) to the evolving development paradigms and trajectories. This is because the impacts of disasters need to be embraced in order for sustainable development to yield its expected benefits (ISDR, 2002:27). Similarly, there is the need to determine the way in which humanitarian and development approaches can help enhance communities and other role players' capacity to adapt to a changing climate. Otherwise, at the very least, prevent actions that undermine adaptive capacity (Jones *et al.*, 2010:1). It is however important to point out that dealing with climate change involves wider actions than disaster risk management and reduction. Hence this chapter only focuses on the integrative areas of the constructs as it pertains to the collaborative model for disaster risk management as outlined in chapter 7.

The definition of development as explained in chapter 3 denotes that development and disaster risk management, if well managed or properly implemented, present two sides of a coin to be viewed as interdependent and mutually inclusive (adapted from Coppola, 2007:12; ISDR, 2005a:1). This is because the rate, manner and stage of development in a particular country or locality determine the nature and level of vulnerability to hazards and disasters through the shaping of the population and its services' coping capacity (livelihood, social, economic, environmental and infrastructure). This makes it essential to analyse vulnerability as a motivator of development. In the case of development being unsuccessful, vulnerability should be analysed as an effect of development within the national, regional and global perspectives.

5.3.1 Vulnerability as a national, regional and global development and disaster risk issue

There is widespread consensus that vulnerability is both an effect and cause of development and disaster risk management and reduction. Research and practice also support the theory that there exists a strong correlation between disasters and poverty creation or reduction. The fact that those developing countries repeatedly subjected to disasters experience stagnant or even negative rates of development over time is evidence of the aforementioned correlation (Coppola, 2007:12). This implies that through those countries' quest to achieve development, disasters cause a setback which result in them being "vulnerability or disaster trapped" countries (Coppola, 2007:12). From an international institutional perspective, Broad and Cavanaugh (2011:1130) contend that the post-2008 vulnerabilities that many communities and nations had to face are the result of conscious policies driven mainly by external forces. This is because globally, much power is concentrated in relatively few individuals, institutions and nations sometimes with self-serving interests (Mascarenhas & Wisner, 2012:48). Broad and Cavanaugh (2011:1130) point out that some of the examples include the fact that certain nations find themselves vulnerable to food price hikes because regional or global policies encouraged food imports. Within the perspective of the financial markets, nations are vulnerable to financial crisis because their banking systems were consciously opened to global 'hot money' flows. Furthermore, in other countries, forests and fishing grounds were consciously opened for foreign firms. It can therefore be concluded that the two crises, food and finance, interacted in many countries with another long-standing problem that had been building around the world, namely a crisis of the environment (Broad & Cavanaugh,

2011:1130). These potentially negative international and regional practices caused most developing countries to be susceptible to hazards and disasters.

A summary of the level of poverty and deprivation experienced in the developing world is illustrated by the figures in table.1 below (as adapted from UNDP, 2001). This poverty and wealth profile of SADC member states is critical for consideration as it points to the prioritisation of disaster risk management and reduction as a poverty reduction and sustainable development enabler. This section should therefore be understood in conjunction with the discussion of the disaster risk reduction policies of SADC member states as outlined in the chapter to follow (chapter 6).

Table 5.1: Deprivation in many aspects of life in developing countries

(i) Health • 968 million people without access to improved water sources (1998); • 2. 4 billion people without access to basic sanitation (1998); • 34 million people living with HIV/AIDS (end of 2000); and • 2. 2 million people dying annually from indoor air pollutions (1996). (ii) Education • 854 million illiterate adults of which 543 million are women (2000); • 325 million children out of school at the primary and secondary levels, 183 million of them girls (2000). (iii) Income poverty • 1. 2 billion people living on less than US\$1 a day (1993 PPP US\$), 2. 3 billion on less than US\$2 a day (1998). (iv) Children • 163 million underweight children under the age of five (1998); and • 11 million children under five dying annually from preventable causes (1998).

(UNDP, 2001:9)

Worth noting is the fact that the majority of people in this poverty trap live in rural areas and squatter settlements on the outskirts of cities and towns. These are thus specific areas to focus disaster risk management and reduction efforts (South Africa, 2005).

To this end, South Africa (2005), and Swanepoel and De Beer (2006:3) point out that whether people are absolutely or relatively poor; some action is needed to improve their situation. ISDR (2002:26; 2004) argues that for any country, especially the poorest, the outcome should be to build sustainable communities that prosper from generation to generation with a social foundation that provides for health, respects cultural diversity, is equitable and considers the needs of the future generations. Countries require health and diverse ecological systems that is life-sustaining and productive. Furthermore a healthy and diverse economy that adapts to change and recognises social and ecological limits is essential. This cannot be achieved without the incorporation of disaster risk reduction strategies, one of the six principles of sustainability which is supported by a strong political commitment. This approach conforms to the developments around disaster risk management in the 1970s and 1980s when the vulnerability approach to disasters set off and rejected the assumption that natural events cause disasters. The approach also revised the assumption that disasters are normal phenomena (Wisner *et al.*, 2004:10). Thus, the above approach bodes well for the promotion of efforts towards vulnerability reduction in a quest to achieving sustainable development. In this regard, the systematic human efforts are discussed below.

5.3.2 Human efforts in countering vulnerability

As demonstrated in the previous chapters (chapters 2, 3 & 4), human beings have reacted differently in their quest to sustain their existence and in meeting their daily needs. Maslow (1968 cited by van Niekerk, 2005:26) notes that the need of human beings to be safe from harm from natural forces has been well researched and documented. Copolla (2007:2) further points out that the early inhabitants of the earth were not apathetic and let themselves be easy victims. There is evidence that they took measures to reduce or mitigate their risks. The mere fact that they chose to inhabit caves is proof to this theory. Broad and Cavanagh (2011) also outlines the concept of vulnerability in the relationship between disasters and development. In their publication on the reframing of development in the age of vulnerability, they observe that the 1990s has seen a growing awareness by researchers that human-created vulnerabilities are not just economic but often also threaten human and planetary well-being. They further observe that, as the threat of climate change has escalated and as the natural resources of the poorer nations have

been depleted at alarming rates, environmental researchers increasingly focus on measuring environmental vulnerability. This is due to the realisation of the negative effect of vulnerability on sustainable development and the potential of some of the development interventions in creating vulnerability.

Linked to the above observation, Van Niekerk (2005:26) indicates that humankind's understanding of the world and life has developed and progressed in such a way that it ensures an evolving and continuous response to the events that threaten their livelihood. Reddy (2011:21) asserts that this is due to the realisation that though one is unable to prevent hazards from occurring; there are many ways of mitigating its impact. To this end, humankind developed techniques to deal with natural hazards, either with the aim to contain the forces of nature or by altering their own behaviour. Therefore, development and disaster related measures evolved in its approach and terminology over time as a result of response to natural and human influenced factors (van Niekerk, 2005:26). From environmentalists' angle, the focus shifted to 'resilience', especially resilience to climate change and variability. In this sense, environmental resilience refers to the ability of an ecological or livelihood system to "bounce back" from stress or shocks. The view of environmentalists is that policies should be put in place to help enhance resilience (Broad & Cavanagh, 2011:1132).

For this very reason many practitioners, responsible for building local economies, have picked up on the concept of resilience. Consequently policies and operational processes are used to frame the rising number of resilient households and communities that grow most of their own food, bank locally and use public transport. The environmentalist approach also considers the need to manage the climate change effect as an essential part of disaster risk management and sustainable development. Consistent with these measures, national interventions, regional and global instruments and implementation measures were fostered to deal with the development and the disaster question which is explored in the ensuing sections. These adaptive measures are associated with the concept and practices of sustainability in development. In that case sustainability in development is a direct measure to counter vulnerability to achieve sustainable development.

5.3.3 Sustainability as the goal of development and disaster risk management and reduction within the national, regional and global perspectives

The concept and practices of sustainability as outlined in chapter 3 forms the foundation to understand development and disaster risk management and reduction. The concept of sustainable development (as defined in chapter 3) denotes the need to provide for people's needs in a balanced way in terms of benefits and durability. However, the environment poses certain limitations to the approach's influence to accomplish the current needs for sustainability. The three key words underscoring this description are therefore: *cost effectiveness, quantity and quality*. Within this line of argumentation, sustainable development can be described as the state and processes of relying on our (human) ability to make decisions today that will determine our tomorrow (Becker, 2010:i). In line with this view, ISDR (2011:153) points out that, disaster risk management has conventionally been delivered through stand-alone projects and programmes which were not supportive to achieve sustainable development. However, a total shift from this approach took place.

To demonstrate this shift in approach, it is evident now that a number of governments adapt their existing development mechanisms and instruments to reduce risks and strengthen resilience at all levels (Becker, 2010:i; ISDR, 2011:153). It is on this basis that Bacon (in Wisner *et al.*, 2012:160) argues that the current mainstream interpretation of sustainable development emphasises economic growth, *albeit* with growth that does not undermine the ecological conditions for future growth. These measures will include the planning of public investment, social protection and ecosystems based approaches (ISDR, 2011:153). Although many of these innovations are incipient, they hold the promise of addressing underlying risk drivers and simultaneously generating co-benefits for multiple stakeholders in both development and disaster risk management and reduction disciplines. These mechanisms may build on existing institutional capacities which should offer powerful incentives for governments. On this ground, analysing risk for sustainable development entails different requirements that apply a combination of traditional and design science (Becker, 2010:i) in order to arrive at a balanced profile.

5.3.4 Goals for sustainability in development and disaster risk management and reduction within the international system

The success of an institutional model for collaborative disaster risk management hinges on the adoption of uniform standards of sustainability concepts that must inform regional and national policies. These must also rally the efforts of affected states towards a common goal. From a disaster risk management and reduction perspective, the concept of sustainability means recognising and making the best use of the interconnection between social, economic and environmental goals to reduce significant hazards risks. This measure of sustainability and its operational practices was coined as the 'triple-bottom line' (Painter-Morland, 2006; Stoddard, Pollard & Evans, 2012; Lederwasch & Mukheibir, 2013; Jamali, 2006) as introduced in 1994 by John Elkington (Elkington, 2014). In the disaster risk reduction context, it entails the ability to reduce one's exposure to, and recover from infrequent large-scale as well as frequent smaller scale, natural and human induced / driven events (ISDR, 2002:26). This effort will then be through the application of a combination of social, economic and environmental risk reduction measures. A poverty reduction, service delivery and sustainable development approach to disaster risk management is therefore critical and should be built on a targeted resilience building approach to development. In line with this reasoning, ISDR (2002:26) identifies three disaster risk management contexts linked to sustainable development namely, the socio-cultural, the economic and the environmental system. These three systems are outlined and described below.

Firstly, the **socio-cultural system** denotes the important link between the disaster risk reduction and the socio-cultural system. It is acknowledged that differences exist among groups of people and that those differences reflect a variety of factors including language, socio-economic and political structure, religion, ethnicity as well as historical experiences and relationships towards nature. Furthermore, relationships between people and groups of different cultures are often embedded in different sets of values, unequal power relations with some groups becoming dominant and others being marginalised. All these factors are highly relevant in the context of disasters (ISDR, 2002:31) as well as for the conceptualisation of the SADC collaborative model for disaster risk management as presented in chapter 7.

Secondly, **the economic context** points to the fact that historically people have always made investments to obtain and then protect those resources that hold the greatest value

for them. This is the principle for insurance or other efforts to spread risk among a community or with joint ownership or responsibility for protecting assets. Within this context, a farmer's concern to protect a single cow or a fisherman's priority to mend his nets in subsistence economies as well as the rapid growth of investment in business continuity practices as in more commercialised societies, validate the economic basis of reducing risk in order to minimise the negative impacts of future disasters (ISDR, 2002:33). The orientation and value placed on disaster risk management and reduction by SADC member states as discussed in chapter 6 are critical pointers to the significance of disaster risk management to safeguard development.

The third context refers to **the environmental** which depicts the fact that disasters do not only affect the built environment but also the natural environment. In the same instance, environmental degradation increases the intensity of natural hazards and is often the factor that transforms the hazard or climatic extreme such as heavy downpour into a disaster. The poor are compelled to exploit the environmental resources for survival that will result in an increase in risk and exposure to hazards and disasters, particularly those triggered by floods, droughts and landslides. On the positive side, the natural environment provides solutions to increase protection against disaster impacts. Therefore, successful disaster risk management and reduction should enhance environmental quality, which includes protection of natural resources and open space, management of water run-off and reduction of pollution (ISDR, 2002:36). The protection of the environment has then become the third major objective for sustainable development. To this effect, by the early 1980s, a large body of evidence accumulated to show that environmental degradation is a major barrier to human development and well-being. As a result, new proactive safeguards like environmental assessments were introduced. These are critical measures for managing and reducing disaster risk (Munasinghe, 2009:20). The recognition of hazards and disasters as phenomena with cross border implications that are not confined to national boundaries as introduced in chapter 1 is a direct pointer to this fact. The SADC countries' disaster risk management and reduction policy frameworks with its orientation towards regional collaboration are further proof of the cross border effect of disasters (introduced in chapter 1 and elaborated in chapter 6). It could thus be argued that the focus to support vulnerable countries and communities in reducing poverty levels through sound and developmentally tailored risk reduction measures should be strengthened. This will also be in line with the focus of the International Decade for Natural Disaster Reduction (IDNDR) 1990-1999, the Yokohama Strategy and the HFA (UN, 1987, 1989, 1994a; 1994b; 2005; see also chapter 4). The ensuing section discusses the relevant

developmental and disaster risk management and reduction frameworks to demonstrate the connection between the two constructs, namely development and disaster risk management and reduction.

5.4 A COMPLEMENTARY CO-EXISTENCE: A COMPARATIVE ANALYSIS OF THE DEVELOPMENT AND DISASTER RISK MANAGEMENT AND REDUCTION FRAMEWORKS AS REFLECTED THROUGH REGIONAL AND GLOBAL SCALES

As argued throughout this chapter, an analysis of disaster risk management and reduction will be incomplete without a link to development programmes. The integration of climate change in the development and disaster risk reduction agenda has also become a global norm. Considering the inter related, interdependent nature of the international community, such analyses should focus on understanding the links between and among these concepts from global, regional and national perspectives.

The following sections focus on the outcome of integrating frameworks through the international as well as the African instruments to achieve development goals with disaster risk management being the key component. The identified frameworks applicable globally, in Africa and within the Southern African Development Community (SADC) and South Africa are discussed comparatively to provide clarity in pursuit of addressing the research question. In line with the primary focus of the study, the frameworks are analysed with special reference to the interface areas of development and disaster risk management and reduction. Also, the analysis aim to determine how these frameworks encourage collaboration as a built up to the institutional model for collaborative disaster risk management as presented in chapter 7.

These frameworks include:

- (i) The Millennium Development Goals (UN, 2000) linked to the Hyogo Framework for Action 2005-2015 (UN, 2005);
- (ii) the New Partnership for Africa's Development linked to the Africa Regional Strategy for Disaster Reduction (AU, 2001; AU & UNISDR, 2004a:4);

- (iii) SADC Strategic Indicative Development Plan (SADC, 2003) linked to the SADC Multi-sectoral Disaster Risk Management Strategy (SADC, 2001b) and its Strategic Implementation Plan (SADC, 2010a); and
- (iv) The South African Constitutional Provisions on service delivery and development (South Africa, 1996) linked to the Disaster Management Act, 2002 (South Africa, 2003) and the National Disaster Management Framework, 2005 (South Africa, 2005).

The analysis of the frameworks is critical to conceptualise an institutional model for collaborative disaster risk management in the SADC due to four (4) reasons, namely:

- (i) To reinforce the reality of the inextricable link between development and disaster risk management and reduction;
- (ii) To demonstrate the critical role of international institutions in shaping the development and disaster risk management and reduction agenda and in providing implementation support;
- (iii) To depict that an institutional model for disaster risk management in the SADC must not be divorced or isolated from the mainstream development institutional mechanisms; and
- (iv) To set the scene for the analysis of disaster risk management and reduction policies for SADC member states as outlined in the section to follow.

The following discussion gives a breakdown of the developmental frameworks that govern the global poverty reduction and development agenda. The analysis is made through the identification of the development priorities as spelled out in the relevant frameworks. It also scrutinises the disaster risk reduction and management frameworks that were adopted to give effect to disaster risk management as an integral element of sustainable development. This is because, as ISDR (2002:26) has noted, sustainability means recognising and making best use of the interconnection between social, economic and environmental goals to reduce significant hazards risks for the benefit of the current and future generations. This is a process which entails the ability to reduce a nation's exposure to, and recover from, infrequent large scale, but also frequent smaller scale natural and human driven disaster threatening events. Thus the comparative analysis of the frameworks focuses on the global, regional, sub-regional and national perspectives as outlined in the next section.

5.4.1 The Millennium Development Goals (MDGs) and Hyogo Framework of Action 2005 - 2015 (HFA)

During the 1990s, official United Nations figures indicated the existence of vast inequalities in an increasing affluent world. These inequalities include that 113 million children do not attend school; more than a billion people earn less than US\$1 a day, 11 million children die before the age of five and preventable diseases devastate many populations (Blewitt, 2008:6). During September 2000, the United Nations General Assembly adopted the Millennium Development Goals (UN, 2000 & Blewitt, 2008:6) with the aim to commit the international community to an expanded vision of development, one that promotes human development as the key to sustaining social and economic progress in all countries (SBS, 2006:107). In adopting these goals, the international community declared that they would spare no effort to free their fellow men, women and children from the abject and dehumanising conditions of extreme poverty to which more than a billion of them are subjected. This signified an international commitment to turn appropriate development into a reality for everyone and to free the entire human race from poverty (UN, 2000a; 2000b). It is also the one that recognises the importance of creating a global partnership for development (Millennium Development Goals, 2003 cited by SBS, 2006:107). To this end, the global community adopted eight (8) Millennium Development Goals, which comprises 18 targets and 48 indicators for measuring delivery performance (UN, 2000b) as depicted in table 5.2 below.

Table 5.2: Eight (8) Millennium Development Goals and Eighteen (18) Targets

GOALS	TARGETS
GOAL 1: Eradicate extreme poverty and hunger	Target 1: To halve the proportion of people whose income is less than US\$1 a day in the period 1990 to 2015 Target 2: To halve the proportion of people who suffer from hunger during the period 1990 to 2014
GOAL 2: Achieve universal primary education	Target 3: Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling.

GOALS	TARGETS
GOAL 3: Promote gender equality and empower women	Target 4: Eliminate gender disparity in primary and secondary education preferably by 2015 and in all levels of education no later than 2015.
GOAL 4: Reduce child mortality	Target 5: Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate.
GOAL 5: Improve maternal health	Target 6: Reduce by three-quarters, between 1990 and 2015, the maternal mortality ratio.
GOAL 6: Combat HIV/AIDS, malaria and other diseases	Target 7: By 2015 have halted and begun to reverse the incidence of malaria and other major diseases. Target 8: By 2015, have halted and begun to reverse the incidence of malaria and other major diseases.
GOAL 7: Ensure environmental sustainability	Target 9: Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources Target 10: By 2015, halve the proportion of people without sustainable access to safe drinking water and sanitation. Target 11: Have achieved, by 2020, a significant improvement in the lives of at least 100 million slum dwellers.
GOAL 8: Develop global partnership for development	Target 12: Develop further an open, rule based, predictable, non-discriminatory trading and financial system. Target 13: Address the special needs of the least developed countries (includes tariff-and quota-free access for exports enhanced programmes of debt relief for Highly Indebted Poor Countries (HIPC) and cancellation of official bilateral debt, and more generous Official Development Assistance (ODA) for countries committed to poverty reduction).

GOALS	TARGETS
	Target 14: Address the special needs of landlocked countries and small island developing states (through the Programme of Action for the Sustainable Development of Small Islands States and the 22nd General Assembly provisions). Target 15: Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term. Target 16: In cooperation with developing countries, develop and implement strategies for decent and productive work for youth. Target 17: In cooperation with pharmaceutical companies, provide access to affordable, essential drugs in developing countries. Target 18: In cooperation with the private sector, make available the benefits of new technologies, especially information and communications.

(UN, 2000b)

The above goals and targets represent a list of service delivery, poverty reduction, governance and sustainable development components necessary to provide for the needs of the current generation. It however, also takes into account the welfare of future generations. These MDG interventions are specifically directed at the developing countries predominated by African countries. The key lesson from the discussion is that a close link exists between the MDGs and disaster risk reduction (management). This is because of the fact that the MDGs address sustainable development and the relation between disaster risk management and sustainable development which has already been the subject of various studies (Wisner *et al.*, 2004; ISDR, 2005b; Twigg, 2004; van Niekerk, 2005; Wisner *et al.*, 2012; Reddy, 2011). The achievement of these complementary programmes is however dependant on good governance and leadership at all societal levels (Mascarenhas & Wisner, 2012:49). This implies that, there should be

progressive policies and strategies that effectively targets the needs of the poor combined with adequate financial and technical support. These measures should be put in place vertically and horizontally across regions, nations and levels of government and other disciplines as well as within states. The United Nations is one such system providing a framework for collaboration at supra national level. Other measures include, the regional, sub-regional, bilateral and multi-lateral (e. g. Brazil, Russia, India, China and South Africa - BRICS) collaborative mechanisms. To follow in the next section is a discussion of the policy and practice linkages between the global development blue print contained in the millennium declaration and the development framework referred to as the Hyogo Framework for Action 2005-2015.

5.4.1. 1 Linkage of the global development framework with Hyogo Framework for Action 2005-2015

In adopting the Hyogo Framework for Action 2005-2015, the United Nations General Assembly (UN, 2005) emphasised the fact that disaster risk reduction, including reducing vulnerability to natural hazards, is an important element that contributes to the achievement of sustainable development. Amongst its array of implementation measures, the General Assembly (UN, 2005) also stressed the importance of international cooperation and partnerships to support national efforts on disaster risk reduction and management.

Drawing on the conclusions of the review of the Yokohama Strategy, and on the basis of deliberations at the World Conference on Disaster Reduction and especially the agreed expected outcomes and strategic goals (ISDR, 2005a:5), the Hyogo Framework for Action (HFA) 2005-2015 evolved. The HFA stands in five priorities for action:

- (i) Ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation;
- (ii) Identify, assess and monitor disaster risks and enhance early warning;
- (iii) Use knowledge, innovation and education to build a culture of safety and resilience at all levels;
- (iv) Reduce underlying risk factors; and
- (v) Strengthen disaster preparedness for effective response at all levels.

As part of the array of measures for the implementation of the Framework for Action 2005-2015, the International Strategy for Disaster Reduction (ISDR) was requested to consult with relevant stakeholders and role players on the development of generic, realistic and measurable indicators keeping in mind available resources of individual UN member states. These indicators have to be in conformity with the internationally agreed development goals, including those contained in the Millennium Development Declaration (ISDR, 2005a:17; 2005b).

The exposition and implementation arrangements of the Millennium Development Goals and the Hyogo Framework for Action 2005-2015 indicate clear interrelations and interdependence between sustainable development and disaster risk management and reduction. This can be illustrated with an example of Goal 1 of the MDGs namely, that the goal to halve the proportion of people that suffer from hunger by 2015 (from 1990) cannot be achieved unless there is sufficient implementation of measures to reduce the risk of drought, floods, migratory pests, plant diseases amongst others. The inter-linkage between disaster risk reduction and development is depicted in the figure 5.1 below.

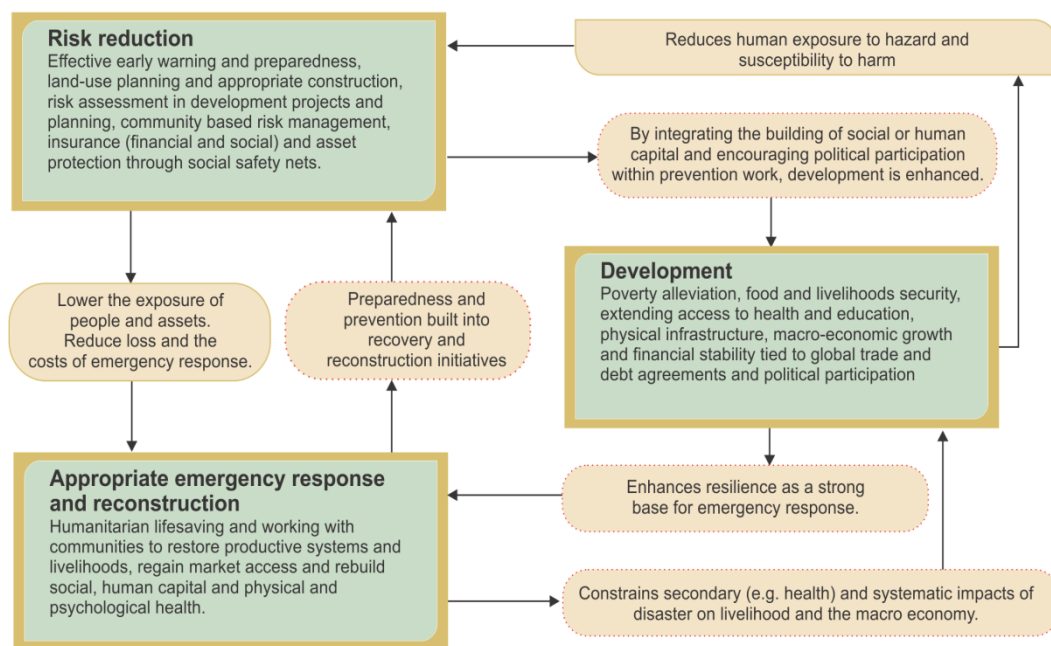


Figure 5.1: Development and disaster risk reduction success framework

(DFID, 2004:5)

The figure above depicts the harmonious relationship which exists between the development and disaster risk management and reduction constructs at policy and practice levels as spelled out in the two global frameworks under scrutiny. This is a critical measure which must be approached in a structured way due to the fact that the two constructs are not wholly synonymous but are mutually inclusive of each other. It is on this basis that the Municipal Systems Act, 2000 (South Africa, 2000) calls for the integration of disaster risk management plans within the Municipal Integrated Development Plans (IDPs).

Based on the above reasoning, some scholars caution towards a too narrow focus on disaster risk reduction and management within the MDGs. They argue that constraints will be placed on the ideals of disaster risk reduction if one only considers the ideals of disaster risk reduction in terms of its functioning secondary to development. Disaster risk management and reduction should rather be seen as a supporting mechanism towards achieving sustainable development. On the other side, sustainable development should be viewed as a support towards disaster risk reduction. The one can therefore not be perceived as a sub-ordinate to the other (Jeggle, 2004 cited by van Niekerk, 2005:68). This view therefore confirms the assertion that sustainable development, poverty reduction, good governance and disaster risk reduction are mutually supportive objectives (ISDR, 2005b:1). The integration of the concepts of sustainable development and disaster risk management and reduction and their concomitant implementation practices must take place at planning and implementation levels within the global, regional and national scales (South Africa, 2005).

In the process of the evolution of the paradigm of development and disaster risk reduction, the African continent did not indifferently watched international developments without taking action. The continent has taken its own initiatives towards sustainable development and disaster risk reduction/management based on its strategic development and disaster risk reduction/management priorities. These initiatives are also in line with the international development agenda to be discussed in the next section.

5.4.2 The New Partnership for Africa's Development (NEPAD) 2001 and Africa Regional Strategy for Disaster Reduction (ARSDR)

Taking cue from the internally adopted development goals as coined in the Millennium Declaration (UN, 2000), the African continent has established measures to institutionalise a development agenda for the continent. This was done through the development

framework referred to as The New Partnership for Africa's Development (NEPAD). According to the African Union Commission (AUC) (AU, 2001:57), NEPAD's founding objective to drive the development agenda is to settle the lost time which caused Africa to be separated from developed countries. Consequently, the agenda will be driven through the consolidation of democracy and the instilling of sound economic management in the continent.

Therefore, NEPAD reflects a strategy crafted by and for the African community to address development priorities based on the continental needs and consistent with global priorities. According to NEPAD's planning and coordinating committee, NEPAD is a programme of the African Union (AU) adopted in Lusaka, Zambia in 2001. It is a radically new intervention, spearheaded by African leaders to pursue new priorities and approaches to the political and socio-economic transformation of Africa. Its main objective is to enhance Africa's growth, development and participation in the global economy (NEPAD, s. a). It is based on a common vision as well as a firm and shared conviction that the African leaders have a pressing duty and responsibility to eradicate poverty and to place their countries, both individually and collectively, on a path of sustainable growth and development (see SBS, 2006:11). The strategy will also facilitate Africa's active participation in the world economy and body politics (NEPAD, 2001 cited by SBS, 2006:118). For this purpose, as with the MDGs, NEPAD has certain long-term development objectives and goals to achieve within certain timeframes.

The long-term objectives of NEPAD include:

- (i) To eradicate poverty in Africa and to place African countries, both individually and collectively, on a path of sustainable growth and development and thus halt the marginalisation of Africa in the globalisation process; and
- (ii) To promote the role of women in all activities.

Two goals have been set in order to achieve the above objectives and include:

- (i) To achieve and sustain an average gross domestic product (GDP) growth rate of more than seven percent per annum for the next 15 years; and
- (ii) To ensure that the continent achieves the agreed Millennium Development Goals.

The strategy has the following expected outcomes:

- (i) Economic growth and development and increased employment;
- (ii) Reduction in poverty and inequality;
- (iii) Diversification of productive activities, enhanced international competitiveness and increased exports; and
- (iv) Increased African integration (NEPAD, 2001 cited by SBS, 2006:119).

Notable is the coherence and strategic alignment between the expected outcomes of the NEPAD and the MDGs contained in the millennium declaration. From the afore-going discussion, it can be rightfully argued that the MDGs as well as NEPAD provide a strategic framework for advancing sustainable development discourses within the African continent. An analysis of the objectives, goals and expected outcomes of NEPAD indicates the influence that the implementation of disaster risk reduction/management will have on the realisation of the African continent's development aspiration. This is evident in the African regional strategy for disaster reduction jointly developed by the AU and NEPAD (AU & NEPAD, 2004; AU & UNISDR, 2004a). A conclusion that the development agenda of the African continent is on a stable course will be precipitated. This is because of the predominance of undemocratic practices associated with some governments on the continent. Some studies such as Patrick Chabal's *The Quest for good governance and development in Africa* (Chabal, 2002:449) observes that with few exceptions, it is difficult to demonstrate that multi-party competition has resulted in more effective or accountable government. This state of affairs is not favourable for any form of development and, in fact, forms the heart of vulnerability. However, this point will not be explored exhaustively as it is out of scope for this study. Relevant to this study is to demonstrate the relationship between the development and disaster risk management and reduction framework for the region.

Considering the inherent contribution of disaster risk reduction towards sustainable development as introduced previously, the African community also adopted the disaster risk reduction framework to support the achieving of the continent's development objectives. This framework is known as the Africa Regional Strategy for Disaster Reduction and set out below.

5.4.2.1 Linkage with the Africa Regional Strategy for Disaster Reduction 2004

The interdependence of development and disaster risk management and reduction has also been identified as an important measure for realising the objectives of NEPAD. This

is also due to the realisation that Africa's share of disasters has increased. Also, more people are affected by hazards and disasters which threaten the achieving of sustainable development goals (AU & ISDR, 2004a:2). To this end, the need to address disaster risk comprehensively came to the fore during the early 2000 in the process of developing the NEPAD's operational programmes. This is a situation which provided the impetus to the development of the regional disaster risk reduction strategy which is now referred to as the Africa Regional Strategy for Disaster Reduction (AU & ISDR, 2004). The Africa Regional Strategy holds six objectives, namely:

- (i) Increased political commitment to disaster risk reduction;
- (ii) Improved identification and assessment of disaster risks;
- (iii) Enhanced knowledge management for disaster risk reduction;
- (iv) Increased public awareness for disaster risk reduction;
- (v) Improved governance for disaster risk reduction institutions; and
- (vi) Disaster risk reduction integrated into emergency response management (AU & ISDR, 2004:9).

Noteworthy is the alignment between the objectives and the priorities for action of the Hyogo Framework for Action 2005-2015. The Programme of Action (2009) and the Extended Programme of Action followed the strategy for implementation 2006-2015 (AU & ISDR, 2010). The overall goal of the extended Programme of Action is a substantial reduction of social, economic and environmental impacts of disasters on African people and economies, thereby facilitating the achievement of the MDGs and other development aims in Africa (AU & ISDR, 2010:4). It contains six strategic areas on intervention linked to its six objectives for the implementation of the strategy. The strategic areas of intervention are further broken down into major areas of activity, expected results, measurable indicators and institutions to be involved (AU & ISDR, 2010).

The strategy is therefore founded on the aim and objective of contributing to the attainment of poverty eradication and achieving the continent's sustainable development goals in line with NEPAD (AU & ISDR, 2010). This will be done through the implementation of risk reduction measures as contained in the strategy. Thus the key message during the implementation phase of the strategy is to emphasise the need to mobilise various stakeholders and role players to implement the strategy. The RECs are specifically given the mandate, with support from specialised agencies and civil society, to

ensure the mainstreaming of disaster risk reduction into sustainable development initiatives (AU & ISDR, 2010:8).

The discussion points to the need for a collective vision and integrative programming of development and disaster risk management and reduction for the Africa region. This approach should also find expression in sub-regional and national frameworks such as the SADC. A review of the SADC frameworks on development and disaster risk management and reduction follows.

5.4.3 SADC's Regional Indicative Strategic Development Plan (RISDP) and SADC Multi-sectoral Disaster Risk Management Strategy

As part of the global village, the SADC region has also realised the need to define its development needs and craft its development strategies guided by the regional and global frameworks. This bodes well to the objective of SADC as discussed in chapter 1, namely to promote sustainable and equitable economic growth and socio-economic development that will ensure poverty alleviation with the ultimate objective of its eradication, enhance the standard and quality of life of the people of Southern Africa and support the socially disadvantaged through regional integration (SADC, 1992; 2001c). In August 2003, the Council of Ministers of SADC adopted its development framework which came to be referred to as the Regional Indicative Strategic Plan (the RISDP). The RISDP is meant to serve as a blueprint for regional integration in SADC. SADC's vision of a common future within a regional community, as well as its mission to promote sustainable and equitable economic growth and socioeconomic development underpin this blueprint. The RISDP's vision will be achieved through, among other things, deeper cooperation and integration within the sub-region. It therefore sets the priorities, policies, and strategies for achieving the SADC community's long-term goal which is the eradication of poverty in the region.

The ultimate objective of the RISDP is therefore "to deepen the integration agenda of SADC with a view to accelerating poverty eradication and the attainment of other economic and non-economic development goals" (Tralac, 2012). It is also worth noting that the RISDP is indicative in nature and shows the necessary conditions to be realised towards the attainment of SADC's integration and sustainable development goals. In other words, it is not a prescriptive type of plan in order to provide for context based adaptation of development approaches. It only provides SADC member states with a coherent and comprehensive development agenda on social and economic policies over the next fifteen years (2001–2015). Also, the agenda allows the latitude for member states to tailor to their

own country circumstances. From an institutional coordination and support point of view, it also provides the Secretariat and other SADC institutions with clear guidelines on SADC's approved social and economic priorities and policies. Therefore it enhances the member states' effectiveness in executing their facilitating and coordinating role (SADC, 2003:7; Kalaba *et al.*, 2006:25). According to SADC (2003b) and Kalaba *et al.*, (2006:25), there are four main areas of the RISDP that have been identified for policy intervention. They include:

- (i) Trade and economic liberalisation;
- (ii) Infrastructure and services;
- (iii) Food security; and
- (iv) Social and human development.

Worth noting is the harmonisation of the SADC policy intervention priorities with the objectives of the NEPAD as discussed in the preceding section. Kalaba *et al.*, (2006:25) points out that the RISDP emphasises that good political, economic and corporate governance are prerequisites for sustainable socio-economic development. He continues that SADC's quest for poverty eradication and deeper levels of integration will not be realised if the prerequisites are not in place. As pointed out before, this fact also lends credence to the fact that the RISDP targets consider and incorporate the Millennium Development Goals (MDGs) and other internationally agreed parameters. To this end, Kalaba *et al.*, (2006:25) concludes that these areas are crucial for sustainable development in the region.

It is furthermore important to also consider and reflect on SADC's challenges. These challenges range from political to administrative issues and include shortage of technical staff, poor work environment, inadequate communication and coordination of the units within the secretariat, the inability of SADC to enforce compliance (Tjønneland, 2005:72). Other leadership challenges relates to the failure to advance to a common political system and macro-economic instability (Mulaudzi, 2006:26), the completion of the institutional restructuring process, the relationship between SADC and the continental initiatives, the poor role of the NGOs and other non-state actors as well as the relationship between the Regional Economic Communities (Isaksen, 2002:64). These challenges have a bearing on the success of the institutional model for collaborative disaster risk management to be presented in chapter 7 and cannot be ignored. However, it will be too hasty to reflect that SADC as an institution is completely encumbered with challenges as other positive social,

economic, institutional and environmental spin-offs flow from its system. These will however not be discussed in detail as it falls outside the scope of the study.

In view of the chapter focus considering the sustainable development perspectives of SADC, a complete analysis of the RISDP requires a reflection on the SADC's disaster risk management frameworks. To this end, the next section explores the SADC Disaster Management Strategy, 2001 (SADC, 2001b). This is based on the fact that attaining Millennium Development Goals is critical to reduce vulnerability to disasters and vice-versa (ISDR, 2004:6; 2005a; UN, 2005).

5.4.3.1 *Linkage with the SADC Multi-sectoral Disaster Risk Management Strategy 2001*

The SADC community has also identified the need to move with international trajectories by putting in place disaster risk reduction measures that contribute to supporting the developmental objectives of the sub-regions. In August 2001, the SADC Council adopted the SADC Disaster Management Strategy 2001 (SADC, 2001b; AU & ISDR, 2004a). The need for a developmental response to the increasing incidents of hazards and disasters such as drought, floods and epidemics in Southern Africa (SADC, 2001b:4) which challenges the realisation of the region's developmental objectives, necessitated the introduction of such a strategy. It was also due to the realisation that disaster management capacities in the region vary considerably amongst countries and required to be harmonised through a collective framework. Furthermore, the existing efforts of various sectors such as health, meteorology, water, food, agriculture and natural resources management, environmental and land management, were not well coordinated (SADC, 2001b). This state of affairs was considered to compromise response and risk reduction efforts in the region. The SADC strategy was therefore adopted with the purpose to join and harmonise the many regional and national activities and plans which relate to disaster risk management and reduction. The intention of this harmonisation is to create and strengthen the capacity for disaster preparedness, mitigation, response and reconstruction/rehabilitation at national and regional levels (SADC, 2001b:35; 2010a; 2010c).

To close, the three founding objectives of the SADC strategy include:

- (i) To integrate sectoral activities which relate to disaster management into a single SADC disaster management mechanism;

- (ii) To identify priority programme areas and formulate a coordinated, sustainable and integrated plan of action aimed at strengthening capacity at national and regional levels for disaster preparedness, mitigation and response and reconstruction/rehabilitation; and
- (ii) Provide institutional and implementation arrangements towards the actualisation of the SADC disaster management mechanism (SADC, 2001b:35).

In 2010, SADC initiated the review of the SADC strategy in order to align it with SADC's own strategic development goals (as spelled out in the RISDP and its Strategic Indicative Plan for the Organ – the SIPO) as well as the global and regional development and disaster risk reduction/management frameworks (SADC, 2010c:7).

As with the HFA 2005-2015 (UN, 2005), the Africa Regional Strategy for Disaster Reduction 2004 (AU, 2004) and the SADC Disaster Management Strategy 2001 and 2010 (SADC, 2001b; 2010b) confirm the co-evolution and the inextricable relationship between development and disaster risk management and reduction at policy and execution levels. It also denotes that local level integration is critical for the success of global programmes for development and risk reduction at all levels. This implies that every effort to provide service with the aim to reduce poverty and achieve sustainable development must be tailored to reduce vulnerability in all its facets as discussed in section 5.3.1. For this reason, it is important to reflect on the causal relationship between development and disaster risk management and reduction from two perspectives. These perspectives are to determine how development or the lack thereof increases vulnerability and in which way development increases resilience. To wrap up, the ensuing section explores how the link between disaster risk reduction and management and development plays out in the context of the pressure and release model (i.e. the Progression of Vulnerability and the Progression to Safety) (Wisner *et al.*, 2004; Twigg, 2004; Wisner *et al.*, 2012).

5.5 THE PRESSURE AND RELEASE (PAR) MODEL AS A FOUNDATIONAL AND CONCEPTUAL FRAMEWORK TO ILLUSTRATE THE DISASTER AND DEVELOPMENT RELATIONSHIP

The preceding analysis of the disaster and development interface confirms that development, irrespective of the scale, has an effect on disasters while disasters also have an effect on development (Collins, 2009; Wisner *et al.*, 2012). In particular, the wide spread acknowledgement that disaster management plans must be integrated within development plans confirms the fact that disaster risk reduction and development are mutually inclusive (South Africa, 2000:39). Collins (2009:46) concludes that interpretations of disasters in terms of development range from fatalistic views of unsustainable development to more optimistic versions of the human capacity to cope adapt and prosper. This will represent what can be termed a resilient nation or community.

The pressure and release model is outlined to demonstrate the relation as described above. The model will prove the fact that disaster risk reduction, as with development, requires the contribution of different stakeholders to ensure its success. This model was chosen as it is able to concretise the relationship between development and disaster risk management and reduction. This concretisation is needed to ensure that the institutional model for disaster risk management in the SADC (to be depicted in chapter 7) is tailored towards the contribution of disaster risk reduction for the SADC developmental agenda. It will therefore assist SADC member states to craft their development and disaster risk management and reduction policies with an integrative orientation. The progression of the vulnerability dimension of the model is presented in figure 5.2 below.

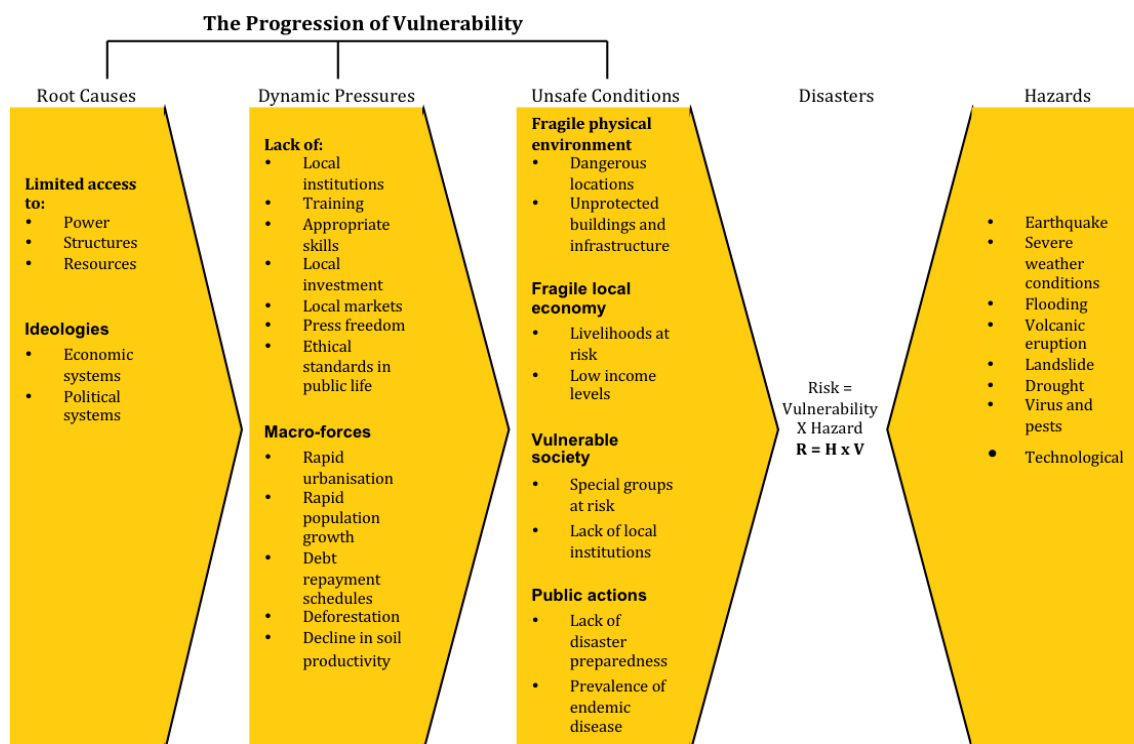


Figure 5.2: The progression of vulnerability

(Wisner *et al.*, 2004: 51; 2012:12)

The outline of the pressure and release model has depicted in which way failed development policies and efforts can lead to the creation of vulnerabilities. It has also provided a framework in which SADC member states ought to craft their disaster risk reduction when in quest to force away frontiers of poverty and underdevelopment. Therefore the framework is essential to assist in the implementation of the SADC institutional model as presented in chapter 7. An outline of the release framework is necessary to complete the cycle of the development and disaster risk management and reduction interface. This release framework is referred to as the progression to safety or the release perspective as outlined in figure 5.4 below.

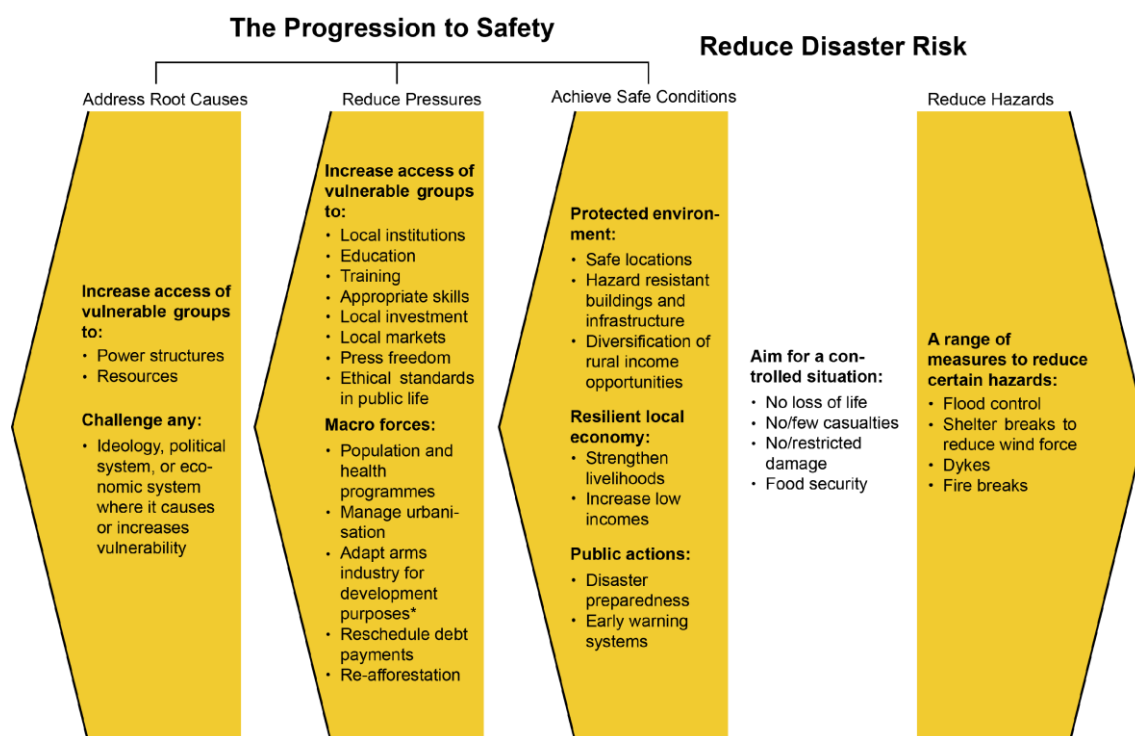


Figure 5.3: Progression of safety

(Wisner *et al.*, 2004:259; 2012:13)

An analysis of the Pressure and Release Model in the context of the institutional model for disaster risk management in SADC provides valuable lessons necessary for the success of SADC collaboration. Firstly, the SADC frameworks need to be structured as a standard for member states to constitute policies that direct to the strengthening of livelihoods. This must be done through well-defined legislative mechanisms (Twigg, 2004:78; Wisner *et al.*, 2012:31). Secondly, the success of the SADC collaborative model depends on how role players, who are responsible for various aspects of development, participate and take ownership of risk reduction measures to feature the perspectives of the pressure and release model. These role players include, but are not limited to, the private sector, international institutions, businesses, civil society organisation and communities. This will bode well for the globally adopted philosophy that *Disaster Risk Reduction is Everybody's Business* (Twigg, 2004; South Africa, 2003; ISDR, 2004:13; South Africa, 2005; ISDR, 2005a; Wisner *et al.*, 2012:1). The evolution of thought and policy discourses on climate change as well as the acknowledgement of its effects on disaster risk made the inclusion of an analysis of disaster risk management and reduction discourses at all levels critically important when dealing with climate change. To this end, the ensuing section outlines the impact of discourses about climate change. It also illustrates its interplay with disaster risk

management and reduction. It should however be pointed out that a detailed discussion of the disaster risk management and reduction policy frameworks of SADC member states in this chapter has already elaborated on the matter through its discussion on individual SADC member states' integration of the three disciplines.

5.6 THE PLACE OF CLIMATE CHANGE ADAPTATION IN THE REALM OF DEVELOPMENT AND DISASTER RISK MANAGEMENT AND REDUCTION

The growing debates on the interconnection between development, disaster risk management and reduction and climate change has not only been an academic preserve but a society-wide matter. The effect of each of these phenomena on one another is a subject of on-going research and documentation (see South Africa, 2005; ISDR, 2004; 2005a; 2005b; IPCC, 2007; ISDR, 2010; South Africa, 2011a; 2011b; 2013; Faling, Tempelhoff & van Niekerk, 2012). This is because evidence is mounting that the achievement of the objectives of each of the phenomena is contingent on the integration of the other two. Schipper and Pelling (2006) were therefore realistic to conclude that reducing losses to weather related disasters, meeting the Millennium Development Goals and the wider human development objectives and implementing a successful response to climate change are aims that can only be accomplished if undertaken in an integrated manner. Climate change considerations should therefore be an integral component of a list aimed at delivering on development objectives as well as on disaster risk reduction.

Consistent with this view, the South African government has determined its national response to climate change as standing in two key objectives, namely:

- a) To effectively manage inevitable climate change impacts through interventions that build and sustain South Africa's social, economic and environmental resilience and emergency response capacity. Worth noting is the fact that these intervention areas are critical to both disaster risk reduction and to achieve sustainable development objectives.
- b) Make a fair contribution to the global effort to stabilise greenhouse gas (GHG) concentrations in the atmosphere at a level that avoids dangerous anthropogenic interference with the climate system within a timeframe that

enables economic, social and environmental development to proceed in a sustainable manner (South Africa, 2011a).

If these objectives serve as departure point for disaster risk reduction and management, it can be argued that the uncontrolled increase in GHG emission will lead to increased and potentially extreme hazards and disasters with a negative effect on the socio-economic and environmental systems of any given area. Notable and linked to the focus of the study, is that these effects will also have cross-boundary implications which necessitate the fostering of a collaborative regional and international system for sustainable development, disaster risk management and climate change.

Linked to this assertion for achieving effective climate change response, the South African Climate Change Response White Paper (South Africa, 2011a:11) identifies nine (9) central principles which cut across sustainable development and disaster risk reduction and management as cited below:

- a). **Common but differentiated responsibilities and respective capabilities** – This entails aligning our domestic measures to reduce the country's GHG emissions and adapt to the adverse effects of climate change with our unique national circumstances, stage of development and capacity to act.
- b). **Equity** – By ensuring a fair allocation of effort, cost and benefits in the context of the need to address disproportionate vulnerabilities, responsibilities, capabilities, disparities and inequalities.
- c). **Special needs and circumstances** – By considering the special needs and circumstances of localities and people that are particularly vulnerable to the adverse effects of climate change, including vulnerable groups such as women, especially poor and/or rural women; children, especially infants and child-headed families; the aged; the sick and the physically challenged.
- d). **Uplifting the poor and vulnerable** – By ensuring that climate change policies and measures address the needs of the poor and vulnerable and ensure human dignity, whilst endeavouring to attain environmental, social and economic sustainability.
- e). **Intra- and Inter-generational sustainability** – By managing our ecological, social and economic resources and capital responsibly for current and future generations.

- f). **The Precautionary Principle** – By applying a risk-averse and cautious approach, which takes into account the limits of current knowledge about the consequences of decisions and actions.
- g). **The Polluter Pays Principle** – By ensuring that those responsible for harming the environment are paying the costs of remedying pollution and environmental degradation and supporting any consequent adaptive response that may be required.
- h). **Informed participation** – By enhancing public awareness and understanding of climate change causes and impacts to promote participation and action at all levels.
- i). **Economic, social and ecological pillars of sustainable development** – Recognising that a robust and sustainable economy and a healthy society depends on the services that well-functioning ecosystems provide, and that enhancing the sustainability of the economic, social and ecological services is an integral component of an effective and efficient climate change response.

The foregoing discussion therefore demonstrates that the failure in sustainable development, disaster risk management and climate change policies and processes will increase exposure or susceptibility to hazards due to the erosion of resilience. This happens with development measures which erode the capacity to cope with and recover from hazards (Collins, 2009) as depicted in figure 5.2 on the progression of vulnerability (section 5.5).

This is common for countries where there is low levels of institutional mechanisms, poor advocacy programmes, low levels of buy-in for and poor legal instruments to guide the function. These practices demonstrate that the risk reduction perspectives of managing disaster risk through proactive integration of resilience measures in development are compromised. This is a hazards-based thought and approach to the management of disasters and characteristic of the 1930s throughout to the 1960s.

On this ground the quote below concludes the inextricable link between disaster risk reduction and management and climate change adaptation and sustainable development.

“Lives can be saved by advance planning—and by building schools, homes, hospitals, communities and cities to withstand hazards. Such measures to reduce risk will grow even more important as our climate changes and extreme events become more frequent and

intense. Countries that incorporate climate adaptation and disaster risk reduction into their budgets and development planning will be better placed to protect hard-won development gains and accelerate progress towards the Millennium Development Goal.” - Ban Ki-Moon, UN Secretary General (UN, 2011b).

It is worth noting that the interface of the three constructs is currently the centre of international lobbying and negotiations around development, disaster risk reduction and climate change. These lobbying themes and positions papers point to the view that the post-2015 frameworks governing development, disaster risk reduction and climate change must reflect and symbiotic interface of development, disaster risk reduction and climate change as depicted in the Sendai Report (WB, 2012:32). The relationships are depicted in figure 5.4 below.

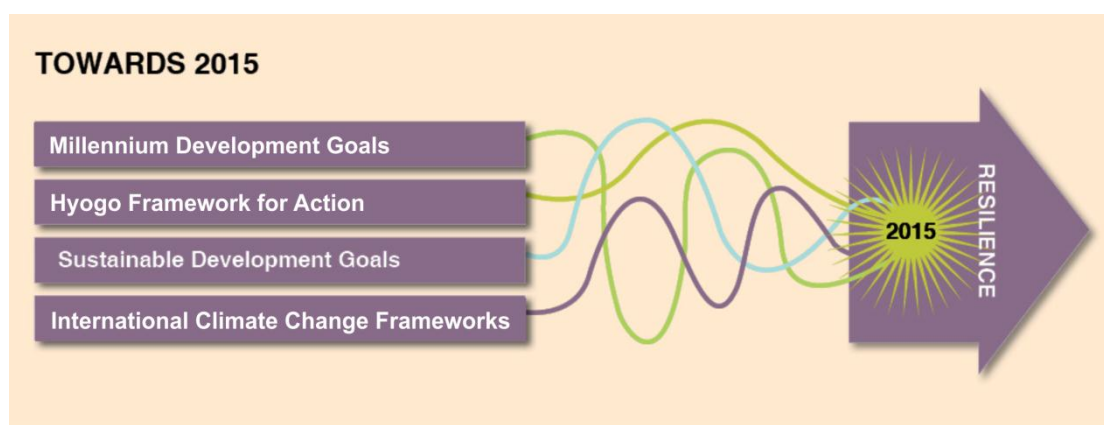


Figure 5.4: Post 2015 development, disaster risk reduction and climate change framework
(WB, 2012:32)

The realisation of this scenario will ensure that disaster risk reduction and climate change are parts of the same coin, which is the development agenda founded on resilience building. In line with chapter 2 of the study, it is critical to acknowledge that the role of international organisations and other state and non-state actors is fundamental to the fruition of this strategic alignment.

5.7 CONCLUSION

The preceding chapter outlined the inter-linkages between development and disaster risk management and reduction. It also explained the relatively new and evolving thought processes and practices on climate change adaptation as a concern for reducing risk in the context of sustainable service delivery and development. A comparative discussion of the global, regional and national frameworks depicting this co-evolution served as a useful tool to depict how the theoretical constructs of these realms (development, disaster risk reduction and climate change) find international, regional and national expressions through the reviewed frameworks. Consistent with chapter 2, it is clear that the structure of the reviewed frameworks calls for continuous interactions between states in order to champion the process of realizing the frameworks' fundamental goals. This is critical to ensure standardisation and collaborative implementation of the frameworks.

The chapter has therefore addressed the research objective to identify and examine global, regional and national development and disaster risk reduction instruments such as policy instruments, protocols and strategies governing global, regional and national collaboration on development and disaster risk management and reduction programmes. In line with chapter 2 of the study, this chapter also explained the role of international institutions such as the United Nations, the African Union, SADC as well as their associated institutions and non-state actors that influence and support its objectives.

Hence, the chapter has set a foundation for analysing the way in which individual SADC member states developed their disaster risk management and reduction frameworks as a response to the international call. It also depicted how these frameworks incorporate considerations for climate change adaption. The next chapter presents an analysis of the SADC disaster risk management policies and operational frameworks.

CHAPTER 6

SADC MEMBER STATES' DISASTER RISK MANAGEMENT POLICIES, IMPLEMENTATION FRAMEWORKS AND PRACTICES: EXPLORING CONJUNCTURES AND DISJUNCTURES

6.1 INTRODUCTION

The previous chapter outlined the interface and interdependence of development and disaster risk management and reduction based on the review of existing frameworks and an analysis of the current practices. It also reflected on the effect of climate change and variability on development and disaster risk management and reduction. This chapter departs from that foundation and analyses the SADC member states' disaster risk management and reduction legal frameworks and practices. The following review presents the literature that is pertinent to the study field from four (4) points criteria. *Firstly* the disaster risk reduction policy and institutional arrangements of the SADC member states are analysed. This analysis focuses on legislation as well as the existence and location of the disaster risk reduction unit. *Secondly*, in line with the focus of chapter 5, a review is presented of the policy and practice orientation towards disaster risk reduction and development and reference to climate change. *Thirdly*, aligned with chapter 2, the involvement and roles of international organisations and other non-state actors is discussed. The *fourth* criteria align with the overall focus of the study and the chapter explores each SADC member state's policy pronouncement or practices regarding regional collaboration on disaster risk management. The chapter therefore addresses two study objectives. The first objective involves the identifying of the existing policies, legislative provisions and institutional arrangements currently in existence in all SADC member states governing disaster risk management. The other objective that is attended to includes the identifying of the areas of alignment or misalignment within the existing policies and legislative instruments in the SADC.

The first section gives a reflection of the African continent's evolving and comprehensive integration agenda to set the scene for the chapter. This is important because of a realisation that international collaboration has received heightened focus within global and regional frameworks in order to enhance collective developmental benefits. The chapter is

organised into three (3) broad sections, namely the African position and trajectories on integration and collaboration, an overview of the SADC institutional mechanism and the review of disaster risk reduction policies of SADC member states. The review of policies of SADC member states is undertaken per individual country in line with four (4) predetermined analytical themes, namely:

- i) Disaster risk reduction policy and institutional arrangements of the SADC member states;
- ii) The policy and practice orientation towards disaster risk reduction and development and reference to climate change;
- iii) The involvement and roles of international organisations; and
- iv) A policy pronouncement or practices around regional collaboration on disaster risk reduction.

The SADC member states whose policies are analysed are listed chronologically in the section below. Based on the focus of the research, this analysis laid the foundation for the conceptualisation of the institutional model for collaborative disaster risk management for SADC as described in chapter 7.

6.2 AFRICA ADOPTING AN AFROCENTRIC *ALBEIT* LIBERAL STAND

The democratisation of the African continent in the 1960s heralded the beginning of a collective vision and structured measures to ensure that Africa and its people prosper in order to meet the needs of her peoples. This became evident with the emergence of structured policy reforms and greater advocacy for policy alignment to ensure synergies between the African states. In particular, in adopting the African Union Charter (OAU, 1963), the Heads of African States resolved *inter alia*, that:

“Member states shall coordinate and harmonise their general policies, especially in the following fields:

- Political and diplomatic cooperation;
- Economic cooperation, including transport and communications;
- Education and cultural cooperation;

- Health, sanitation and nutritional cooperation;
- Scientific and technical cooperation; and
- Cooperation on defence and security” (OAU, 1963:3).

The need of African leaders for emancipation and self-actualisation has always been central to their democratisation resolve and thus is a critical feature of these developments. Realising the importance of self-reliance, the continent’s commitment to guidelines and measures for national and collective self-reliance in economic and social development for the establishment of the new international economic order was reaffirmed during the Assembly of Heads of State and Government of the then Organisation of African Unity (OAU) from 28 to 29 April 1980 (OAU, 1980:4). In their sitting held in July 1985, the Heads of States and Government of the OAU, reaffirmed their commitment to collective action by undertaking to: “Individually and collectively formulate national policies on the various areas which will define and underscore the specific cultural development objectives as well as the conditions and methods for their implementation. The national cultural policies thus defined would be harmonized at the regional and sub-regional levels within the context of the Lagos Plan of Action (OAU, 1985)”.

Within the disaster risk reduction front and taking into account international discourses, the African continent adopted the framework for driving the disaster risk reduction agenda known as: the Africa Regional Strategy for Disaster Reduction 2004 (AU & ISDR, 2004a). The framework was discussed in detail in chapter 5 above (see section 5.4.2.1).

The discussion of the SADC policy framework and implementation systems follows in a chronological order in the next section. This is to provide a theoretical foundation on policy and institutional arrangements, disaster risk reduction and development interface, the role of international organisations in SADC disaster risk reduction processes as well as policy pronouncement and practices relating to cross-border and regional collaboration.

6.3 OVERVIEW OF SADC AND ITS INSTITUTIONAL ARRANGEMENTS

The Southern African Development Community (SADC) represents the southern part of the African Continent. It is constituted of fifteen (15) states, namely Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique,

Namibia, Seychelles, South Africa, Swaziland, Tanzania, Zambia and Zimbabwe. The history of SADC and its founding objectives were discussed in chapter 1. The details of countries that form part of the SADC member states are depicted in figure 6.1.



Figure 6.1: Map of SADC

(SADC, 2013a; 2013b)

The reason and importance for providing the SADC map in the study is two-fold, namely to depict the:

- (i) Details and spatial location of the SADC member States; and
- (ii) Spatial location of the SADC member states in relation to one another to assist in the conceptualisation of the envisaged collaborative model.

6.3.1 Background of the SADC

The formation of SADC was a collective milestone that was achieved when the African continent was liberalised from its dark and hopeless past. As discussed in chapter 1, SADC was established in 1992 (SADC, 1992; 2001c). The aspect that mainly motivated its establishment was the quest to foster regional integration. This integration was to occur through the objectives to ensure poverty eradication within southern Africa through

economic development and integration as well as to ensure peace and security (SADC, 2003; 2010c; 2013b). This is done through the definition of regional priorities, facilitation of integration, assistance in mobilising resources and the maximisation of the regional impact of projects. It is driven through SADC sectors which coordinate sector specific policies, strategies, priorities and the processing of projects for inclusion in the sectoral programmes. The institution also monitors progress against projects and reports to the Council of Ministers (SADC, 1992; 2001c:12; 2010c). According to Le Pere and Tjønneland (2005:7), SADC has experienced and been subject to the convulsive changes that have accompanied globalisation and trade liberalisation. It is noted that the following factors complicated and shaped SADC's regional integration agenda:

- (i) The integration and expansion of the European Union (EU);
- (ii) The evolving but highly contested trade diplomacy in the World Trade Organisation (WTO);
- (iii) The free trade agreement between South Africa and the EU;
- (iv) Institutional and programmatic developments in the African Union (AU) and the New Partnership for Africa's development (NEPAD) and;
- (v) The implications of the new trade and development framework with the EU under the Cotonou Agreement.

Based on these factors, Le Pere and Tjønneland's (2005:7) argument holds that these developments and circumstances invites systematic treatment of SADC as a region because it has a variety of notable empirical realities and attributes that distinguish it from other regions in Africa and elsewhere. These attributes relate to factors such as its varying economic profiles. This is due to the characteristics of Land-locked States (LLS) and Small Island Developing States (SIDS) like varying development patterns, wider language variations, spatial dynamics as well as varying capacities for reducing disaster risk and responding to disaster incidents. The study is however only limited to address the effect of these factors on an institutional model for collaborative disaster risk management of the sub-regions. To clarify these points, an analysis of the configuration of the SADC is critical and involves eight (8) institutions, namely:

The current SADC institutional configuration and functional clustering as at 2010 (SADC, 2010b:7-8; 2013a) is depicted in figure 6.2 and 6.3 below. Figure 6.2 depicts the high level configuration of the SADC institution. The institutional configuration is hierarchical in

nature and consists of the Summit of Heads of State and the Government, the Tribunal, Council of Ministers, Organ on Politics, Defence and Security Cooperation, sectoral Ministerial Committees, the SADC Secretariat, Standing Committee of Senior Officials, the National Committee and Sub-committee of the National Committees (SADC, 2010b:8).

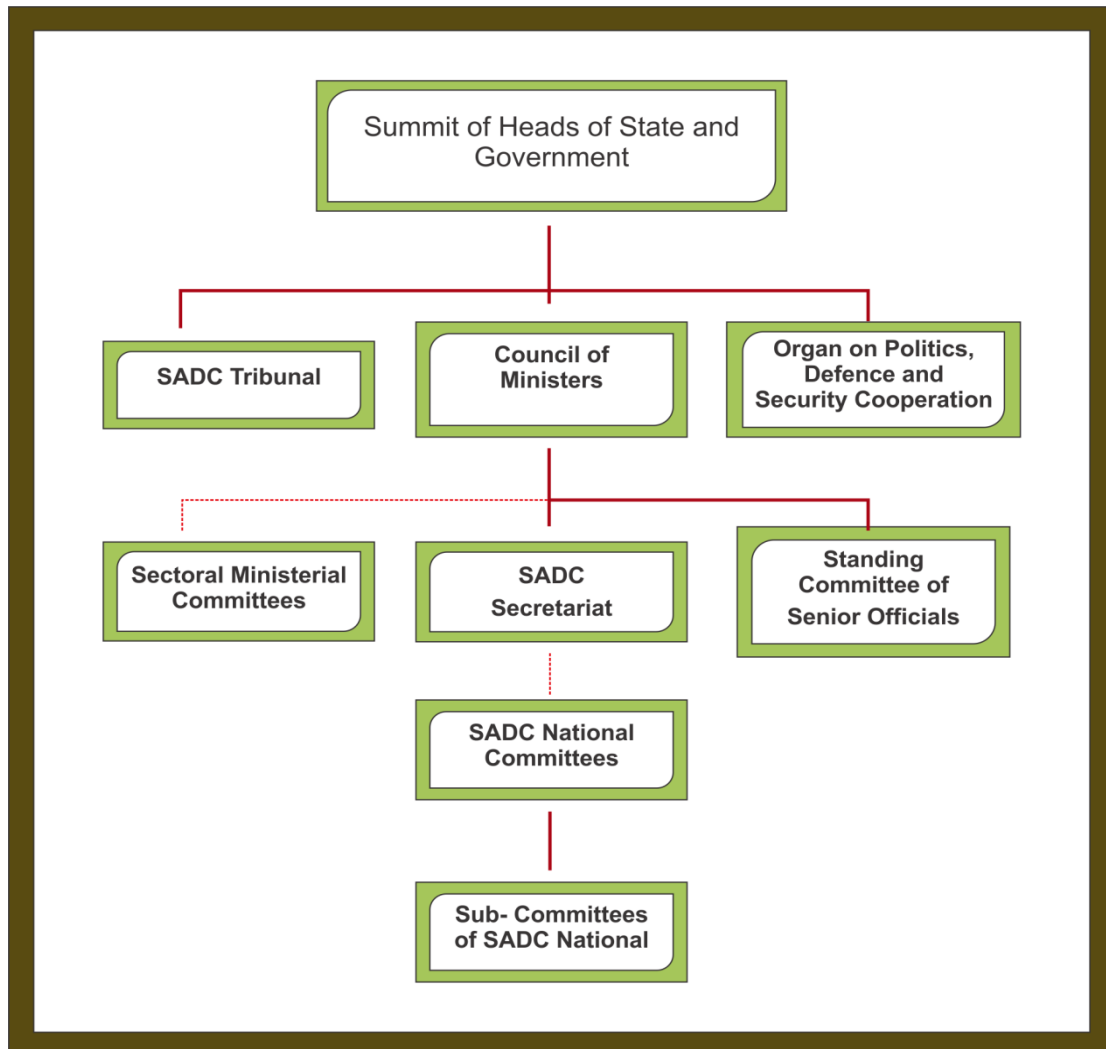


Figure 6.2: SADC structure

(SADC, 2010b:7)

To realise the objective of SADC as: “.... an inter-governmental economic and political body which aims to achieve development and economic growth, alleviate poverty, enhance the standard and quality of life of the people of southern Africa and support the socially disadvantaged through regional integration...” (SADC, 2010b:7), the SADC programmatic structure is packaged into functional clusters whose mandates are executed through five directorates as contained in figure 6.3 below.

In line with the objective of SADC, the functional structure is responsible for: “.... the harmonisation of political and socio-economic policies and plans of member states, mobilisation of the peoples of the region and their institutions to take initiatives to develop economic, political and cultural ties across the region and the creation of appropriate institutions and mechanisms for mobilisation of requisite resources for the implementation of programmes and operations of SADC and its institutions.... ” (SADC, 2010b:7). Those directorates include:

- i. Trade, Industry, Finance and Investment;
- ii. Infrastructure and services;
- iii. Food, Agriculture and Natural Resources;
- iv. Social and Human Development and Special programmes, and;
- v. Politics, Defence and Security Cooperation (SADC, 1992; 2001c; 2010b:8).

Each directorate is responsible to deliver defined cluster programmes in pursuit of delivering on the SADC objective. The five clusters are designed as depicted hereunder:

- i. Industry and trade, finance and investment mining;
- ii. Transport, Communication and Meteorology, energy, tourism and water
- iii. Crop production, food, agriculture and natural resources, agricultural research, livestock production and animal disease control, inland fisheries, marine fisheries and resources, forestry and wildlife;
- iv. Human resources development, employment and labour, culture information and sport, health, combating illicit drug trafficking, and;
- v. Politics, defence, state security and public security (SADC, 2010b:8; 2013a).

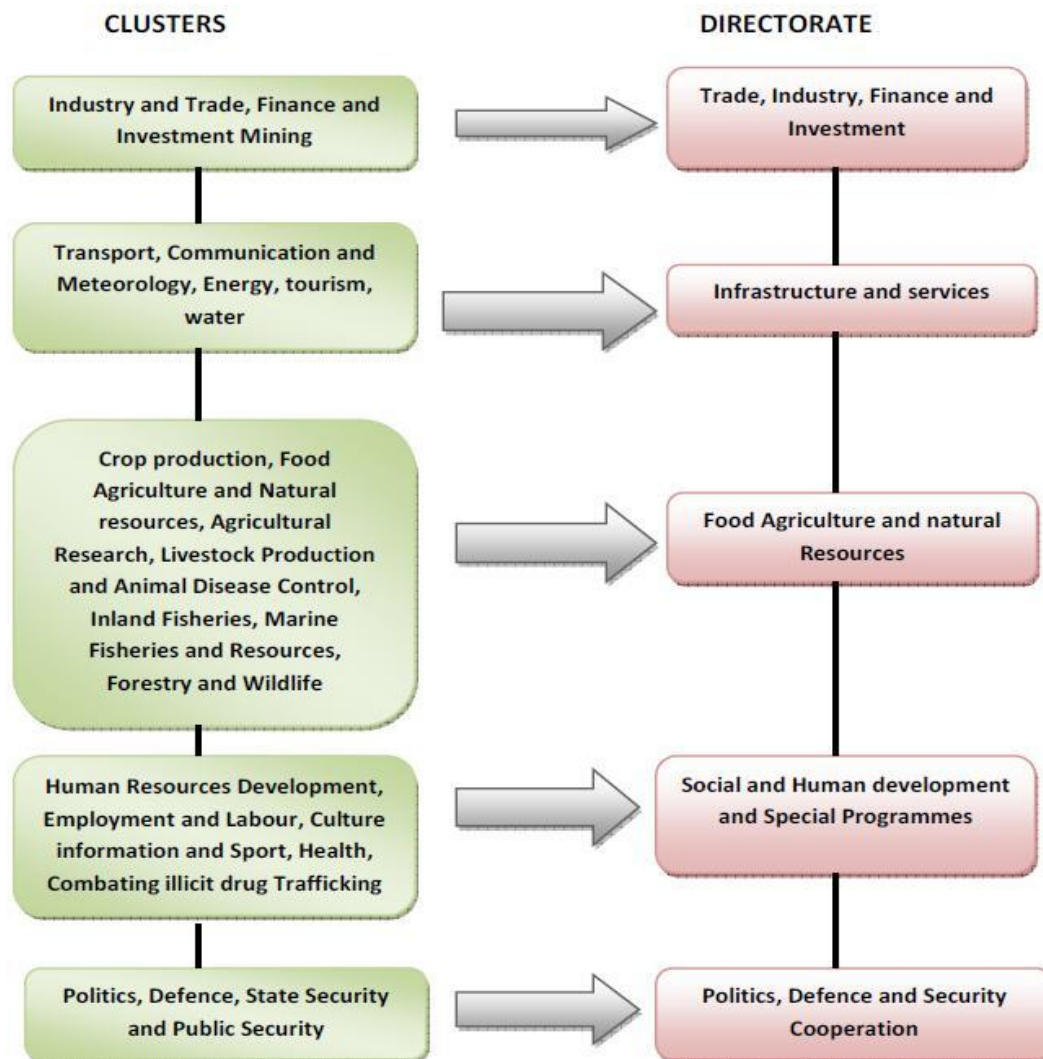


Figure 6.3: SADC Programmatic Structure

(SADC, 2010b:8; 2013a)

The programmatic configuration of the SADC is responsible for the administration of various Protocols adopted by the SADC to give effect to its mandate. The discussion introduces the Protocols of the as identified in the course of the study.

6.3.2 SADC Protocols

As pointed out in chapter 2, Treaties and Protocols (and their subsidiary frameworks such as Memoranda of Understanding or Agreement, etc) are critical frameworks for codifying principles and conceptual boundaries of collaboration. These are even more useful in international relations discourses to ensure that collaboration is undertaken from a well-

defined point of reference. It is on this basis that the SADC leadership has also adopted the SADC Treaty and secondary frameworks in the form of SADC protocols. To give effect to the SADC treaty as discussed in chapter 1, the SADC has adopted 26 Protocols (including those that have not come into force) to govern matters of common interest between and among the SADC countries. The protocols in question are depicted in table 6.1 below.

Table 6. 1: Protocols of the SADC

26 SADC PROTOCOLS	YEAR
Protocol on Treaty Establishing SADC on Immunities and Privileges	1992
Protocol on Finance and Investment	2006
Protocol on Shared Watercourses	2000
Protocol on Shared Watercourses (revised)	2000
Protocol on Combating Illicit Drug Trafficking in the Southern African Region	1996
Protocol on Energy	1996
Protocol on Mining	1997
Protocol on Trade	1996
Protocol on Trade in Services	2012
Protocol on Transport, Communications and Meteorology	1996
Protocol on Education and Training	1997
Protocol on Tourism	1998
Protocol on Wildlife Conservation and Law Enforcement	1999
Protocol on Legal Affairs	2000
Protocol on the Tribunal and the Rules of Procedure thereof	2000
Protocol on Fisheries	2001
Protocol on the Control of Firearms, Ammunition and other related Materials	2001

26 SADC PROTOCOLS	YEAR
Protocol Against Corruption	2001
Protocol on Politics, Defence and Security Cooperation	2001
Protocol on Culture, Information and Sport	2001
Protocol on Extradition	2002
Protocol on Gender and Development	2008
Protocol on Health	1999
Protocol on Mutual Legal Assistance on Criminal Matters	2002
Protocol on Science, Technology and Innovation	2008
Protocol on Facilitation and Movement of Persons	2005
Protocol on Forestry	2002

(SADC, 2010a)

It is worth noting that the disaster risk management and reduction policy reform was no exception to the protocol arrangements. The disaster reduction function is dealt with in the Protocol on Politics, Defence and Security Cooperation as administered by the Organ on Politics, Defence and Security Cooperation. To that effect, the Disaster Risk Reduction Unit has been established as a unit under the Organ on Politics, Defence and Security Cooperation (commonly referred to as the Organ). It should however be pointed out that the disaster risk reduction function has interest in all the Protocols signed within the SADC. This is due to the fact that disaster risk reduction is a multi-disciplinary and integrated process and its success depends on the contribution of different sectors (South Africa, 2003; 2005; SADC, 2001b; 2010a; AU & ISDR, 2004a). A closer scrutiny of the SADC Protocol on Politics, Defence and Security Cooperation became necessary for the study and is undertaken in the ensuing section.

6.3.3 The SADC Protocol on Politics, Defence and Security Cooperation

This is a Protocol which embodies the mandate of the Organ in order to ensure peace and security cooperation within the SADC, Africa and globally. In line with the focus of the study, the general objectives of the Organ as outlined in the Protocol include the following:

- i) To protect the people and safeguard the development of the Region against instability arising from the breakdown of law and order, intra-state conflict, inter-state conflict and aggression;
- ii) Promote political cooperation among State parties and the evolution of common political values and institutions;
- iii) Develop foreign policy approaches on issues of mutual concern and advance such policy collectively in the international for a;
- iv) Promote regional coordination and cooperation on matters related to security and defence and establish appropriate mechanisms to this end;
- v) Prevent, contain and resolve inter-and intra-state conflict by peaceful means;
- vi) Consider enforcement action in accordance with international law and as a matter of last resort where peaceful means have failed;
- vii) Promote the development of democratic institutions and practices within the territories of State parties and encourage the observance of universal human rights as provide for in the Charters and Conventions of the African Union and the United Nations respectively;
- viii) Consider the development of a collective security capacity and conclude a Mutual Defence Pact to respond to external military threats;
- ix) Develop close co-operation with the police and state security services of State Parties in order to address:
 - a) Cross border crime;
 - b) Promote a community based approach to domestic security;
- x) Observe and encourage State Parties to implement United Nations, African Union and other international conventions and treaties on arms control, disarmament and peaceful relations between states;
- xi) Develop peacekeeping capacity of national defence forces and co-ordinate the participation of State Parties in international and regional peacekeeping operations; and
- xii) Enhance regional capacity in respect of disaster management and coordination of international humanitarian assistance (SADC, 2001a; 2010c).

6.3.4 General disaster risk dynamics of the SADC

As part of the African continent, SADC shares the continent's prevailing developmental challenges. It also has a fair share of the continent's natural resources endowment and human capital (*albeit* unevenly spread). Therefore, it is a regional economic community that has unique challenges and capacities. From a disaster risk perspective, the historical profile of SADC depicts that it is a sub-region that is suffering from multiple hazards and vulnerabilities resulting from natural and human induced factors. Those include natural shocks resulting from, but not limited to, drought, flooding, fires, environmental degradation, desertification and human induced factors. The human induced factors include, but are not limited to, colonisation, civil war, ethnic conflicts, poor governance, lack of skills and patriarchal practices. The sub-region is prone to a variety of natural hazards and disasters such as drought, floods, cyclones, fires, earthquakes, landslides, livestock diseases, pest infestations, epidemics, migratory pests and associated disaster threats (SADC, 2006; 2010a:9). Also noteworthy is that a number of hazards that face floods, droughts, epidemics, fires, animal diseases and migratory pests proof to have a trans-boundary nature. Climate change is also expected to contribute to the increase in hydro-meteorological hazards in the sub-region.

In line with this view, the SADC Policy and Strategic Framework for Disaster Risk Reduction points out that: “In combination with poverty and slow and negative economic growth, the spread of HIV/AIDS and environmental degradation, internally displaced persons and refugees, arise multiple vulnerabilities of the communities. In addition, disasters then aggravate vulnerabilities which in turn, affect human lives and essential assets and capacities required for further development” (SADC, 2010a:9).

The preceding discussion of the policies and frameworks of SADC as an institution originated from and was directed at the facilitation of achieving a collective vision amongst its members. This is critical to the study because it lays the foundation for a close scrutiny of the policies and frameworks of individual SADC member states. It then determines the orientation of SADC member states towards the regional collaborative disaster risk management as well as international institutions' way of supporting disaster risk reduction within these countries. Beyond the policies and frameworks, the regional member states do not define, canvass, understand and adopt the existing political and administrative institutional arrangements within the SADC well. This includes the formation and adoption of the political forum for disaster reduction as well as procedures and protocols relating to a technical forum on disaster risk reduction. On this basis it is necessary that the study

develop an institutional collaborative model combining the political and technical perspectives of the function.

In light of the foregoing discussion, the ensuing section explores the policies and frameworks of SADC member states to determine their level of disaster risk management and reduction institutionalisation. It also assesses their orientation towards development, cross border and regional collaboration and lightly, how climate change response is featured within the programmes. In addition to this, the role of international institutions will be explored in supporting their programmes and collaborative efforts.

6.3.5 SADC Member States' frameworks and policy direction

The global change of paradigms in disaster risk management served as a catalyst for various regional and national communities to rethink their policies. The reassessment of policies will then move regional and national communities along with the international direction and momentum. The SADC disaster risk management and reduction policy reform initiatives were no exception to this global shift in thinking and practice. The first coordinating framework for disaster management in SADC was put together in 2001 known as the SADC Multi Sectoral Disaster Management Strategy. In line with the focus of the study, the strategy observed the policy reforms and the emergence of reasonable coordination and collaboration mechanisms within the SADC member states. On this base, views were expressed to extend the SADC member countries' pattern of improved policy development to the sub-regional level (SADC, 1992; 2001c:11; 2010c). The underlying purpose of the SADC Strategy originated from the above as well as other developmental objectives and entails: "To bring together and harmonise the many regional and national activities and plans which relate to disaster management with the intention of creating and strengthening capacity at the national and regional levels for disaster preparedness, mitigation, response and reconstruction / rehabilitation (SADC, 2001b)".

To achieve the above, the strategy (SADC, 2001b) is underscored by five (5) principles, namely:

- i) **Development orientation:** Disaster Management must be part and parcel of the overall development process without prejudice to its contingency nature;
- ii) **Subsidiarity:** Disaster Management should be regarded as complementary to on-going efforts of various institutions. The skills, expertise and experience of

national, regional and international institutions should augment and supplement the effective functioning of the SADC disaster management mechanism;

- iii) **Dynamic and economy of scale gains:** Disaster Management in the region should involve all stakeholders especially the driving forces of the economy of scale to ensure integration of the principle of disaster management;
- iv) **Additionally:** The SADC Disaster Management mechanism must have an added value at different levels taking into account the principles of disaster management; and
- v) **Variable Geometry:** Disaster Management mechanisms must take into account the fact that there are varying levels of development and patterns of relations between member states. It should therefore be flexible to accommodate special circumstances and particular arrangements between some member states, while aiming at greater harmonisation at a progressive higher level.

In view of the evolving trends around risk and disaster risk reduction, the above principles have been elaborated and signed over to the 2010 SADC Policy and Strategic Framework for disaster risk reduction. Accordingly, the 2010 policy and strategic framework identify the following ten (10) principles:

- i) Think global;
- ii) Act regional and local;
- iii) A multi-hazard approach;
- iv) Climate change and climate change adaptation;
- v) Disaster risk reduction is everybody's business requiring partnership and stakeholders' involvement;
- vi) Disasters are a development problem;
- vii) Community participation;
- viii) Capacity development;
- ix) Decentralisation and division of responsibility; and
- x) Gender, public and private partnership (SADC, 2010a:19).

The policy is therefore consistent with the global and regional philosophy and frameworks as outlined in the Hyogo Framework for Action (UN, 2005) and the Africa Regional Strategy for Disaster Reduction (AU, 2004). The SADC priority areas were further refined in 2006 (SADC, 2006) and in 2010 (SADC, 2010a) and are aligned to the Priorities for Action (PoA) outlined in the Hyogo Framework for Action (HFA) 2005-2015 (UN, 2005) in terms of policy orientation and implementation arrangements. This is a critical measure for ensuring the cascading of global disaster risk reduction priorities through regional to national policies, programmes and projects. The alignment of the SADC DRR Priority Areas and the Programmes of Action of the Hyogo Framework for Action as depicted in table 6.2 below.

Table 6.2: HFA Priorities for Action and SADC DRR priority Areas

HFA PRIORITIES FOR ACTION	SADC DRR POLICY AND STRATEGIC FRAMEWORK: PRIORITY AREAS
Priority for Action 1: Ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation	Priority Area 1: Strengthen governance, legal and institutional frameworks
Priority for Action 2: Identify, assess and monitor disaster risks and enhance early warning	Priority Area 2: Improve the identification, assessment and monitoring of disaster risk
Priority for Action 3: Use knowledge, innovation and education to build a culture of safety and resilience at all levels	Priority Area 3: Promote and strengthen education, knowledge, and information management
Priority for Action 4: Reduce the underlying risk factors	Priority Area 4: Ensure disaster risk reduction becomes a sub-regional and national priority
Priority for Action 5: Strengthen disaster preparedness for effective response at all levels	Priority Area 5: Integration of risk reduction interventions into preparedness and emergency response

(ISDR, 2005a; SADC, 2010a)

It is no coincidence that the two frameworks resemble a similar theoretical focus. This is arguably due to the fact that regional disaster risk reduction programmes need to contribute to the global risk reduction agenda as outlined in the HFA. To accentuate the establishment of the SADC disaster risk reduction mechanism, SADC (2010a:9) points out the following events that acted as catalysts, namely the regional heavy rains with the consequential flooding incidents in December 2007 and January to February 2008 as well as the tropical cyclones in February and March 2008. These incidents gave impetus to the disaster risk reduction agenda as a demand from politicians. It is also noted that the floods of 2008 in Angola, Namibia, Zambia and South Africa helped to maintain the momentum around disaster reduction in the sub-region. Parallel to its multinational coordination mandate and taking into account international discourses, SADC developed frameworks for coordinating various functions inclusive of disaster risk reduction as an integral element of poverty reduction and sustainable development. Those include the SADC Disaster Management Strategy (SADC, 2001b), the SADC Disaster Risk Reduction Strategic Plan 2006-2010 (SADC, 2006) and the current (draft) SADC Policy and Strategic Framework for Disaster Risk Reduction (SADC, 2010a). The SADC framework takes account of the international philosophy and practices and is aimed at providing a linkage between global, regional and national frameworks and practices.

It is therefore not surprising that the current SADC Policy and Strategic Framework is crafted in line and consistent with the HFA (UN, 2005) and the Africa Regional Strategy for Disaster Reduction (AU, 2004). For the implementation of the SADC Policy and Strategic Framework (SADC, 2010b), the structural arrangements contained in the policy and framework consists of five (5) components and committees collectively. These are the:

- i) SADC Disaster Risk Reduction Unit (DRRU);
- ii) SADC Disaster Risk Reduction Technical Committee (DRRTC), which will also serve as the Sub- Regional Platform for Disaster Risk Reduction;
- iii) Secretariat Coordinating the Technical Committee (SCTC);
- iv) Inter-state Politics and Diplomacy Committee (ISPDC); and
- v) Office of the Executive Secretary.

It is these structural arrangements together with the outcome of the theoretical and empirical research that were used as the basis for the conceptualisation of the institutional

collaborative model for disaster risk management as presented in chapter 7. The preceding discussion of the profile of SADC through the perspective of its disaster risk management and reduction system has exposed useful details regarding the focus and implementation philosophy of the sub-region's disaster risk reduction system. However, it is worth pointing out that the success of the SADC regional system depends primarily on the level of institutionalisation and implementation orientation within the SADC member states. This therefore necessitates the review of policies and implementation arrangements of SADC member states.

To this end, the following section outlines the SADC member states policies and practices. It depicts the disaster risk reduction and management provisions as contained in national policies, legislation, implementation frameworks and implementation reports of the affected countries. This is done with the objective of demonstrating the level of institutionalisation of the function, orientation towards the disaster and development interface as well as climate change effect in line with chapters 3, 4 and 5. Consistent with chapter 2, the section also outlines the role of non-state institutions in fostering national as well as cross-border and regional collaboration.

6.4 REVIEW OF DISASTER RISK MANAGEMENT AND REDUCTION PROFILES OF INDIVIDUAL SADC MEMBER STATES

As with the SADC policy and practice reforms, SADC member states have also been embarking on policy reform measures to ensure that their policy direction conforms to global standards and practices to achieve risk reduction measures. This involved developing and adopting new or revising old order legislative frameworks and fostering renewed inclusive processes of managing risk. The SADC member states responded at different times and with different paces to this global call as depicted in the preceding discussion.

Based on the focus of the study, the review of the status of SADC member states is undertaken with the objective to first, assess and profile disaster risk management and reduction policies, and implementation arrangements and practices. Secondly, it is to reflect on how the existing policies and practices react on the disaster, development and climate change interface as well as on cross border or regional collaboration. Considering the above, some conclusions can be made on how the existing policies and

implementation arrangements can impact on the envisaged collaborative model. This analysis is critical to consolidate the theoretical foundation which assisted in the development of the institutional model for collaborative disaster risk management in SADC.

Then, the reference to collaboration reflects on the role of international organisations in supporting disaster risk reduction as well as to stimulate and support inter-state collaboration within SADC which refers to neoliberal institutionalism. The review of each SADC member state is concluded with a summary reflection based on the objectives of the study. The section ends with a synthetic conclusion on a total review of the policies and frameworks of the 15 SADC member states. It is worth pointing out that although the review focuses on 15 SADC member states, it is anticipated that its findings will have resonance to policies and practices across the world. The countries are discussed in alphabetical order in the next sections.

6.4.1 Republic of Angola

The Republic of Angola is a country in Southern Africa with membership in the SADC. The country is one of the signatories to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a).

6.4.1.1 *An overview of disaster risk dynamics prevalent in Angola*

A number of environmental and human-induced threats affect Angola's rich natural resources. These includes deforestation, reduction in biodiversity, floods, burning of woodlands, the high demand for fuel wood, increasing water resources scarcity, water pollution, soil erosion, desertification and possible offshore oil pollution and the impact of global climate change. (Angola & UNDP, 2009) Riverine flooding affecting Angola and Namibia was experienced in 2008 which resulted in 200 deaths and the displacement of half a million people, damages to livelihoods, nutrition and crops (UNDP, 2009:13). Landmines are also a risky phenomenon affecting the country following the protracted civil war. Furthermore, rapid urbanization as a consequence of prolonged war has had a number of negative consequences, from the deterioration of living conditions in overcrowded urban and semi-urban areas to the abandonment of the countryside and of many agricultural activities. Since the population in rural areas has a high percentage of children and elderly, food insecurity is an issue (Ministério do Planeamento & United Nations Development Programme, 2009:3).

6.4.1.2 *Disaster risk reduction policy and institutional arrangements in Angola*

Like most developing countries, Angola has been engaging in development programmes working with different internal and external stakeholders. Disaster risk management and reduction work is no exception to the country's efforts. Disaster risk reduction and management function in Angola is implemented under the coordination of the National Service for Civil Protection (SNPC) which is under the Interior Minister. At national level, the National Commission on Civil Protection (CNPC) which is under the office of the President coordinates the SNPC (UNDP, 2009:13). This configuration shows that the disaster risk management function in Angola is technically located within the Office of the Minister of the Interior.

From a crisis (disaster risk) management point of view, the integrated Crisis Prevention and Recovery (CPR) programme has been put in place in collaboration with the United Nations Development Programmes (UNDP). The integrated CPR programme ensures that UNDP, working with the National Commission for Civil Protection, delivers a coordinated response to the prevalent threats resulting in tangible improvements to freedom of access, human security and human development in Angola. Although ample progress is evident through the support of UNDP in the integrated CPR programme, the reviewed literature concludes that the Angolan Government and the UNDP faces a number of challenges, which are:

- i) Support for Information Management (IM) - Preparedness and Response to Natural Disasters. Consequently, a need was identified to hire an Information Management Specialist to work with National Civil Protection Service on the development of a IM Strategy and building in-house capacity;
- ii) Development of a Disasters Risk Reduction Programme - To be developed in partnership with the National Civil Protection and Fire Services (SNPCB), key line ministries, especially the Ministry of Environment and other relevant stakeholders having as main output the institutional strengthening and capacity building for Disaster Risk Reduction to be implemented by the National Disaster Management Authorities;
- iii) Provision of a Technical Assistant (TA) to work with the National Civil Protection Agency in Luanda for the development of a national information management strategy for emergency preparedness and response;

- iv) Development of a multi-year DRR capacity development project document; and
- v) Provide strategic advisory support to the senior management of the National Authority for Mine Action and main public demining operator (UNDP, 2013).

6.4.1.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

The UNDP's support towards Angola is based on its philosophy and approach as contained in its guiding policies. In this regard the UNDP strives to connect local and global knowledge and experience as well as negotiate resources to assist the poor in building a better life. To achieve its endeavour, measures such as capacity development, knowledge sharing, creating partnerships, advocacy and policy dialogue are implemented (Angola & UNDP, 2009:2). The Angola Country Action Plan (Angola & UNDP, 2009:5) has pointed out that the negative impact of landmines on socio-economic development caused the Angolan government to have adopted the clean-up of landmines as a priority area for risk management. The government has also made contaminated land available for productive use. This is a demonstration of the realisation of the relationship of disaster risk reduction and development. However, it is not clear from the reviewed literature whether the country has adopted programmes aimed at creating a conjuncture between disaster risk reduction, climate change and development. As a clear demonstration of the country's regard for disaster risk reduction as a developmental question, the country has identified four measures as critical elements of its Country Programme Action Plan (Angola & UNDP, 2009:8; UNDP, 2009:5):

- i) Poverty reduction and the achievement of the Millennium Development Goals;
- ii) Fostering democratic governance;
- iii) Crisis prevention and recovery; and
- iv) Environment and sustainable development.

Considering the discussion in chapter 5, it can be concluded that the combination of the above-stated factors has enriching effect on the interface of disaster risk reduction and development. This is due to the interrelation of these factors at policy and practical levels.

6.4.1.4 *The involvement and role of international organisations*

The UNDP is one of the agencies involved in supporting the Angolan Government in its wide range of governance and development programmes. Most of the programmes support Angola's efforts to reduce extreme poverty. As the Angolan government and UNDP are committed to the Millennium Development Goals (MDGs) and the United Nations (UN) Conventions and Summits' targets, its programmes are also focused on realising those aims (Angola & UNDP, 2009:1). In addition, they are geared to achieve the national objectives of the Angolan government as articulated in the Government's Five-Year Medium Term Development Plan (Angola & UNDP, 2009:1). In 2009, the Angolan Government entered into a Country Programme Action Plan (2009-2013) with the United Nations Development Programme (UNDP). These include a concern with the management of crisis and disasters under the mandate of the National Commission for Civil Protection (CNPC). To this end, disaster risk reduction in Angola is a sub-practice of the UNDP crisis prevention and recovery programme.

Moreover, the UNDP supports the Mine Action and the government initiatives in managing Small Arms and Light Weapons (SALW) as well as Disaster Risk Reduction (DRR) in recent years. To provide consolidated support, UNDP has developed an integrated Crisis Prevention and Recovery (CPR) programme to enhance national and local capacities to respond to these challenges and contributes to increased planning, coordination and implementation of the national strategy on mine action, small arms and community safety as well as natural hazards in Angola.

It is also worth noting that other bilateral and international financial institutions are playing a role in supporting development efforts in Angola. These supports include, but are not limited to, the European Commission (EC), Department for International Development (DFID), Japan, Spain, Norway, United Nations Children's Fund (UNICEF) and the World Bank (WB). Corresponding to chapter 2, this arrangement demonstrates the critical role of non-state agencies in supporting development at any scale. However, the type of role the listed institutions roles have in the different programmes of the country depends on the specific institution's focus. Due to the global footprint and influence of these organisations, it can reasonably be expected that the Angolan government will be amenable to cross-border and regional collaboration.

6.4.1.5 *A policy pronouncement or practice around bilateral or regional collaboration on disaster risk reduction*

From a cross-border collaboration front, ISDR (2010a:9) notes that plans are afoot in collaboration with Namibia to conduct a joint study on the disaster risks in the basin of the Cunene River which serves as a boundary between the two countries. From a multi-lateral perspective, it is critical to note that the USAID-funded Zambezi River Basin Initiative covers Angola as part of the river. This activities demonstrates the involvement of Angola in cross border and regional supra national efforts on development and risk management and reduction. The next section follows with an exploration of the disaster risk management and development situation in the Republic of Botswana.

6.4.2 The Republic of Botswana

The Republic of Botswana is a landlocked country in southern Africa. The country is a member of the Southern African Development Community and a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a).

6.4.2.1 *An overview of disaster risk dynamics prevalent in Botswana*

The prevalent hazards in Botswana range from, but may not be limited to, floods, drought, epidemics, storms, fires, strong winds, pest infestation, animal diseases, HIV/AIDS pandemic, other diseases, asylum seekers and illegal immigrants influx. It is noted that these hazards occur with varying degrees of regularity and intensity (African Union, ISDR & World Bank, 2008:52). The country also faces risks relating to human-induced hazards and disasters (Botswana & UNDP, 2009:3-5). Given the threat of these hazards to lives, services and infrastructure, the Botswana government instituted measures to manage the risk of disasters as a concern for sustainable development.

6.4.2.2 *Disaster risk reduction policy and institutional arrangements in Botswana*

The Government of Botswana established a National Disaster Management Office (NDMO) under the Development Division in the Office of the President in 1998. The major responsibility of the Office is to ensure a high state of disaster preparedness and capacity at national and district levels and within communities. The aim of the preparedness is to ensure effective, appropriate and timely response to any disaster strike (Botswana, 2013). The formal structures responsible for complementary roles in disaster risk reduction are:

- i) The National Committee on Disaster Management (NCDM);
- ii) The National Disaster Management Office (NDMO); and
- iii) The National Disaster Management Technical Committee (NDMTC).

According to the Government of Botswana (Botswana, 2013) disasters and disaster risk reduction are managed at three levels, namely:

- i) National;
- ii) District; and
- iii) Village levels.

Nationally, the NDMO oversees the implementation of the disaster risk reduction function through the administration of:

- i) The Botswana National Disaster Management Policy of 1996, and
- ii) The National Disaster Risk Management Plan of 2009.

Similar to the Policy, the National Plan (Botswana, 2009) also aims to provide a framework for a coordinated and proactive set of actions which incorporates elements of disaster risk reduction and emergency management.

6.4.2.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

The policy pronouncement of the Botswana Government demonstrates clear orientation and commitment towards the relationship between disaster risk reduction and development. This is evident through the Botswana National Disaster Management Plan (Botswana, 2009) which identifies four guiding principles, notably:

- i) **Building resilience.** The plan asserts that while the occurrence of natural calamities cannot be stopped, national and community resilience can be built to withstand the impact.
- ii) **Safe and secure development planning.** This aspect points to the fact that natural disaster risks are intimately related and connected to the economic development of the society (i. e. technological processes, urbanisation, etc).

Hence disaster risks can be managed and reduced through appropriate and precautionary development planning.

- iii) **Multi hazard approach.** This approach can enhance the effectiveness of disaster risk management planning.
- iv) **A decentralised approach.** This point emphasises that that disaster risk management activities will be premised on a high level of decentralised, local initiatives with active participation of district and community levels and other significant actors.

Consistent with chapter 5, the structure of the Botswana National Disaster Risk Management Plan reflects that the Botswana government overtly acknowledges the relationship between disaster risk reduction and development programmes at policy and implementation levels. Also noteworthy is the realisation of the need for other actors to play a role in disaster reduction discourses as set out through the fourth principle that underscores the national plan.

6.4.2.4 *The involvement and role of international organisations*

Botswana specifically acknowledged the role of agencies such as the UNDP and the International Federation of the Red Cross Society (IFRCS). In 2010 the UNDP country team became involved through the elaboration of the contingency plans to support Botswana's disaster response efforts as required in terms of the Botswana National Disaster Risk Management Plan (Botswana, 2009). The contribution of the IFRCS towards disaster risk reduction programmes is evident from a number of reports such as the Botswana 2009 to 2011 report on the implementation of the Hyogo Framework for Action as presented during the 3rd Global Platform for Disaster Reduction in 2011 (Botswana, 2011).

6.4.2.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

In a report on the implementation of the Hyogo Framework for Action of 2007 and 2009 to 2011 the Botswana government demonstrated to be amenable to cross-border and regional collaboration on disaster risk reduction issues (ISDR, 2007). As regards, the USAID funded Zambezi River Basin Initiative includes Botswana as part of the river basin (ISDR, 2010a:18). It can therefore be argued that the Botswana disaster risk management

system is friendly to the institutional collaborative model as presented in chapter 7. Also prominent, as already evidenced in chapter 2, is that international institutions, inclusive of SADC, have played a major role in shaping the orientation of the Botswana government towards disaster risk reduction as well as cross border and regional collaboration on disaster risk management.

6.4.3 Democratic Republic of Congo

The Democratic Republic of Congo (DRC) is a country located in central Africa and second largest in Africa. The country is a member of the Southern African Development Community and a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001b).

6.4.3.1 *An overview of disaster risk dynamics prevalent in the DRC*

According to the African Union *et al.*, (2008:57), the DRC's risk profile characterises the occurrence of natural hazards like volcanic eruptions, erosion, landslides, mudslides, floods and drought. The country also experiences anthropogenic incidents. The disasters and incidents have a negative effect on service delivery and the development of the country.

6.4.3.2 *Disaster risk reduction policy and institutional arrangements*

The disaster risk reduction system of DRC is founded on three frameworks, namely:

- i) The 1996 Decree creating the Civil Protection Council. Later, in 1999, this changed to the "National Crisis Committee";
- ii) The 2002 Decree on the National Programme on Emergencies and Humanitarian Action; and
- iii) The 2003 Decree on the Transitional Government which included a Disaster Management Framework (ISDR, 2010a:63).

The Council for Civil Protection (CCP) is the main institution responsible for the coordination of the disaster risk management function and was established in 1996 and is located within the Ministry of the Interior. As a member of the African Union (AU) and the SADC, and as participating in regional and global DRR forums, it can reasonably be expected that the DRC's DRR frameworks and programmes are moving towards

alignment with the AU and SADC frameworks. The African Union's analysis in 2008 identified certain challenges which cannot be ruled out, and include (AU *et al.*, 2008):

- a. Non-operational legal frameworks;
- b. Lack of political will for funding DRR;
- c. Insufficient and obsolete legal text;
- d. Overlapping of work of various actors;
- e. Weak involvement of affected communities; and
- f. Lack of a master plan for managing disasters.

These factors point out that the DRC is potentially one of the countries that requires dedicated support to ensure that the country's national frameworks and systems improve and align to the global, regional and SADC frameworks. Thus, the SADC and the African Union will have to play a greater role in the support of international institutions.

6.4.3.3 *The policy and practice orientation towards disaster risk reduction and development and its reference to climate change*

In conducting a review in 2010, the ISDR (ISDR, 2010:64) noted that the disaster risk reduction agenda for the DRC was not defined due to the fact that the Council for Civil Protection was not operational yet. Also noted were the challenges of obsolete and regulatory texts dating back to the colonial times. However, in 2009 there were sector plans established which included disaster risk reduction within the context of sustainable development. From 2009, the Health and Safety Plan for the 2000 to 2010 period was indicated as area to be prioritised for integration. Regarding climate change and disaster reduction discourses, the DRC's 2006 framework includes several agriculture related projects. These projects focus on high yield crops which are illness resistant and thereby able to withstand the varying climatic factors. This holds a great advantage to the improvement of food security for the country.

6.4.3.4 *The involvement and role of international organisations*

ISDR (2010:64) notes that the World Bank plays an advisory and technical role in the country's existing DRR programmes. These programmes constitute two projects, namely the emergency multi-sector rehabilitation and reconstruction project as well as the roads project. Other agencies such as the United National Office for the Coordination of

Humanitarian Affairs (UNOCHA), the World Meteorological Organisation (WMO), Action Aid International and the UNDP also play a role in supporting the DRC's programmes. Notwithstanding the challenges with legislation and the definition of a disaster risk reduction agenda in the DRC, it can be concluded that international organisations has a major part in supporting and influencing disaster risk reduction and developmental discourses (as linked to chapter 2). However, literature does not give an explicit explanation of how these efforts translate to cross-border and regional collaboration.

6.4.3.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

It is evident that the DRC has not made an explicit policy pronouncement on cross-border and regional collaboration on disaster risk management issues. As will be pointed out in chapter 7, this presents a challenge for the operationalisation of the collaborative model due to the inability to identify the country's orientation towards cooperation. The next section explores the disaster risk reduction system of Lesotho as related to the study's focus.

6.4.4 Kingdom of Lesotho

The Kingdom of Lesotho is a landlocked country located in southern Africa. The country is a member of the Southern African Development Community and a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a).

6.4.4.1 *An overview of disaster risk dynamics prevalent in Lesotho*

According to UNICEF and Lesotho (2011:20), this country experiences various hazards like (but not limited to) drought, snowfall, hailstorms, strong winds, localised floods, early frost and pest infestation. Furthermore, while drought might be regarded as a regular phenomenon in Lesotho, chronic food insecurity, poverty and low agricultural productivity as well as the impact of the HIV/AIDS pandemic aggravate vulnerability. From the described scenario, it is evident that without an effective disaster risk reduction mechanism, the development efforts of the Kingdom of Lesotho will be under threat.

6.4.4.2 *Disaster risk reduction policy and institutional arrangements*

The Kingdom of Lesotho established its National Disaster Management Authority (NDMA) under the Disaster Management Act of 1997. The NDMA carries out its functions under the provisions of the following legal and operational frameworks:

- i) The Disaster Management Act 1997 (Act No. 2 of 1997);
- ii) The National Disaster Management Plan of 1996;
- iii) The National Action Plan for Capacity Development in DRR of 1997; and
- iv) The Disaster Management Manual of 1997.

The Authority (DMA) within the Prime Minister's Office administers the Disaster Management Act. According to the Disaster Management Act 1997 (Act No. 2 of 1997), the Lesotho government established the disaster management function at three levels (Lesotho, 1997a), namely:

- i) Central level;
- ii) District level, and;
- iii) Village level.

Each level of disaster management institution performs its disaster management functions under the National Disaster Management Plan (1996) and the Disaster Management Manual (Lesotho, 1997b). However, most structures required under the 1997 Act are not functional, including the Board of Directors which has not convened as was required (ISDR, 2010a:114).

6.4.4.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

The policy provisions and practical measures discussed above demonstrate that the Lesotho government acknowledges the relation between disaster risk reduction and development at policy and practical levels. The trans-disciplinary approach to disaster risk reduction, through working groups, is also consistent with development in general. To demonstrate the recognition of policy-based and practical interface between disaster risk reduction and development, the Disaster Management Act provides that:

“The National Disaster Management Plan shall, as far as possible, be integrated with National Development Plans and shall be supported by a Disaster Management Manual containing detailed responsibilities and procedures on disaster management” (Lesotho, 1997b:259). To ensure effective oversight and the systematic integration of disaster risk reduction and management issues within sector programmes, the Disaster Management Act (Lesotho, 1996:261) legally established six working groups. These working groups were to be permanently launched and were constituted of senior members from the relevant authorities, namely the:

- i) Executive group;
- ii) Training group;
- iii) Water and Sanitation group;
- iv) Health and Nutrition group;
- v) Food and Logistics group, and
- vi) Agriculture group.

On the integration of climate change, ISDR notes that the country has adapted an Agriculture and Food Security Policy, an Environment Act as well as a National Adaptation Plan on Climate Change (ISDR, 2010a:114).

6.4.4.4 *International organisations' involvement and role in Lesotho's disaster risk management*

In 2007, the ISDR supported the Lesotho Disaster Management Authority in the launch of the national platform for disaster reduction. In 1996, the UNDP also provided support in the development of the National Disaster Management Plan for the country (ISDR, 2010a:115). It is also noted that USAID implements an on-going project to reduce the drought impact on vulnerable populations through a suite of mitigation activities working with the NDMA. Other organisations that are actively involved in Lesotho's disaster risk reduction plans and management include the International Federation of the Red Cross and the World Meteorological Organisation (ISDR, 2010a:115). Parallel to Chapter 2, it can be concluded that international organisations are playing a critical role in supporting and shaping the disaster risk reduction agenda in Lesotho.

6.4.4.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

No direct pronouncement on cross-border and regional collaboration on disaster risk reduction issues within the disaster risk reduction frameworks of the Lesotho government is evident. However, no final conclusion will be presented in this section regarding the amenability of the Lesotho authorities for collaboration, as it will be pursued in chapter 7. The section below presents the disaster risk reduction and management policy and structural arrangements of the Republic of Madagascar.

6.4.5 Republic of Madagascar

The Republic of Madagascar is an island in the Indian Ocean off the south-eastern coast of Africa. It comprises the Island of Madagascar as well as numerous smaller islands. According to available records, the country is not a signatory to the SADC Protocol on Politics, Defence and Security Cooperation (SADC, 2001a).

6.4.5.1 *An overview of disaster risk dynamics prevalent in Madagascar*

The country is situated in the Inter-Tropical Convergence Zone exposing it to threats of violent winds and torrential rain between December and April (Buffet, 2011:16). It is a member of the SADC (*albeit* under suspension), AU and UN. The common hazards and disasters prevalent in Madagascar include drought, epidemics, flood, insect infestation and stormy conditions. Hydro-meteorological phenomena such as cyclones and floods are leading causes of disasters in the country (Buffet, 2011:11; ISDR, 2010). Climate change is one of the key drivers of disaster risk in Madagascar. Therefore, Buffet (2011:15) concludes that Madagascar is confronted with both development and disaster vulnerability issues. These phenomena interact at many levels and both contribute towards a situation of food insecurity. This situation has also intensified over recent years.

6.4.5.2 *Disaster risk reduction policy and institutional arrangements*

The Republic of Madagascar has put in place institutional mechanisms to coordinate the implementation of its disaster risk reduction function. The National Bureau for Risk and Disaster Management (known by the French acronym BNGRC) is an entity responsible for coordinating activities for risk and disaster management. Then again in the case of some hazards the BNGRC is responsible for preparedness and prevention to reduce the impact of disasters (BNGRC, 2013). Further noted is that the Prime Minister set up and chaired

the Global Facility and the National Council for the Management of Risks. This acts as a forum with a central role in disaster response as well as the responsibility for planning and implementation of the National Strategy for Risk and Disasters (World Bank, s. a). At operational level, the Disaster Actors Review Committee (CRIC) is an informal disaster response structure enabling humanitarian actors to coordinate their activities and constitutes state actors, national and international NGOs and donors (ISDR, 2010a:126). Madagascar is in the process of putting in place its DRM national platform called 'Disaster and Risk Management Actors National Platform' (PINGRC). According to the World Bank's GFDRR (2013) this is done alongside the update of its DRM Strategy and undertaking better identification of adaptation needs within key economic sectors.

To facilitate the work of the BNGRC, the disaster risk management mechanism of Madagascar is structured into five complementary institutional arrangements, namely the:

- i) National Disaster Risk Management Office;
- ii) Regional Disaster Risk Management Office;
- iii) District Disaster Risk Management Office;
- iv) Municipal Disaster Risk Management Committee; and
- v) Local Disaster Risk Management Committee (Buffet, 2011:5).

Some of the key frameworks adopted to manage disaster risks include the Madagascar's National Disaster Risk Management Strategy (NDRMS) and the Disaster Risk Reduction Plan (MDRRP) (Buffet, 2011:15).

6.4.5.3 *Madagascar's policy and practice orientation towards disaster risk reduction and development and reference to climate change*

Buffet (2011:6) critically observes that although Madagascar has a long experience of cyclones and floods, real risk reduction strategies have only recently been introduced at national level and are virtually non-existent at local level. To facilitate the paradigm shift, a deep-seated cultural change is in progress and focus on changing the way in which nature is depicted as well as people's relationship with nature as a key to disaster risk reduction. This measure however still needs improvement and consolidation. Furthermore, local level still lacks the institutional capacity and drive for risk reduction and still needs to develop to the point that NGOs organise some form of institutionalised risk governance to drive disaster risk reduction efforts.

Despite the reported policy and legislative challenges, Madagascar is reported to be employing various community-based measures for risk reduction such as, but not limited to:

- i) An awareness raising and alert tool using radio;
- ii) The access to (clean) drinking water programme;
- iii) Participative vulnerability analysis;
- iv) The No-Regrets campaign strategies;
- v) Cooperation between the NGOs and complementarities; and
- vi) Promotion of the building of strong shelters.

From a climate change response point of view, ISDR (2010a:128) notes that the Ministry of Environment is responsible for developing national policies and plans to reduce the effect of climate change. A number of projects developed from this arrangement. This is a direct demonstration of the country's acknowledgement of the inextricable relationships between the disaster reduction and climate change concepts and programmes.

6.4.5.4 *The involvement and role of international organisations*

In 2003, ISDR supported Madagascar with establishing its national platform for disaster reduction. Other organisations active in the country include, but are not limited to, the World Banks' GFDRR, UNDP, WMO, ISDR, UNOCHA (ISDR, 2010a:127). These organisations have different and complementary roles to play in pursuit of disaster risk reduction. The role of international organisations demonstrates the welcoming nature of the country towards the contribution and influence of international organisations.

6.4.5.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

Regarding international cooperation on disaster risk reduction issues, Rodriguez (s. a:39) notes that Madagascar played a critical role in the management of the disasters that confront the island regularly through its main coordination mechanism, the Committee for the Review of the Implementation of the Convention (CRIC). However, it proofs that the measures for international cooperation needs to be strengthened as it shows signs of debility. To achieve an expansion and strengthening of international relationships, it is proposed that a clear mission, purpose, roles and responsibilities agreement be instituted

through protocols or the Terms of Reference. In line with the focus of the study, it is cautioned that the protocols or Terms of Reference should consider and build on the national vision, the relative strengths and weaknesses of the various members of the CRIC and the organisational priorities of the various members.

An analysis of the situation in Madagascar indicates that it is an island with complex disaster risk dynamics due to prevalent severe hydro meteorological incidents. Hence, the country institutionalised experience in dealing with disaster threatening incidents and disasters over time. The country's long-standing collaboration with international and non-state agencies on disaster risk management issues is also a positive step towards the maturity of the disaster reduction system. Yet, key areas that still require improvement relate to the formulation and adoption of clear policy and legislative frameworks that is in line with international standards and practices.

6.4.6 Republic of Malawi

The Republic of Malawi is a landlocked country southeast of Africa. The country is a member of the Southern African Development Community and a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a).

6.4.6.1 *An overview of disaster risk dynamics prevalent in Malawi*

Malawi is frequently affected by natural disasters and calamities such as, but not limited to, floods, food shortage, rain, hailstorm, drought and epidemics. Realising the negative effect of the hazards and disasters to the Malawian development objectives, the government has put adequate disaster risk management measures in place to resolve the need to harness wealth creation and poverty reduction. The government then adopted the Malawi Growth and Development Strategy of 2006 (Malawi, 2006). According to this strategy, the measures should go beyond emergency response to include preparedness, prevention and mitigation and rehabilitation as well as reconstruction (Malawi, 2006). It is on this basis that the Malawian government established the Department of Disaster Management Affairs.

6.4.6.2 *Disaster risk reduction policy and institutional arrangements*

The Department of Disaster Management Affairs (DoDMA) is one of the departments located in the Office of the President and Cabinet (OPC). Its role is to coordinate and direct disaster risk management programmes in the country. The DoDMA was established

with the objective to improve and safeguard the quality of life of Malawians, especially those vulnerable to and affected by hazards and disasters. On 16 March 1992, the Government of Malawi accented to legislation called: “Disaster Preparedness and Relief Act, 1991 (Act 27 of 1991). Broadly, the Act makes provision for the coordination and implementation of measures to alleviate the effects of hazards and disasters. It also provides for the establishment of the office of Commissioner for Disaster Preparedness and Relief and the establishment of a National Preparedness and Relief Committee of Malawi (Malawi, 1992:4).

In its report to the third session of the Global Platform for Disaster Reduction held in 2011 (Malawi, 2011), Malawi reported an improvement in harmonisation for the implementation of disaster risk reduction. According to the report, this is evidenced through measures such as the formulation of the National DRR Framework, the development of Operational Guidelines, the adoption of the Roadmap for the development of DRR Platform, the development of an inventory of DRR stakeholders (database), the formulation of the Disaster Risk Management Handbook and the design of the (Re)construction Guidelines developed after a series of Karonga Earthquakes. From the foregoing discussion, it can be reasoned that Malawi, like most countries, had undergone a transition from a mere focus on response and recovery in terms of the management of hazards and disasters to be more attentive to preparedness, prevention and mitigation. The wording and focus of the Disaster Preparedness and Relief Act (1991) is a clear demonstration of the previous focus on response and recovery. The paradigm shift has led to the formulation of the National Disaster Risk Reduction Framework (NDRRF) 2010-2015 (2010) which illustrated the discussions of a renewed path for DRR for Malawi. In particular, the NDRRF was founded for the purpose to pursue a proactive and integrated way for reducing risk to hazards. This reduction of risk will be through sustainable, innovative and realistic strategies with stronger partnership between all stakeholders. Furthermore, it prioritised a set of challenges that should be addressed during the five-year period (2010-2015) through a strategic direction to reduce vulnerabilities and risk to hazards. The framework aligns the Government of Malawi’s DRR priorities with other national policies as well as international commitments like the Hyogo Framework for Action (HFA) 2005-2015.

6.4.6.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

Linked to the discussion in chapter 5 on the interface of disaster and development theories and practices, the Malawian government complies with the need for the

integration of DRR in sector and strategic programmes. To this end, the report points out that DRR is mainstreamed into policies, strategies, and programmes at all levels towards 2015. The report further contends that integration should include donor-supported projects and programmes that are funded by national budget as well as supported by multilateral and bilateral cooperation. It is further argued that the integration should be a means to an end. In other words, integration should conclude in the actual implementation of the integrative programmes.

The policy frameworks of Malawi therefore demonstrate an orientation towards risk reduction as an integral element of sustainable development. In order to mainstream climate change within the risk reduction and development discourses, ISDR (2010a:134) notes that the mechanisms which are ranked the highest include stabilising livelihood for vulnerable communities and the enhancement of food security through community seed storage.

6.4.6.4 *The involvement and role of international organisations*

Literature confirms the support and participation from international organisations for disaster risk reduction in Malawi. Specifically during the period 2007 to 2011, the UNDP supported the Malawian government in its disaster risk reduction programmes. The support was fixed on elaborating the national disaster risk management strategy. This included the development of an *engendered* disaster risk reduction policy, emergency and preparedness plans and institutional frameworks at both national and district levels. Integral to the strategy is the reflection of disaster risk reduction in other government policies, programmes and training. It also includes the development of gender disaggregated information management systems which reflect both the impact of past disaster events and the risks associated with climate change (Lunduka *et al.*, 2010:18). Other international organisations that support Malawi's disaster risk reduction efforts, include the World Bank (Global Facility for Disaster Reduction and Recovery – GFDRR), the World Meteorological Organisation (WMO), ActionAid International and the Irish Aid. These organisations play varied but complementary roles towards the sustainable risk reduction and development of the country. While their role is mostly technical in nature, there are also circumstances where the agencies also provide policy guidance. Those policy guidance roles include the World Bank's GFDRR guidance to mainstream disaster risk reduction in poverty reduction. From the discussion, it can be concluded that international agencies fulfil a critical policy and technical role in sharing disaster risk management and reduction discourses with Malawi.

6.4.6.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

Literature confirms Malawi's participation in regional and sub-regional DRR programmes and projects through its involvement in the development and implementation of regional and sub-regional initiatives on regional trans-boundary risks. These initiatives include the Shire-Zambezi Basin Project and the Shongwe River Basin Project (Malawi, 2011:9). This shows that Malawi acknowledges their need to strengthen cross- boundary and regional collaboration as the country receives water from large rivers which crosses country boundaries. Malawi's DRR orientation moves towards an integrated approach and the realisation that there is a need for measures to manage risk that have cross-boundary implications. To give effect to this, an Operational Guideline (OG) for disaster risk reduction was developed in 2009. The need for strong policy direction was also identified (Lunduka *et al.*, 2010:12). It is also worth noting that climate change is a strong theme in Malawi's 2006 National Adaptation Action Plan (NAPA). As a development and risk reduction concern, these adaption projects, like the Madagascar, range from livelihood stabilisation for vulnerable communities to enhancing food security through community seed storage mechanisms (ISDR, 2010a:134).

The next section explores the Mauritian policy and frameworks on disaster risk reduction and management.

6.4.7 Republic of Mauritius

The Republic of Mauritius is one of the small island developing states (SIDS) located in the Indian Ocean. The country is a member of both the SADC and the Common Market for Eastern and Southern Africa (COMESA). This represents a regional grouping of 20 African States established in 1994 to promote intra-trade. The country is also a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a).

6.4.7.1 *An overview of disaster risk dynamics prevalent in Mauritius*

From a disaster risk and sustainable development point of view, concern exists around Small Island Developing States' (SIDS) recent development as major on-going shocks from nature might jeopardise their progress (UN, 2010:7). Mauritius is not spared from this situation. According to the UN (2010:7), the SIDS' vulnerability has increased due to climate change. The most recent incidents demonstrating this vulnerability include the global financial crisis of 2007 to 2010, the food and fuel crises of 2007 to 2008 and the

large-scale natural disasters which occurred from 2009 to 2010. Another concern involves the impact of the food crisis on the poor in the SIDS as most are net food importers.

6.4.7.2 *Disaster risk reduction policy and institutional arrangements*

In Mauritius, the Home Affairs Division of the Prime Minister's Office takes charge of the disaster risk reduction function. This responsibility is carried out in collaboration with the national Meteorological Services. There is no reported legislation (ISDR, 2010a:145) and a platform that serves as a multi-stakeholder engagement forum on DRR matters (ACDS, 2011:6). According to the interim national progress report on the implementation of the Hyogo Framework for Action (2009-2011), Mauritius has a long history of dealing with different types of hazards. These include cyclones and flash floods. As a result, the country has developed disaster risk reduction and mitigation capacity and measures over time. The institutional framework is well established at all levels and is thought to be effective. To guide implementation, various regulations exist at the local level together with standard operating procedures (SOPs) for emergencies (Beebeejaun, 2009:5). Still, the report identifies that the lack of legislation poses a challenge for the enforcement of the disaster risk reduction and management function.

The condition of an underdeveloped policy and legislative framework for the management of disaster risk in Mauritius has the potential to undermine the government and its people's efforts to ensure a coordinated system for the management of hazards and disasters. It also deprives the country of the opportunity to standardise its disaster risk reduction and management systems and processes with those of other countries as well as with regional and global standards.

6.4.7.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

Mauritius addressed the necessity to integrate climate change with disaster risk reduction and development programmes by way of a Climate Change Action Plan. According to ISDR (2010a:147), the country's National Climate Change Action Plan seeks to build resilience via a programme of adaptation and mitigation for climate change risks. These measures are also reflected in the country's National Forests Policy. Mauritius is also a beneficiary of the Indian Ocean Community's Acclimate Project on climate change adaptation.

6.4.7.4 *The involvement and role of international organisations*

The reviewed literature reveals that Mauritius, like most countries, faces disaster risks that are induced by common hazards (floods, drought, cyclones, land slide) as well as hazards peculiar to island states (coastal inundation, food crisis, sea level rise) (Mauritius, 2011). Due to its long-standing coexistence with hazards, the Mauritian government and its people have developed measures to deal with the hazards threat in their country. It can also be argued that the contribution of and collaboration with external stakeholders such as the United Nations gave impetus to the country's ability to manage disaster risks within the context of service delivery and sustainable development. ISDR (2010a:147) notes that the World Meteorological Organisation (WMO) is one of the key players in supporting the government's risk reduction efforts. This is done through technical programmes around meteorological and hydrological services.

6.4.7.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

The fact that Mauritius is a member of SADC and plays a role in the AU and UN disaster risk reduction programmes lends some credibility to its subscription to regional and international collaboration. Therefore it can be concluded that the success of the disaster risk reduction and management system for the Mauritian government and its people hinges on the way in which it is aligned to and streamlined with regional and international frameworks and practices. The effect of the non-physical boundaries on regional collaboration is of interest but falls outside the scope of the study. It is also worth pointing out that there is no direct pronouncement on cross-border and regional collaboration within the Mauritian disaster risk reduction frameworks.

The ensuing section explores how the Mozambican frameworks and strategies are structured in pursuit of executing the disaster risk reduction and management functions.

6.4.8 Republic of Mozambique

The Republic of Mozambique is a country in the southeast of Africa. The country is a member of the Southern African Development Community and a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a).

6.4.8.1 *An overview of the disaster risk dynamics prevalent on Mozambique*

Compared to other African countries, Mozambique is the poorest. Numerous disasters of natural and anthropogenic origin have a huge effect on this country (Mozambique, 2006; Koivisto, s. a). Also, the risk imposed by these disasters proof to be the highest in the central and southern regions (ISDR & World Bank, 2009:15). Then, the fact that more than 60 percent from a population of 21 million people lives in coastal areas, increases the already high levels of vulnerability to cyclones and storms along the 2, 700 km Mozambique coastline (ISDR & World Bank, 2009:15). For many years the country has been living in a protracted state of emergency caused by natural and human-induced hazards and disasters. The longest period was 11 years when war and drought affected the country simultaneously (Mozambique, 2006:2).

According to Mozambique (2006:1) and the World Bank (2005:3), the common natural hazards experienced in the country, include floods, drought, cyclones and earthquakes. It is evident that the Indian Ocean's subtropical anticyclone zone, the Inter-Tropical Convergent Zone and the southern Africa's thermal depressions all had an influence on the country's climate. In turn, the climate changes cause incidents of cyclones, floods and drought. The fact that Mozambique is positioned at the receiving end of major international hydrological basins, many of which suffer from deep saline intrusion into river mouths, also compound to its risk dynamics (ISDR & World Bank, 2009:15). This has an effect on flooding in the country. Regarding the geological disasters, it is noted that a great part of the country rests on tectonic plates that are subjected to earthquakes. This is due to the Rift Valley and Mozambique Channel in the Indian Ocean. Based on these risk dynamics, the Mozambique Master Plan for Prevention and Mitigation of Natural Disasters of 2006 notes the need for structured systems in order to predict, mitigate and fight the effect of hazards and disasters prevalent in the country (Mozambique, 2006).

6.4.8.2 *Disaster risk reduction policy and institutional arrangements*

In response to the country's disaster risk dynamics, the National Institute of Disaster Management (INGC) was established in 1999. The National Policy on Disaster Risk Reduction was also endorsed in this year. Following in 2006, the Master Plan for Disaster Prevention and Mitigation was adopted (ISDR, 2010a:164). In line with the policy and the Master Plan, the INGC coordinates all disaster risk management activities in Mozambique (ISDR & World Bank, 2009:15). It operates under the Ministry of State Administration (MAE). The INGC is mandated to coordinate emergencies, promote disaster prevention

through population and government mobilisation, protect human lives, ensure multi-sectoral coordination in disaster emergency, coordinate early warning systems, carry out public awareness and re-utilise arid and semi-arid zones. Strategically, the National Coordinating Council for Disaster Management (CCGC), chaired by the Prime Minister, supports the INGC. This is a forum set up to ensure multi-sectoral coordination in disaster prevention, assistance to victims and disaster rehabilitation. Technically, the forum receives advice from a Technical Council for Disaster Management (CTGC) (ISDR & World Bank, 2009:15).

6.4.8.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

Disaster risk reduction within the context of development and climate change forms the fundamental philosophy of the Mozambican policy and practices for disaster management. The Mozambican Master Plan (Mozambique, 2006) specifically emphasises the links between development policies and preparedness, prevention, mitigation and vulnerability reduction (ISDR & World Bank, 2009:16; ISDR, 2010:164). An analysis of the Mozambican frameworks points to the fact that climate change has also received priority attention. To this end, ISDR (2010a:157) notes that the first project that was prioritised, related to the strengthening of an early warning system. The next project listed as a priority, involved the reduction of climate change impacts in coastal zones. An analysis of Mozambique's policy pronouncement depicts a shift to centre the function of disaster risk reduction and management within poverty reduction. A further focus involves contribution towards regional disaster reduction and developmental objectives. Of critical importance to the study is the adoption of a multi-stakeholder approach to disaster risk reduction inclusive of the focus on managing climate change.

6.4.8.4 *The involvement and role of international organisations*

A number of non-state agencies play a critical role in shaping and enriching the Mozambican disaster risk reduction and management system. To this end, a number of organisations play major roles in sharing and supporting disaster risk management efforts. According to ISDR (2010a:156), those agencies include the World Meteorological Organisation, the World Bank's GFDRR, the United Nations Development Programme, the United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA) and the ProVention Consortium. These agencies provided technical support with some moderate levels of policy application inputs and guidance. Given the global and regional footprint of

these agencies, it can be concluded that the country and its disaster risk reduction system will be amenable to, and be compatible with the institutional model as outlined in chapter 8.

6.4.8.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

The analysis of the collaborative mechanisms for implementing disaster risk reduction within Mozambique proves that the government collaborates closely with different state and non-state entities. These entities include, but are not limited to, the United National International Strategy for Disaster Reduction, the World Bank, the SADC structures, the International Federation of the Red Cross and Red Crescent Societies. Also evident is the active involvement of sector departments (Mozambique, 2009:12). In line with the focus of the study, it is interesting to note that Mozambique is involved in matters affecting other countries too. This involvement proves to be at SADC multi-national level as well as bi-and-multilateral levels to manage trans-boundary resources and risks.

To this end, Mozambique National Disaster Risk Management Policy points out that: “The Mozambican national and local risk assessment takes account of the regional/trans-boundary risks but this cooperation is weak because of the absence of trans-boundary agreements. One of the examples of the trans-boundary risk assessment are the joint studies undertaken by the governments of the Republic of Mozambique, the Republic of South Africa and the Kingdom of Swaziland collaborating in the exchange of information through the Tripartite Technical Committee (TPTC). This mechanism was established in February 1983 and is responsible for providing advice to the shared watercourses. Another initiative is the SADC SARAP (i. e. SADC sub-regional Action Programme) that is a relevant program dealing with desertification and land degradation control. The Pungue Joint Study involving Zimbabwe and Mozambique as well as the Southern African Water Vision of 2000 are classical examples. To reinforce these measures, the SADC Protocol on Shared Watercourses Systems is in place” (Mozambique, 2009:12).

Although not clearly pronounced through policy statements, Mozambique can be said to be one of the countries that is amenable to cross-border and regional collaboration due to its policy pronouncement and involvement in existing collaborative programmes. It is also worth noting that South Africa provided disaster response support to Mozambique during the floods in 2000.

In the next section, the dynamics of the Namibian government regarding its disaster and development function and its orientation towards regional collaboration will be analysed.

6.4.9 Republic of Namibia

The Republic of Namibia is a country situated along the south Atlantic coast of Africa. The country is a member of the Southern African Development Community and a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a).

6.4.9.1 *An overview of disaster risk dynamics prevalent in Namibia*

The recurrence of flooding, drought, fires and epidemics characterise the disaster risk profile of Namibia (AU *et al.*, 2008:73; Namibia, 2011a; 2011b).

6.4.9.2 *Disaster risk reduction policy and institutional arrangements*

In a quest to manage disaster risk within the sustainable development context, the Namibian Government adopted the following frameworks:

- i) National Disaster Risk Management Policy of 2009 (Namibia, 2009);
- ii) The National Disaster Risk Management Plan of 2011 (Namibia, 2011a);
- iii) The Emergency Management Operational Procedure (2011a); and
- iv) The Disaster Risk Management Act of 2012 (Namibia, 2012).

In line with the country's reformation of its disaster management policies and approaches over the past decade (2000-2009), the National Disaster Risk Management Policy (NDRMP) focuses on advocating for improved capacity for early warning, tracking, monitoring and disseminating information on phenomena and activities that trigger disaster events (Namibia, 2009). Thus, the new approach is more preventative than reactive and more holistic than emergency oriented. According to the national plan, the government's call for the integration of disaster risk reduction and climate change adaptation into development planning and resource allocation frameworks demonstrates this move in orientation (Namibia, 2011:3). The plan also provides a framework for the development of sectoral and regional disaster risk management and contingency plans (Namibia, 2011a:5). The structural arrangements for implementing the disaster risk management function under the Act in Namibia stands in five levels namely:

- i) National Disaster Risk Management Committee;
- ii) Regional Disaster Risk Management Committee;
- iii) Sub-regional Disaster Risk Management Committee;
- iv) Local Authority Disaster Risk Management Committee; and
- v) Constituency Disaster Risk Management Committee.

To coordinate the disaster risk management function, the Directorate for Disaster Risk Management (DDRM) is placed in the office of the Prime Minister. The Disaster Risk Management function will employ the following strategies to meet the national disaster risk management objectives (Namibia, 2009; 2011):

- i) The integration of disaster risk reduction into sustainable development policies and planning at all levels;
- ii) The strengthening of disaster risk management structures, mechanisms and capacities to build resilience to hazards at national, regional, constituency and community levels;
- iii) The systematic incorporation of risk reduction approaches into the implementation of emergency preparedness, response and recovery programmes; and
- iv) The building of multi-stakeholder partnerships at all levels to contribute to the implementation of total disaster risk management.

6.4.9.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

These initiatives confirm the Namibian government's realisation that the success of risk reduction and management, as with the achievement of the development and climate change adaptation and mitigation programmes, requires the concerted efforts of the national, regional and international stakeholders.

6.4.9.4 *The involvement and role of international organisations*

A number of international organisations play a role in disaster risk management programmes in Namibia. ISDR (2010a:164) notes that their roles are primarily technical in nature involving agencies such as the World Meteorological Organisation, the United

Nations Development Programme (UNDP) and the United Nations International Strategy for Disaster Reduction (ISDR). The roles of these organisations are critical for internal capacity building programmes as well as for supporting cross-border and regional collaboration. The SADC institutional model in chapter 8 will further accentuate this point.

6.4.9.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

In line with the focus of the study, the Namibian Disaster Risk Management Act of 2012 (Namibia, 2012:48) recognises the importance of regulated collaborative arrangements on disaster risk management issues. To this end, a specific provision has been legislated under section 54 titled *Co-operation agreements*, providing that:

- “...54. 1) The Prime Minister may enter into any agreement with any entity or person within or outside Namibia on any matter relating to disaster risk management if the objectives of that entity or person are consistent with the objectives of this Act.
- (2) An agreement referred to in subsection (1) must be in accordance with law and may contain such matters as may be prescribed.
- (3) An entity or person referred to in sub-section (1) is subject to and must:
- (a) respect the sovereignty of Namibia;
- b) obey local laws;
- (c) abstain from political or commercial activities; and
- (d) ensure that the assistance given is both appropriate to the assessed needs and compliant with domestic, quality, health and other standards” (Namibia. 2012).

From the discussion above, it can be reasoned that the Namibian Government recognises the importance and value of cooperation even from a cross-border and regional perspective. As a signatory to the SADC protocol, it can be argued that Namibia’s legislated conditions consider sub-regional standards that govern collaboration.

In its 2011 report on the implementation of the Hyogo Framework for Action (HFA) 2005-2015 in the area of cross-border and regional collaboration, the Namibian government reported that: “Namibia holds joint commissions of cooperation with neighbouring

countries that share common information on security, exchange information on disease outbreaks, exchange of information on river water levels. The country also cooperates with neighbouring coastal States in sharing maritime information including the legal framework issues on oil spill risks, management of oil spills, the mapping of sensitive areas. At sectoral level, the Ministry of Agriculture networks with sub-regional, regional and international organizations on the prevention and control of Foot and Mouth Disease (FMD) and other trans-boundary animal diseases. The country is also participating in the "Zambezi River Basin Initiative" (Namibia, 2011b:12).

It further confirms the need for a clearly defined institutionalised model for collaboration between countries, including SADC member states. Namibia's open legislative pronouncement on the need for collaboration at regional level also demonstrates the need for an institutionalised model. In line with the focus and objectives of the study, the need for collaboration that respects the sovereignty of the affected countries is a critical consideration as it reflects in the SADC collaborative model for disaster risk management to be presented in the next chapter.

The ensuing section explores the policy and practical arrangements for disaster risk reduction in respect of the Republic of Seychelles.

6.4.10 Republic of Seychelles

The Republic of Seychelles is an island country located in the Indian Ocean east of Africa and northeast of Madagascar. The country is a member of the Southern African Development Community and a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a).

6.4.10.1 *An overview of disaster risk dynamics prevalent in Seychelles*

Although the country does not share physical boundaries with other countries, it is vulnerable to biological, epidemiological and pandemic hazards (ISDR, 2010a:193). Over the past years the Republic of Seychelles experienced a number of events as a result of natural hazards ranging from heavy rainfall to strong storms (Martin, Bestienne & Vel, 2009:2). The impact of the Asian Tsunami of 2004 was also felt. These natural hazards resulted in flooding, wind damage, landslide and coastal erosion. It is also believed that an increase in the effects of the hazards is likely due to climate change and climate variability. This is associated with ENSO events.

6.4.10.2 *Disaster risk reduction policy and institutional arrangements*

The Seychelles government established the Department of Risk and Disaster Management in 2004. The department is located within the Office of the Vice President and intervenes on all sectors of disaster risk reduction and management (ISDR, 2010a:190). The current legal instrument governing the function is the Seychelles National Disaster Risk Management Policy of 2009 (Seychelles, 2009). In line with the provisions of the policy, the department collaborates directly with the National Disaster Committee (NDC) which is a forum that regroups the principal ministries and organisations involved in disaster management programmes (Tave & Leurence, 2009). However, there is a lack of legislation to guide disaster risk reduction and management. Thus, in order to effectively institutionalise the disaster risk reduction function on national level and within all sectors, further attention should be given to introduce legislation with a guiding stance.

6.4.10.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

The Seychelles disaster risk reduction and development agenda has not been fully conceptualised yet. This is because there is still no framework governing the incorporation of disaster risk reduction into other development processes. To this end, ISDR (2010a:191) notes that the Town and Country Planning Act and the Building Regulations do not as yet incorporate disaster risk reduction components. This is despite the fact that the Department of Disaster Risk Management is represented in the Town and Country Planning Authority where it can ensure the mainstreaming of disaster risk reduction within development programmes. With regard to the interface of climate change and DRR, ISDR (2010a:192) notes that the DRR is incorporated in the Environmental Management Plan 2 of the country. The Seychelles' disaster risk reduction scenario demonstrates a change in paradigm to include risk reduction as a concern for sustainable development. It has also shifted to consider the effect of climate change on the disaster risk dynamics. Nonetheless there is still a lack of frameworks to facilitate the integration of disaster risk reduction and development which can cause current efforts to be futile. This is not only undermining development progress but is also compromising the existing development services as commitment and drive to ensure the reduction of risk to services, livelihoods and infrastructure could be minimised or nullified.

6.4.10.4 *The involvement and role of international organisations*

In a quest to ensure the management of risk associated with these events, the Republic of Seychelles partnered with the United Nations Development Programme on the development of a comprehensive Early Warning and Disaster Management system in 2006. According to the country's HFA implementation report of 2011, Seychelles Red Cross proves to be one of the key partners in the disaster risk management programmes (Seychelles, 2011:6). In 2005, the National Platform for disaster reduction was launched with the support of the United Nations International Strategy for Disaster Reduction (ISDR, 2010a:191). ISDR also assisted with the development of a Disaster Risk Reduction Framework in 2006/07. Also, the World Bank's Global Facility for Disaster Reduction and Recovery (GFDRR) and the World Meteorological Organisation provide technical support to Seychelles' DRR programmes. The discussion points to the fact that international institutions do play a critical role in shaping and directing discourses at policy and operational levels. This is a critical foundational measure for the institutional model to be outlined in Chapter 8.

6.4.10.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

The Seychelles corroborates to regional collaboration through its active involvement in the Indian Ocean Commission Oil Spill Management Programme. The country's National Meteorological Services also has a good relationship with counterparts in the region, though collaboration with regional stakeholder and partners requires further improvement (Seychelles, 2011:8). Also worth noting is the fact that the island nature of the country brings about a different dimension to bilateral collaboration and could be further researched through follow-up studies as suggested in section 8.5.3 below.

The following section explores the legislative direction and operational systems of the South African Government relating to disaster risk reduction in the context of development and disaster risk reduction interface and regional collaboration.

6.4.11 Republic of South Africa

The Republic of South Africa is a country located at the southern tip of Africa. The country is a member of the Southern African Development Community and a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a). The

country is also one of the active participants in the on-going SADC disaster risk reduction programmes facilitated by the SADC secretariat.

6.4.11.1 *An overview of disaster risk dynamics prevalent in South Africa*

South Africa experiences disaster risk of natural and anthropogenic origin ranging from floods, fires, storms, snow falls, hailstorms, drought and chemical incidents (South Africa, 2005; ISDR, 2010a:204). Urban areas in South Africa are particularly vulnerable to climate change related disasters where structural poverty, substandard infrastructure and housing, high population density, economic assets and commercial as well as industrial activities are concentrated (Faling, Tempelhoff & van Niekerk, 2012:244). It should however be noted that, although having their own peculiarities, rural areas are no exception to the general trend of climate change and its effects. This is evident with the increasing level of infrastructure damage in rural areas due to extreme and sporadic weather incidents.

New forms of disaster risk have recently emerged in the form of Acid Mine Drainage (AMD) (IFRC, 2011:18). Isolated cases of social conflict in the form of xenophobic incidences are also being experienced. It is on this basis that in 1998, the country saw the state and non-state organisations partnering to launch the Roll-Back Xenophobia (RBX) campaign as a means for raising awareness about the presence of foreign nationals in the country (Jost *et al.*, 2012).

6.4.11.2 *Disaster risk reduction policy and institutional arrangements*

South Africa is one of the countries that have legislated disaster risk management and reduction as part of their post-apartheid policy reforms. These legislated measures find their grounding in the country's constitution. Within this context, the Constitution of the Republic provides that:

“Everyone has the right:

- i) To an environment that is not harmful to their health or well-being; and
- ii) To have the environment protected for the benefit of present and future generations, through reasonable legislative and other measures that:
 - a) Prevent pollution and ecological degradation;
 - iii) b) Promote conservation; and

- iv) c) Secure ecologically sustainable development and use of natural resources while promoting justifiable economic and social development” (South Africa, 1996:11).

Schedule 4 Part A of the Constitution classifies disaster management (also implying disaster risk management) as one of the functional areas of concurrent national and provincial legislative competence (South Africa, 1996:143). This implies that the disaster risk management and reduction function in South Africa needs to be implemented collaboratively between different spheres of government and through well-defined collaborative instruments.

Botha *et al.*, (2011:21) point out that the South African government policy does not only pursue the above-stated constitutional provision but aims to give effect to the right to life, equality, dignity, environment, property, healthcare, food, water and social security in terms of the Bill of Rights of the Constitution. It is on this basis that they argue that disaster risk reduction is much more than just a response to chaotic events. It is a systematic process to reduce the risk posed by hazards and disasters as a concern for service delivery, poverty reduction and sustainable development.

To give effect to the disaster risk management function with a focus on risk reduction, the South African government adopted the following primary frameworks:

- i) The White Paper on Disaster Management 1998;
- ii) Disaster Management Act 2002; and
- iii) The National Disaster Management Framework 2005.

These frameworks are founded on the need to bring about a balance between risk reduction, recovery and rehabilitation after hazards and disasters. They also place disaster risk reduction as a key contributor for the achievement of the service delivery and development goals. This could be accomplished when all sectors show active involvement and, together with local level government with the support of clear policy direction, take ownership of risk reduction.

As a way of institutionalising the function of disaster risk reduction and management, the National Disaster Management Centre (the NDMC) was set up with similar centres at provincial and municipal levels (South Africa, 2003). To ensure that disaster risk reduction is multi-sect orally mainstreamed, sector departments and other disciplines also

established disaster management focal units within their functional areas of legislative mandate and competence. To ensure continuous stakeholders engagements on disaster risk reduction processes, the national, provincial and municipal centres coordinate stakeholder engagement platforms known as the Disaster Management Advisory Forums. These are cascading forums where different disaster management stakeholders and role players discuss and benchmark programmes relating to the implementation of national legislation as well as regional and international frameworks. Matters relating to regional and international collaboration on disaster risk management and reduction are also discussed on these forums.

6.4. 11.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

The strategic thrust of the South Africa policy direction on disaster risk management and reduction is to ensure the management of hazards and disasters as a concern for sustainable development. It is on this basis that the Disaster Management Act (DM Act) defines disaster management as:

“A continuous and integrated multi-sectoral, multi-disciplinary process of planning and implementation of measures aimed at –

- a) Preventing or reducing the risk of disasters;
- b) Mitigating the severity or consequence of disasters;
- c) Emergency preparedness;
- d) A rapid and effective response to disasters; and
- e) Post disaster recovery and rehabilitation” (South Africa, 2003).

To give practical application to the provision, the DM Act also calls for the development and adoption of disaster management plans (provincial, municipal and sectoral) to guide disaster risk management as well as reduction programmes and projects. This is also to ensure integration of disaster management principles and practices in the work of other sectors and disciplines across all levels. To this end, ISDR (2010:204) points out that the Integrated Development Plans (IDPs) developed at municipal level are predicated on community efforts to understand and alleviate their risks. This is based on the fact that the Local Government Municipal Systems Act provides for the integration of disaster management plans within the IDPs. The foregoing discussion demonstrates South Africa’s

commitment to centre disaster risk management within the function of sustainable development while ensuring national public safety (South Africa, 2003; 2005; Van Niekerk, 2005; Mangena *et al.*, 2012:4).

6.4.11.4 *The involvement and role of international organisations*

The success of the disaster risk reduction function in South Africa, and elsewhere, hinges on the active participation and ownership of disaster reduction responsibilities by all role players including non-state institutions. The NDMF also provides that the country's approach to disaster risk management must be informed by international perspectives (South Africa, 2005). The role of international organisations in supporting disaster risk management and reduction programmes in South Africa is however not well documented, particularly with regard to disaster risk reduction programmes. It can however be pointed out that, in humanitarian crisis reduction and management, the role of international organisations can be established. One such recent scenario is that the management of social conflict in 2008 because of xenophobic attacks which resulted in the establishing of specific roles for international organisations role and to manage the humanitarian crisis. In 2008, a partnership between the then National Consortium on Refugee Affairs (NCRA), the South African Human Rights Commission (SAHRC), the United Nations High Commissioner for Refugee (UNHCR) and other organisations worked together on the management of the conflict. To this end, the organisations launched the campaign referred to as the RBX. Although the research has not identified demonstrable frameworks for regulating this working relationship within the disaster risk management and reduction area, it can be argued that international organisations are playing a role in shaping the country's disaster risk management programmes. This view is further ingrained by the draft Memorandum of Understanding (MoU) on collaboration between the World Bank's Global Facility for Disaster Reduction and Recovery (GFDRR) and the Department of Cooperative Governance (DCOG). Other instruments include the agreement with United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA) regarding disaster response assistance and relates to the programme known as the United Nations Disaster Assessment and Coordination (UNDAC) Team. The agreement signed in 2005 between the then Department of Foreign Affairs (DFA) and UNOCHA outlines the responsibilities of the government of South Africa with regard to the deployment of teams during disaster situations globally under the auspices of the UNOCHA (DFA & UNOCHA, 2005). As stated in the introduction of the section, these measures are not well documented and popularised within South Africa's disaster risk reduction circles. Also important, is South

Africa's stance on regional collaboration. Thus, the next section investigates the policy and practices regarding the country's regional collaboration on disaster risk management and reduction.

6.4.11.5 A policy pronouncement or practices around regional collaboration on disaster risk management and reduction

South Africa is one of the countries that recognise regional and global collaboration as being critical to the success of disaster risk reduction. To demonstrate this position, sections 15 (4), 30 (4) and 44 (4) of the DM Act provides that:

“The Disaster Management Centres (at national, provincial and municipal levels) must liaise and coordinate their activities with one another in carrying out their duties” (South Africa, 2003).

The National Disaster Management Centre (NDMC) is also called upon to:

“Engage in any lawful activity, whether alone or together with any other organisation in the Republic or elsewhere, aimed at promoting effective exercise of its powers or the effective performance of its duties” (South Africa, 2003).

To give effect to the above-stated provisions, Section 6 of the DM Act calls for the prescription of the National Disaster Management Framework to guide disaster risk management processes in the country and to spell out South Africa’s role in regional and global discourses. The framework should *inter alia* facilitate:

- i) South Africa’s cooperation in international disaster (risk) management processes;
- ii) Regional co-operation in disaster (risk) management in southern Africa; and
- iii) The establishment of joint standards of practice.

To give effect to this provision, the National Disaster Management Framework (2005) calls for arrangements for national, regional and international cooperation for disaster risk management. It specifically states that regional cooperation for the purpose of disaster risk management is essential and that appropriate mechanisms must be initiated to establish a forum in which such cooperation can be achieved. Accordingly, it is proposed that a consultative process should be undertaken to establish a Southern African Development Community (SADC) forum for the purpose of disaster risk management

cooperation in the region. According to the Framework, the forum in question should have the following objectives:

- i) Sharing information on disasters and important disaster risk reduction issues;
- ii) Creating opportunities for conducting research;
- iii) Developing and monitoring early warning systems for the region and issuing advisories so that precautionary measures can be taken timeously in the event of threats due to natural hazards, technological accidents or environmental degradation;
- iv) Establishing strategic communication links and emergency communication procedures and protocols;
- v) Concluding bilateral and multi-lateral agreements with clearly defined protocols to provide for shared disaster risk reduction interventions, preparedness and cross-border disaster response and recovery operations;
- vi) Sharing expertise in disaster response and recovery and establishing Disaster Assistance Response Teams (DARTs) as well as other relevant specialist teams, to assist in response and recovery efforts;
- vii) Ensuring the clear definition of responsibilities between the various regional and international role players in cross-border disaster response;
- viii) Promoting and facilitating the establishment of joint standards of practice across the region by developing standards for:
 - a) disaster risk reduction;
 - b) disaster risk assessment; and
 - c) response management systems and the establishment of regional disaster operation centres (ROCs) to ensure the effective coordination of disaster response and recovery management.
- ix) Ensuring uniformity in standards for humanitarian assistance and mitigation interventions;
- x) Formulating accredited curricula for disaster risk management education and training; and
- xi) Establishing uniform protocols and clearly defined responsibilities, which differentiate between responsibilities in the event of persons crossing border in

search of humanitarian assistance only and those seeking (political) asylum in terms of the Refugees Act, 1998 (Act 130 of 1998) (South Africa, 2005).

The Framework further provides that in addition to establishing the above arrangements and international protocols for co-operation between national governments and other governments in the region, similar arrangements for cooperation must be made between the governments of the following provinces and neighbouring countries:

- i) Eastern Cape and Free State and Lesotho;
- ii) Northern Cape and Namibia and Botswana;
- iii) KwaZulu-Natal and Mpumalanga and Swaziland and Mozambique;
- iv) Limpopo and Mozambique, Zimbabwe and Botswana; and
- v) North West Province and Botswana.

From the foregoing discussion, it can be explained that the South African government shows explicit acknowledgement of the need for regional and cross-border collaboration in line with the focus of the study. This policy focus is critical to inform the envisaged SADC institutional collaborative model involving both regional state and non-state role players. This responsibility also involves the facilitating role of the international organisations. To expand from the South African context, the following section discusses the Kingdom of Swaziland's disaster risk management and reduction frameworks as it relates to the focus of the study.

6.4.12 Kingdom of Swaziland

The Kingdom of Swaziland is a landlocked country in southern Africa. The country is a member of the Southern African Development Community and a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a).

6.4.12.1 *An overview of the disaster risk dynamics of Swaziland*

Like all African and SADC countries, Swaziland has embarked on policy reforms with the objective of meeting the needs of its current and future generations. According to Swaziland & UNDP (2010:7) and ISDR (2010a:214), the country is experiencing a combination of natural and human-induced hazards and disasters such as droughts, floods, wild fires, windstorm, hailstorm and epidemics (HIV and AIDS, A/H1N1, MDR-TB, Cholera). These conditions lead to destruction of livelihoods, property, environmental

losses and negative humanitarian consequences. Since the 1980s, the levels of disaster risk have increased mainly due to the HIV and AIDS pandemic. This resulted in greater food insecurity exacerbated by the erratic rainfall, economic shocks, increased poverty and the declining capacity of national institutions to effectively respond to hazard events. Also notable is the fact that climate change or variability has had an effect on the deteriorating state of affairs. To this end, Swaziland & UNDP (2010:7) point out that the 2007 drought which resulted in over 60 000 people relying on food aid, proof to be a living testimony of climate change's impact on livelihoods.

6.4.12.2 Disaster risk reduction policy and institutional arrangements

The Kingdom of Swaziland is one of the first countries that had put policy measures in place to deal with disasters. Given the fragile state of affairs and its quest to reduce risk as a concern for poverty reduction and sustainable development, the country instituted measures such as, but not limited to:

- i) The adoption of the National Disaster Risk Management Policy in 1999 (Swaziland, 1999);
- ii) The promulgation of the Disaster Management Act in 2006 (Swaziland, 2006);
- iii) The formulation of a National Action Plan for DRR covering the period 2008-2015 (Swaziland, 2008); and
- iv) The formulation of a Multi-Hazard Contingency Plan for the period 2013-2013 (Swaziland, 2012).

The goal of the policy, which finds traction on the Act and associated implementation frameworks, is:

“To prevent and minimize the impact of disasters on vulnerable communities and groups; develop response systems and standards; and issue timely alerts on any disaster and help protect the country’s critical infrastructure” (Swaziland, 2010:13).

Aligned with the policy goal and alongside the above-mentioned measures, the country has established the National Disaster Management Agency (NDMA) within the office of the Deputy Prime Minister (DPM). According to the Swaziland report to the 3rd Session of the Global Platform in 2011 (Swaziland, 2011) the NDMA was in the process of establishing a national platform for disaster reduction to enhance its effectiveness. This platform would comprise focal points from government ministries, municipalities, civil

society, private sector and disaster management communities. To direct and support the work of the NDMA, the Act establishes three governance structures, notably:

- i) The Ministerial Disaster Management Team;
- ii) The National Disaster Management Council; and
- iii) The Regional Disaster Management Committee.

It is also worth noting that the Act has legislated multi-disciplinary Working Groups (WGs) to deal with various disaster risk scenarios such as:

- i) Risk and vulnerability assessment;
- ii) Early warning;
- iii) Water and sanitation;
- iv) Health and nutrition;
- v) Emergency relief and logistics;
- vi) Education and public awareness;
- vii) Training and capacity building;
- viii) Civil emergencies; and
- ix) Inter-country coordination (Swaziland, 2006).

6.4.12.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

The policy provisions of the Kingdom of Swaziland demonstrate a clear realisation of the linkage between disaster risk management and development. In line with this view, an analysis of the Swaziland disaster risk management and reduction mechanism indicates that the country has shifted its philosophy and practices from a response and recovery paradigm to the risk reduction mode and implementation approach. This is also evident in Swaziland's policy focus. Notwithstanding this shift, ISDR (2010a:218) notes that existing environmental legislation (e.g. the 2002 Environmental Management Act) and natural resources plans do not explicitly mention disaster risk reduction. This demonstrates a lack of full acknowledgement of climate change and the realisation of its relationship with other strategic programmes such as disaster risk reduction. On this ground, Brown (2011:24) notes that in Swaziland, climate change remains an unclear issue. Only a limited number

of the Members of Parliament seem to be clear about what climate change entails and the impact it could have on agriculture, the economy and the poor. This background mobilised the report to propose that Parliament's role in the fight against climate change should be strengthened with credible information and options in order for Members of Parliament (MPs) to activate ministerial support and action.

6.4.12.4 *The involvement and role of international organisations*

The kingdom of Swaziland is one of the countries that receive support from national and international non-state and state institutions for its disaster risk reduction programmes. A working example is the constitution and role of the National Sustainable Disaster Management Council (NSDMC) that involves different stakeholders. This Council is responsible for proposing policy and programme direction to Cabinet. ISDR (2010a:215) notes that the United Nations Resident Coordinator (UNRC) in Swaziland, representatives of bi-lateral and multi-lateral donor organisations to Swaziland and other NGOs attend to this Council in an *ex officio* status. It can be argued that this arrangement demonstrates the realisation of the government that international institutions have a critical role to play in supporting country programmes. Another example is the UNDP financial and technical support in the development of the National Action Plan for 2008 to 2015 for capacity development in disaster risk reduction. In addition, the United States Agency for International Development (USAID) has an on-going programme to reduce the impact of drought on vulnerable populations in the country (ISDR, 2010a:217). In support of the focus of the study, these collaborative measures demonstrate the critical role that international organisations play to enhance national and regional disaster risk management and reduction programmes.

6.4.12.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

Regional and cross-border collaboration remains one of the focus areas of the national policies. Notable is the country's prioritisation of inter-regional collaboration through the establishment of a working group that deals with Inter-Country Coordination (ICC) (Swaziland, 2006). This is indicative of Swaziland's commitment to foster collaborative arrangements with neighbouring and other like-minded states. This provision is clearly articulated in one of the objectives of the Swaziland Disaster Management Policy of 1999. The specific objective aims to prevent and minimise the impact of disasters on vulnerable

communities and groups through measures such as, but not limited to, the facilitation of regional and international cooperation in disaster management (Swaziland, 1999).

The next discussion reviews the prevalent disaster risk reduction legislation and arrangements within the Republic of Tanzania that meet the requirements of the study's focus.

6.4.13 United Republic of Tanzania

Tanzania is one of the African countries located in East Africa. The country is a member of the Southern African Development Community (SADC) and a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a). The country is also a member of the East African Community (EAC).

6.4.13.1 *An overview of the disaster risk dynamics of Tanzania*

The common hazards carrying the threat of disasters in the country include epidemics, pest and rodent infestation, droughts, floods, major transport and industrial accidents, refugees and fires (Tanzania, 2004:1; 2007; AU *et al.*, 2008:81 & ISDR, 2010a:221). These hazards and associated disaster incidents have a negative effect on poverty reduction and development in the country. A direct response to deal with the prevailing hazards and disasters experienced in the country, the Government of Tanzania passed the Disaster Relief Coordination Act, 1990 (Act 9v of 1990) (under review in 2007). Compliant to the provisions of the Act, an Inter-Ministerial Committee known as Tanzania Disaster Relief Committee (TANDREC) was established. This structure was put together to oversee and coordinate overall relief operations at national level (Tanzania, 2004:1).

6.4.13.2 *Disaster risk reduction policy and institutional arrangements*

Tanzania is one of the countries that had instituted policy and legislative measures to manage hazards and disasters. The key frameworks adopted in this regards include:

- i) The Disaster Relief Act of 1990 which provided a basic frameworks for disaster response (Tanzania, 1990);
- ii) The National Operational Guidelines for Disaster Management of 2003 which incorporated elements of disaster risk reduction (Tanzania, 2003); and

- iii) The National Disaster Management Policy of 2004 which established a disaster management system for the country (ISDR, 2010a:222) (Tanzania, 2004).

Tanzania is a unitary Republic of the Mainland and Zanzibar. Therefore, according to the existing constitution, these two parts are responsible for their own disaster management system. However, the Tanzania Disaster Relief Committee (TANDREC) was set up to oversee disaster relief matters nationally (Tanzania, 2003:10). The Principal Secretary in the Office of the Prime Minister (OPM) chairs the committee (ISDR, 2010a:222). To operationalise the mandate of the TANDREC, the Tanzanian government established the Disaster Management Department (DMD) as a central government agency placed in the Prime Minister's Office (PMO). The department is meant to coordinate and supervise disaster management activities in the country (Tanzania, 2003:10; Becker, 2011:1). The functions of the DMD incorporate both pre- and post-disaster phases of disaster management. Also, specialised technical task teams support these functions through focusing on specific disaster risk scenarios (Tanzania, 2004, 2007).

Over time as understanding and appreciation for the implementation of disaster risk management and reduction functions matured, authorities realised that the provisions of the 1990 Act are inadequate to provide for risk reduction measures according to the prevailing paradigm. To this end, the National Disaster Management Policy advocated for the need to amend the Act in order to reflect the complete disaster (risk) management concept (Tanzania, 2004:4).

Some of the key policy statements identified in terms of the policy and relevant to the research, included:

- i) Firstly, the need for Tanzania to take part in different forums majoring in disaster management with workable arrangements and fully cooperate with regional bodies;
- ii) Secondly, the need for the country to ratify and implement international conventions of disaster reduction and other conventions of relevance to address trans-boundary disaster problems (Tanzania, 2004:8);
- iii) Thirdly, to put in place a regional cooperation system to ensure prompt acquisition of assistance from other countries (Tanzania, 2004:5); and

- iv) Fourthly, to strengthen cooperation with United Nations Organisations (UNOs) and International Agencies (IAs) to enhance more resources and expertise requirements for disaster management activities (Tanzania, 2004:13).

Aligned with the essence of the 2004 Policy, the country implements disaster management in a five tier structure, notably:

- i) National;
- ii) Regional;
- iii) District;
- iv) Ward; and
- v) Village levels (Tanzania, 2003; 2004).

6.4.13.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

The Tanzanian profile as determined through the reviewed literature reflects a balanced policy direction and implementation of the disaster risk management and reduction function in line with the prevailing paradigm and trajectory. This is particularly the case after the adoption of the 2004 policy. The developmental orientation of the disaster risk reduction function is also pronounced in the Policy which states that:

“The thrust of this disaster management policy therefore is to have a safe livelihood with minimum disaster interruptions to social and economic development issues. This is possible by mainstreaming disaster management activities as an integral part of development programmes of all sectors in the country” (Tanzania, 2004:1).

Cooperation has been fostered among different sectors for safe construction and infrastructure as a measure to ensure that disaster reduction forms the mainstream in development programmes (ISDR, 2010a:226). The country has also established the National Disaster Training Centre to coordinate training programmes as a strategic enabler for the function. The promotion of collaboration, focus on risk reduction, integrated institutional approach, vulnerability driven approach as well as the recognition of trans-boundary and regional dynamics of risk and risk reduction are all critical factors and relevant to the study. The country has also put in place policy and operational measures to manage climate change effects. To this end, ISDR (2010:225) notes that climate

change is one of the important themes in the National Land Use Framework Plan (NLUFP) for 2008 to 2028. The National Land Use Planning Commission produced this framework in 2008. Along the Tanzanian coast, leading conservation groups are also working with natural resource managers and other stakeholders to integrate climate change adaptation strategies into their management philosophies and plans (Hansen, Biringer & Hoffman, 2003).

6.4.13.4 *The involvement and role of international organisations*

There is evidence regarding the involvement of non-state agencies in disaster risk reduction programmes in the country. This is undertaken in an orderly manner where reports (ISDR, 2010a:222) point to the fact that United Nations agencies have constituted a Disaster Coordination Group (DCG) to facilitate interaction among themselves and between themselves and the state agencies. These agencies include, but are not limited to, United Nations Children's Fund (UNICEF), Food and Agricultural Organisation (FAO), the World Food Programme (WFP) and the United Nations Development Programme (UNDP). Also, the WFP has been providing support on the formation of the Food Security Information Team (FSIT) as a multi-disciplinary team to advise government on actions to alleviate the food insecurity challenge. The "One UN" initiative was also launched as a joint programme for strengthening national disaster preparedness and response capacity for the country. This initiative is meant to enhance disaster risk reduction across the entire disaster risk management spectrum. Other international institutions involved are, but are not limited to, the World Bank's Global Facility for Disaster Reduction and Recovery (GFDRR), the United Nations International Strategy for Disaster Reduction (ISDR), the World Meteorological Organisation (WMO) and the United Nations Development Programme (UNDP) (ISDR, 2010:224). These organisations provide services in collaboration with the regional bodies of the African Union, the SADC and the EAC. The orientation of the country towards regional collaboration will be discussed in the next section.

6.4.13.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

The Tanzanian National Disaster Management Policy of 2004 advocates for the need to establish a regional cooperation system that ensures prompt assistance from other countries (Tanzania, 2004:5). This measure reflects Tanzanian government's direct appreciation of the need for regional working relationships in the region and between

countries in the region and beyond. The country's recommendation on the need for International Conventions (IC) on disaster reduction further confirms its focus on regional collaboration (ISDR, 2010a:226).

In the next section, a review of the Republic of Zambia's profile is carried out according to the focus of the study.

6.4.14 Republic of Zambia

The Republic of Zambia is a landlocked country in southern Africa. It is a member of the Southern African Development Community and a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a).

6.4.14.1 *An overview of the disaster risk dynamics of Zambia*

The disaster risk profile of Zambia is characterised by the prevalence of incidents associated with natural and anthropogenic hazards. These include floods, drought, plant pest and disease infestation, livestock diseases, plant parasite infestation, fires, epidemics and human induced hazards such as accidents, humanitarian emergencies (Zambia, 2005a:8; 2005b; 2010). The largest human and economic losses recorded are from epidemics in 1999 (393 people killed), 1991 drought (1700 000 people affected) and the 1998 flooding (US\$20 700 000) (ISDR, 2010a:241). These losses indicate the extent of negative impact that hazards and disasters have on the development aspirations of the country.

6.4.14.2 *Disaster risk reduction policy and institutional arrangements*

The Zambian government has realised the need to institutionalise disaster risk management through policy and institutional mechanisms. Based on this realisation, the country adopted the following frameworks:

- i) Disaster Management Policy of 2005 (Zambia, 2005b);
- ii) The Disaster Management Operations Manual 2005 (Zambia, 2005a); and
- iii) The Disaster Management Act 2010 (Act 13 of 2010) (Zambia, 2010).

To ensure the institutionalisation of the disaster risk reduction function, the Act established the National Disaster Management and Mitigation Unit in the Office of the Vice President. The Unit serves to coordinate the implementation of disaster management programmes

and activities in the country (Zambia, 2010:81; 2011). To ensure national synergy for the implementation of the disaster management function, the Act established four institutional coordinating mechanisms, which are:

- i) The National Disaster Management Council (Political);
- ii) The National Disaster Management Technical Committee;
- iii) The Provincial Disaster Management Technical Committee;
- iv) District Disaster Management Committees; and
- v) Satellite Disaster Management Committees.

From the legislative functions of the Council and the committees, it can be reasoned that the intension of the Act is to ensure a coherent and coordinated national disaster risk management system founded on a top-down and a bottom-up ownership of risk reduction measures.

6.4.14.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

The Republic of Zambia's disaster risk management policies aim to ensure the reduction of disaster risk as a concern for service delivery and development. This is based on the acknowledgement that the management of these hazards and the reduction of disaster risk are crucial for Zambia to be a safe and secure country. From a climate change perspective, ISDR (2010a:245) specifies the “Strengthening of Early Warning Systems to Improve Services to Preparedness and Adaption to Climate Change” as one of the most important projects in Zambia. These initiatives are proof that Zambia realises the interface of development, risk reduction and climate change.

6.4.14.4 *The involvement and role of international organisations*

The Zambian National Disaster Management Policy acknowledges the critical role of non-state stakeholders in disaster risk management programmes (Zambia, 2005b:31). Thus the policy identifies those stakeholders and all Non-Governmental Organizations, Donors, UN Disaster Management Country Team and the UN System in general, the private sector, the church and the community as responsible to report their activities to the DMMU (ISDR, 2010a:243; Zambia, 2005a:31; Zambia, 2011). Other organisations and agencies involved in disaster reduction and related programmes in the country include, but are not limited to, the World Vision, CARE International, the United Nations Development

Programmes, the World Meteorological Organisation as well as ActionAid International. These provisions clearly demonstrate the friendliness of the Zambian government's policies towards the contribution of national and international non-state parties in the design and implementation of the disaster management programmes.

6.4.14.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

This is a critical policy provision and links directly to the focus of chapter 2 on the role of international organisations in supporting state programmes and their collaborative efforts. In line with the focus of the previous chapter 5, Zambia (2011) reports that DRR is mainstream in the policies, strategies and programmes of all stakeholders at all levels. To this end, sectors such as Agriculture, water and sanitation as well as education all implement DRR activities at the local and district levels. In addition, disaster risk reduction activities have been included in the Six National Development Plan (SNDP) for the country. Realising the effect of climate change and climate variability on hazards and disaster risk, the country has developed the National Climate Change Response Strategy. This is to ensure a coordinated response to climate change issues in the country and thereby positioning itself to respond to the adverse impacts thereof. From the discussion above, it can be argued that the Republic of Zambia has adopted a development approach to risk reduction. The approach also understands the importance of the integration of disaster reduction, sustainable development and climate change response. Furthermore, it is conscious of the fact that the paradigm could only be realised with the participation of other role players. The above discussion demonstrates the Zambian government's legal and practical orientation towards disaster risk reduction as a developmental concern. It also depicts the policy pronouncement of the Zambian government towards cross-border and regional collaboration to be further discussed in chapter 7. The following section reviews the policy, legislation and practices of the Republic of Zimbabwe as it meet the focus of the study.

6.4.15 Republic of Zimbabwe

The Republic of Zimbabwe is a landlocked country in southern Africa. The country is a member of the Southern African Development Community and a signatory to the SADC Protocol on Politics, Defence and Security Co-operation (SADC, 2001a).

6.4.15.1 *An overview of the disaster risk dynamics of Zimbabwe*

According to the Zimbabwe Contingency Plan for 2012 to 2013 (Zimbabwe, 2012:8), the common hazards prevalent in the country can be classified into hydro-meteorological, geological, biological, technological and those relating to environmental degradations. Specific examples include floods, drought, fires and lightning strikes. Also widespread, are incidents of road traffic accidents. Moreover, Zimbabwe is pointed out as one of the countries with the highest lightning death toll in the world with an average of about 100 people. Many more people are injured through lightning strikes, mostly in rural areas (Zimbabwe, 2011:12).

6.4.15.2 *Disaster risk reduction policy and institutional arrangements*

In Zimbabwe, the Directorate of Civil Protection under the Ministry of Local Government, Public Works and National Housing handles the disaster risk reduction function. Regarding the legal framework for managing risk, since 1989 the Zimbabwean government has promulgated and adopted the following frameworks:

- i) The Civil Protection Act 1989;
- ii) The National Disaster Risk Management Policy of 2011;
- iii) The Zimbabwe National Contingency Plan 2012 – 2013.

To ensure national execution of the function, the Act provides for three levels for coordinating the function, namely:

- i) Directorate of National Civil Protection;
- ii) Provincial Organisation of Civil Protection; and
- iii) Area Organisation of Civil Protection.

6.4.15.3 *The policy and practice orientation towards disaster risk reduction and development and reference to climate change*

From the reviewed literature, it can be rationalised that Zimbabwean legislation's philosophical orientation towards disaster reduction and development has not been fully developed yet. This is due to the fact that the greater focus of the Act is to deal with disasters once they have occurred with minimal pronouncement on risk reduction. ISDR (2010a:248) specifically notes that most disaster related work in the country concentrates

on response. An example is cited of the World Food Programme project which focuses on feeding 1,5 million Zimbabweans due to the country's food insecurity. Another project with a response focus is the USAID funded Zambezi River Basin Initiative which deals with the Famine Early Warning Systems Network (FEWSNET).

It is on this basis that Betera (2011:11) reports that the draft Bill for amending the Civil Protection Act was developed and that a draft policy framework for mainstreaming disaster risk reduction in development planning was developed. According to the draft Disaster Risk Management Policy (Zimbabwe, 2011), the proposed Disaster Risk Management Act promotes a paradigm shift which recognises partnerships as essential to achieve effective disaster risk management and reduction. This is achieved through encouraging a move from sole responsibility of the government to a multi-stakeholder based responsibility. This is critical for the study as it demonstrates conformity with the global paradigm shift towards risk reduction within the multi-stakeholders policy, planning and implementation frameworks of the country. While there has been an acknowledgement of the need to manage climate change effects in the country, Chagutah (2010:vii) notes that the country's participation at regional and international climate change forums has suffered because of insufficient resources to build a stronger and larger negotiating team for the country. It is also observed that there is limited participation of civil society in crafting the country's position on climate change. Only in 2012, the country embarked on a process to develop the Zimbabwean Climate Change Policy.

6.4.15.4 *The involvement and role of international organisations*

The above discussions proof that international organisations are playing a critical role in the disaster risk management affairs of Zimbabwe. Due to the crisis stage of the risk management interventions, international organisations mostly apply a crisis or reactive approach when getting involved with Zimbabwean disaster risk management.

6.4.15.5 *A policy pronouncement or practice around regional collaboration on disaster risk reduction*

The acknowledgement of the international and regional frameworks governing disaster risk management and reduction is also an indication of the country's realisation that although sovereign, the country is not isolated from others. Hence the need to work within the existing global and regional frameworks. It should however be pointed out that the pronouncement towards a risk reduction culture will not be realised until it is approached

from a firm legal basis. It should also cater for all developmental dimensions relating to social, economic, institution and environmental aspects of society.

6.5 THE SUMMATIVE ANALYSIS OF THE DISASTER RISK MANAGEMENT SYSTEM FOR THE SOUTHERN AFRICAN DEVELOPMENT COMMUNITY (SADC)

An analysis of the profile of the disaster risk reduction system for SADC reveals an interesting picture regarding the development of the function in the region. This chapter has revealed the general status quo as well as variations in the institutionalisation of the function. It is important not to take note of the profile of the disaster risk reduction system for SADC as well as the national peculiarities thereof as it will have a bearing effect on the design and the operationalisation of the envisaged collaboration model. To follow is a summary of the disaster risk reduction system for SADC's profile.

6.5.1 Disaster risk reduction policy and institutional arrangements

An analysis of the profile of the SADC member states reveals that all have valued the need to develop national disaster risk management systems. These are demonstrated in three ways, namely the existence of policies and legislation, the establishment of a disaster risk reduction focal unit and the establishment of consultative mechanisms. Some of the countries such as Angola still need to mature to the supposed level. Also notable is the fact that some of the mechanisms (e.g. in Zimbabwe) dates back to the previous era on Civil Defence. The other critical aspect is the different location of the disaster risk management function in the various countries as depicted in table 6.3 below. The profile that depicts the placement of disaster risk reduction and management as function is set out in five categories. These categories are listed below with its corresponding acronyms. The acronyms are, Office of the President (OP), Office of the Deputy President (ODP) or Office of the Vice President (OVP), Office of the Prime Minister (OPM), Office of the Deputy Prime Minister (ODPM) and Line Ministry (LM).

Table 6. 3: The profile for the placement of the disaster management units in SADC member states

PLACEMENT OF THE DRM UNITS IN SADC MEMBER STATES 2013					
Country	OP	ODP / OVP	OPM	ODPM	LM
Angola					X
Botswana	X				
Congo					X
Lesotho			X		
Madagascar			X		
Malawi	X				
Mauritius			X		
Mozambique					X
Namibia			X		
Seychelles		X			
South Africa					X
Swaziland				X	
Tanzania			X		
Zambia		X			
Zimbabwe					X

The profile reflects clear variations on the placement of the function. The study has revealed in chapter 7 below that the variation brings about differences in the effectiveness of the function due to varying authorities and resources for the function. This is an area that requires further research as its scrutiny does not fall entirely within the scope of the research. For the purpose of the study, it is worth pointing out that autonomy and authority of the national function is critical for the success of the institutional collaborative model for disaster risk management in the SADC and elsewhere (see chapter 7 and 8 below).

6.5.2 The policy and practice orientation towards disaster risk reduction and development and reference to climate change

Global consensus exists on disaster risk reduction as a concern and an enabler for sustainable development. This consensus expands to the fact that development enhances disaster risk reduction and management. From the review of the profiles of SADC member states, it is clear that, notwithstanding the different levels of institutionalisation, all SADC countries recognise the importance of disaster risk reduction in development discourses. Noteworthy is the fact that even countries that still struggle with the development of the frameworks for disaster risk reduction and development (such as Angola, the DRC, Madagascar and Zimbabwe) approach disaster risk reduction from a development angle *albeit* with variations. It can thus be concluded that this state of affair is due to the influence of SADC and the global disaster risk reduction system under the SADC strategy and the Hyogo Framework for Action. The review also shows that all SADC countries experience the effect of the climate change phenomena on their environmental systems which require attention by way of systematic mitigation and adaptation programmes. It is on this basis that all the SADC countries pronounce a policy on climate change if not already involved in climate change related projects.

6.5.3 The involvement and role of international organisations

Disaster risk management involves a wide array of actors like national disaster risk management institutions that cover all relevant ministries, regional organisations, national and regional non-governmental organisations (NGOs) and civil society organisations, United Nations (UN) regional and international development banks, military forces, donor governments and the private sector (Ferris & Petz, 2013:4). Although overlaps between the roles of the organisations can occur, it is undeniable that these international organisations have got a critical role to play in supporting regional and international efforts. From the review, it is apparent that international organisations are active role players in supporting, and where possible, directing disaster risk reduction and management programmes within the SADC. This happens in a variety of ways such as, but not limited to, guidance on policy development (Swaziland, Tanzania and Lesotho), technical support (all SADC member states) and disaster risk management and support to climate change response implementation (all SADC member states). This however happens at varying levels. The organisations that play a key role in SADC include, but are not limited to, UNDP, WMO, Action Aid International, SADC, UNOCHA, UNHCR, WB

GFDRR, IFRC, WHO, ISDR, UNICEF, USAID, Irish Aid. The placement of these organisations in the institutional collaborative model is outlined in chapter 8. Considering the trans-boundary role of international organisations, it can be expected that SADC countries will be encouraged to gear their policies towards regional and cross border collaboration on disaster risk management as outlined in section 6.5.4. This arrangement should however be treated with circumspect to guard against over-reliance on international agencies to the detriment of regional governance institutions and member states. Also, states should resist the threat of burdening themselves with agendas reflecting the interests of the powerful states but should operate within the collective agenda.

6.5.4 A policy pronouncement or practice around regional collaboration on disaster risk management and reduction

As pointed out in chapter 1, regional collaboration is a critical measure to enhance national and regional capacity for disaster risk management in SADC and elsewhere. Chapter 1 specifically pointed out that the envisaged collaborative model for disaster risk management in the SADC will set the ground for developing disaster risk reduction targets. These targets will be specifically for SADC, thereby contributing to enhance the collective capacity for the management of disaster risk as a concern for sustainable regional development. This will also have a direct beneficial effect to the individual member states. The review of the policy provisions on regional and cross border collaboration in this chapter reveals varying dynamics of policy provisions and practices. The variations are based on two fronts. Firstly, some countries have direct policy pronouncements on the matter of disaster risk reduction and management (e.g. Namibia, South Africa and Swaziland) while secondly, some are only involved in regional and cross border projects (e.g. Angola, Botswana, Malawi, Mozambique). It can however be argued that the exiting frameworks and institutional arrangements that international institutions have set up (such as the SADC, AU and the UN) do provide a reasonable legal basis for collaboration. The fact that 14 of the 15 SADC countries are signatory to the SADC protocols also lends credence to the arrangement for regional collaboration.

6.6 CONCLUSION

This chapter reviewed the disaster risk management and reduction profiles of SADC member states. In line with the focus of the study, the review was meant to establish a

representation of the current legal orientation and structural configuration of the function in the SADC member states. This representation is critical to complement the empirical research in order to introduce an institutional collaborative model for disaster risk management for SADC.

The critical findings of the chapter include the fact that in general, all the SADC countries demonstrate a move towards the institutionalisation of disaster risk reduction that is aligned with the prevailing paradigm. This is evident through the countries' adoption of policies and legislation to govern disaster risk management and reduction. The move towards disaster risk reduction is also manifested in the fact that 14 of the 15 SADC member states (with the exception of Madagascar) are signatory to the Protocol on Politics, Defence and Security Cooperation (under which disaster management fall). Further evidence towards the commitment of countries to engage in disaster risk reduction and management is the existence of the SADC DRR Unit, the DRR focal units in all SADC member states, the critical roles of international organisations to support inter and intra-state disaster risk reduction programmes and collaboration (see chapter 2) as well as the promotion of international collaboration although only a few of the SADC member states have legislated this provision (Namibia, South Africa & Swaziland).

Additional critical observations relates to the fact that collaboration could be quite simple when considered that all SADC member states face common hazards and disaster risk dynamics such as floods, drought, epidemics, fires, animal diseases, pest infestation, earth quakes. It is also critical to note that all the SADC member states adopted a multi-sectoral approach to managing disaster risk. In line with chapters 3, 4 and 5, it is worth pointing out that all SADC member states consider disaster risk management and reduction and climate change as being inextricably linked and a concern for sustainable development. To this end, all SADC countries' development legislation and programmes integrates disaster risk reduction and climate change response at different levels of maturity.

A point should however be made that the above positive observations were not made without the identification of loopholes within the systems of the SADC member states and the SADC institution itself. These identified loopholes will have an effect on the effectiveness of the envisaged SADC collaborative model.

The observations on loopholes include:

- i) **Non-uniformity of the legislation that governs disaster risk management.**
According to available literature, other countries like the Democratic Republic of the Congo and Zimbabwe still employ old order legislation. This observation resembles the status quo of disaster management in the sub-region as observed in the SADC strategy (SADC, 1992; 2001c) on the fact that disaster management in the SADC vary considerably with only few countries being effective and then only in some aspects of disaster management. Slightly different from the 2001 observation that was based on a comparison of response and disaster management (risk reduction) capacity, the current observation relates to the lack of uniformity in the orientation of legislation towards risk reduction.
- ii) **Non-uniformity on the placement of the disaster risk management function.** This has a negative effect on the effectiveness of the system of collaboration. This situation also has an effect on the political ownership and championship of the function.
- iii) **Limited championing of the SADC disaster risk reduction programmes.** This is due to limited autonomy and influence, the placement of the SADC Disaster Risk Reduction Unit within the Organ on Politics, Defence and Security Cooperation as discussed in the next chapter (chapter 7).

Based on the foundation that will be presented in chapter 6, chapter 7 will demonstrate the correlation between the literature study and the empirical research. The information gathered through focus group sessions with the SADC member states and non-state entities will be critically analysed and presented. Therefore, the next chapter outlines the methodological perspectives and empirical execution of the research with the intention to clarify the way in which the research addresses the founding problem statement. Also following in the next chapter is a presentation and discussion on the institutional model for collaborative disaster risk management in SADC.

CHAPTER 7

AN INSTITUTIONAL MODEL FOR COLLABORATIVE DISASTER RISK MANAGEMENT IN THE SADC: EMPIRICAL FINDINGS

7.1 INTRODUCTION

The main purpose of the study is to develop an institutional model for collaborative disaster risk management in the SADC. A literature review and focus group sessions with specific targeted participants were conducted to achieve the objectives that were set to result in the study's main purpose. Therefore, this chapter outlines the methodological perspectives and the empirical findings of the study. In setting a foundation for the study, chapter 1 attended to the problem statement, objectives and methodology for the study. In chapter 2, the theoretical principles underlying the subject of the study were discussed. This entailed the analysis of the different concepts of international collaboration. The neoliberal institutionalism theory served as point of departure. In addition, chapters 3 to 6 discussed the concepts and practices of development and disaster risk reduction.

In order to enhance the study and to ensure the realisation of its objectives, an empirical research was carried out. The empirical research was performed in order to gather the views and preferences of the disaster management practitioners of the SADC member states about collaboration on disaster risk reduction issue. This chapter therefore presents the methodological perspectives of the study as well as its findings. To elaborate on the methodology as introduced in chapter 1, this chapter discusses various aspects regarding the empirical research. These aspects include: the empirical research objectives, the underlying research problem, the scope of the research, the research environment, the research methods and data gathering, data analysis, validity and reliability of the measuring instrument and ethical issues.

7.2 THE EMPIRICAL RESEARCH OBJECTIVES

The executing of empirical research was crucial in order to complete the study in full. It provided a practical perspective which is necessary to realise the study objectives. Focus group sessions were applied as method to obtain information and views necessary for the development of the institutional collaborative model for disaster risk management in the

SADC. This form of information gathering (through group interviews) was meant to seek a better understanding of people's feelings and/or thinking about disaster risk reduction and management as well as regional collaboration in order to accomplish it as part of sustainable development (de Vos, *et al.*, 2005:299). Participants were selected considering the fact that they have characteristics in common relating to the topic of the study (De Vos *et al.*, 2005:299) and are affected by the subject at hand although they are not naturally constituted as a social group (Terre Blanche *et al.*, 2006:304). The participants contributed willingly to the study, and under the researcher's facilitation, who guided the interview process. The objectives of the empirical research for the study were to gather information that is central to the problem statement of the study to contribute to the development of an institutional collaborative model for disaster risk management in the SADC through focus group sessions;

- ii) Interpret verbal responses of the participants during the group sessions and clarify uncertainties in order to formulate ideas and conclude on the gathered responses;
- iii) Interpret non-verbal communication (body language / unspoken language and gestures) displayed by the participants during the group discussions and rationalise interpretations into concluding assumptions;
- iv) Identify parallels and relationships between various themes, systems and processes for disaster risk management in the SADC member states; and
- v) Mobilise buy-in towards the developed institutional collaborative model for disaster risk management in the SADC owing to the broad-based stakeholder participation during the study.

Built on chapter 1 of the thesis, the next section summarises the problem statement which directed the study as outlined in chapter 1 above.

7.3 THE PROBLEM STATEMENT

The problem statement that directs the study has already been broken down for analysis in chapter 1 (see sections 1.1, 1.2 and 1.3 above). However for structural and theoretical alignment, further clarification of the central research problem was deemed necessary and is done in this section. As stated in section 1.1 of chapter 1, the problem statement entails undertaking research with the objective of the development of an institutional collaborative model for disaster risk management in the SADC. Thus, the SADC institutional

collaborative model for disaster risk management is presented in this chapter as a clarification of the research problem. As evidenced through the SADC institutional collaborative model as presented in chapter 8 below, it can be argued that the statement of the research problem has resulted in the clarification of the following fundamental questions:

- i) What exactly does the researcher want to find out?
- ii) Is this a researchable problem?
- iii) What are the obstacles in terms of knowledge, information availability and resources on the problem?
- iv) Do the benefits of conducting the research outweigh the costs? (Mouton, Auriacombe & Lutabingwa, 2006:578).

Answers to these questions were critical to ensure the authenticity of the study as depicted in this chapter and in Chapter 8 hereafter.

7.4 THE SCOPE OF THE STUDY

The scope of the study can be explained through its theoretical and empirical perspectives as dictated by the research topic, the sample as well as the unit of analysis. The two perspectives constitute the circumference of the study.

Firstly, the theoretical scope of the study which entailed the review of literature on international relations theory, the evolution of development, disaster risk reduction and climate change effect. This was done to set an intellectual scene for the development of an institutional collaborative model for disaster risk management in the SADC. The theoretical perspective of the study necessitated the review of relevant literature to clarify policy and practical arrangements relating to disaster risk reduction and development across the national, regional and the global spectrum as depicted in chapters 1, 3, 4 and 5. It also enabled the study to achieve a sound theoretical grounding based on the analysis of the theory of Neoliberal Institutionalism as specified in chapter 2. This can therefore be referred to as the theoretical demarcation of the study.

The second perspective of the study relates to its empirical demarcation. This perspective points to the methodological design which describes the gathering, analysis and presentation of the data necessary to execute the study. The methodological design is

thus explained in this chapter and based on the foundation set in chapter 1. Thus the empirical perspective of the study applied its theoretical component as its foundation. Terre Blanche *et al.*, (2006:34) note that the theoretical component is the part of the research which provides a plan that specifies how the research is to be executed. The plan is presented in such a way that it answers the research question(s). The unit of analysis for this study was determined as the Disaster Management Authorities (DMAs) of all the 14 SADC member states, the SADC Disaster Risk Reduction Unit, the non-state agencies and other partners operating within the SADC and in South Africa. These entities are discussed in detail in the next section.

7.5 THE RESEARCH ENVIRONMENT

A well-defined and demarcated environment is critical for any study as was the case with this one. For this study, the fact that an institutional collaborative model for disaster risk management could only be successfully conceptualised after rigorous consultation and profound engagements and lobbying with the affected role players and stakeholders (especially considering the nature and purpose of SADC), necessitated the identification and demarcation of the environment. For this to become reality, a clearly defined research sample and unit of analysis was required and is presented and discussed in the following section.

7.5.1 The research sample and respondents

Research sampling entails the selection of research participants from an entire population. It involves a decision on which people, settings, events, behaviours and social processes to observe (Terre Blanche *et al.*, 2006:48). It can also be referred to as a subset of a population considered for inclusion in the study (De Vos *et al.*, 2011:224). The sampling method for the study involved a purposive sampling technique. The reason for choosing this sampling technique is that the research targeted a particular type of participants according to what they already know about the field of disaster risk reduction so as to include a range of perspectives (Terre Blanche *et al.*, 2006:304 & De Vos *et al.*, 2005:329). This technique is also referred to as judgemental sampling due to the fact that it is carried out based on a defined scope and an anticipated outcome (Rubin & Babbie cited by De Vos *et al.*, 2011:233).

The research sample involved the following three levels:

- i) Firstly, performing focus group sessions with disaster risk management authorities of all 14 SADC member states. In line with this measure, all 14 SADC member states were approached to participate in the study. This was done by developing and distributing an information gathering task directive to all the disaster risk reduction focal persons of the SADC member states (see Annexure B). The details of the response rate are depicted in table 7.1 titled: SADC member states' response rate.

Table 7.1: SADC member states response level

SADC MEMBER STATE	PARTICIPATED		COMMENT
	Yes	No	
Republic of Angola		X	None
Republic of Botswana	X		-
Democratic Rep. of the Congo		X	Undertook to send comments
Kingdom of Lesotho	X		-
Republic of Madagascar		X	Inputs to the directive submitted to management for approval
Republic of Malawi	X		-
Republic of Mauritius	X		-
Republic of Mozambique		X	Focus group session could not take place due to the inability to get an Interpreter to translate between Portuguese and English languages
Republic of Namibia		X	No response
Republic of Seychelles		X	No response
Republic of South Africa	X		
Kingdom of Swaziland	X		
People's Republic of Tanzania	X		
Republic of Zambia		X	Failure to obtain approval from superiors
Republic of Zimbabwe		X	Needed official SADC endorsement first

- ii) Secondly, a focus group session was held with the SADC DRR Unit based on the focus of the study. The session used the same engagement framework that was applied for the Disaster Risk Management focal units of the SADC member states. It had two objectives, namely to:
 - Enable the SADC DRR unit for introspection and to show the unit how the disaster risk reduction system can be improved according to the focus of the study; and
 - Provide an opportunity for the unit to assess the SADC disaster risk reduction system based on the role and contribution of member states and non-state entities in line with the neoliberal institutionalism viewpoint.
- iii) Thirdly, engagements were made with non-state agencies involved in disaster risk management issues from different specialities such as, but limited to, fire management and the academia. The agencies included in this regard were the Disaster Management Education and Training Centre for Africa (DiMTEC), the African Centre for Disaster Studies (ACDS) and the Working on Fire Programme (WoF). The above-mentioned organisations were identified due to *inter alia*, their regional reach on disaster risk reduction programmes and their cross-border experiences. It is however acknowledged that there are other organisations with similar characteristics. Yet, time and resources for executing the study limited the number of entities to include in the study to three. Also notable is the fact that the three organisations have provided useful inputs which assisted in the development of the institutional model.

The above mentioned sample and the resultant unit of analysis therefore constituted the body of knowledge which supports the empirical chapter of the study. It has also partly contributed to the development of the institutional model for collaborative disaster risk management in the SADC as presented hereunder. Of importance to the research was the fact that the focus group participants were constituted of a mix of junior and senior officials involved in disaster risk management and reduction. The number of focus group participants varied per SADC member states and other institutions with the lowest number being three (e.g. Lesotho) and the highest being fifteen (e.g. South Africa). Although not all SADC member states participated in the study, the amount and type of data received were showed repetitive responses. As a result, data saturation was reached. Accordingly, the lack of further involvement by the other SADC member states, which could not commit to the research, would not

have had a significant impact on the outcome of the study. The research methods and data gathering processes are discussed in section 7.6.

7.6 THE RESEARCH DATA GATHERING

Chapter 1 and section 7.4 above indicated that the study applied both theoretical and empirical perspectives. Thus the ensuing section discusses the empirical information gathering techniques through the focus group sessions. This is done to ensure that the empirical perspective of the study is clarified. The discussion hereunder outlines the perspective in question.

7.6.1 Information collection: conducting the focus group sessions

A focus group session entails engaging a target group on the research topic using pre-determined discussion themes as a guiding framework (Terre Blanche, *et al.*, 2006:304). It can be summarised as a session involving two critical role players, namely the researcher and the chosen focus group for the discussion. Terre Blanche, *et al.*, (2006:304) defines the focus group method as a general term given to a research interview conducted with a group. It is typically a group of people who share a similar type of experience, but a group that is not naturally constituted as an existing social group. Depending on the nature of the research topic, the researcher can also capacitate the focus group team to undertake the focus group discussion by themselves. For carrying out the study, the respondents were provided with background information to enable them to engage on the topic independently. This was critical and beneficial to ensure non-inference and undue influence of the researcher to the outcome of the study.

As a key component of the empirical research, focus group sessions were held with the respondents identified for the study as outline in section 7.5.1 above. A data collection directive was used for this purpose (see Annexure B). To integrate non-state perspectives, the sessions were also extended to non-state organisations and entities within South Africa. The empirical research was carried out successfully because a representative sample of the target community was reached employing the maximum variation sample as outlined above. The researcher facilitated some of the focus group sessions. Other sessions were assigned to the participants to facilitate on their own. These are areas where the researcher could not visit due to operational limitations such as but not limited to, time, money.

In the cases that the focus group sessions had to be facilitated by a member of the affected group, relevant documentation and guidelines were provided to the group to explain the purpose of the session. Then a focal person was identified who was fully briefed to be prepared for the facilitation of the session. As the data that were gathered proved to be relevant, it is assumed that the measure implemented to prepare the focus group to facilitate the discussions on their own, were sufficient. The quality of the data was assured by a number of measures such as, the fact that the explanatory note on the research (i.e. the research data gathering directive referred to above) and the introductory letter from the study leader (see Annexure A) were provided to the respondents in advance; most of the focus group sessions were facilitated by the researcher; and that where respondents completed the data collection directive within their units or entities, data indicates that they did have experience within the field of disaster risk management and reduction.

It should be pointed out that some of the sampled participants were reached due to reasons mentioned below. Those which could not participate in the study include Angola, Mozambique, Namibia, Madagascar, Zambia, Democratic Republic of the Congo, Seychelles and Zimbabwe. From interactions with potential respondents, various reasons were cited for non-participation. Those ranged from:

- i. The need for authority from SADC (Zimbabwe);
- ii. Inputs submitted to the department's leadership (Madagascar);
- iii. Requiring authority from the executive leadership (Zambia);
- iv. The inability to get an interpreter to assist with translation during the focus group session (Mozambique); and
- v. Busy work schedule (the remaining countries).

Nevertheless, these challenges did not compromise the quality of data or the realisation of research objectives. This is due to the fact that chapter 6 provided full descriptive profiles of each SADC member state from a policy and legislative perspective. Also, the discussions regarding these profiles did not extend to the perceptions and views of the authorities of the affected member states which is a focus of this chapter. Therefore, it can be argued that the empirical chapter of the research was carried out as per the original plan and that it was successfully executed.

7.7 DATA ANALYSIS

A qualitative research design has been followed with the aim to develop an institutional model for collaborative disaster risk management in the SADC was fulfilled through participatory engagements. The theoretical chapters were dealt with in a descriptive way which is also a qualitative method. Also, all the data has been qualitatively analysed. An integrative analysis approached was followed to ensure that the various themes involved in the study topic are clearly described, that the links and relations between themes are established and that emerging patterns are identified. This integrative analysis then facilitated the formulation of the envisaged institutional collaborative model. As a point of final convergence of theories, themes, relationships, perceptions and preferences, an institutional collaborative model for disaster risk management in the SADC is presented schematically with supporting qualitative explanation (see figure 8.1 below).

7.8 VALIDITY AND RELIABILITY OF THE RESEARCH METHODOLOGY AND MEASURING INSTRUMENT

Methodological and information validity has been a critical element of the research. This is to ensure research credibility from a methodology and outcomes point of view. Therefore, the researcher has ensured that the research design and associated execution processes conform to credible research standards that justifies methodological and processes validity and reliability. Three mechanisms were employed to ensure validity and reliability, namely:

- i. The testing of focus group reports against the theoretical chapter of the research. The focus group reports generated through focus group sessions and those completed independently by the sampled population were tested against the theoretical chapters of the research. The key chapters used as references were chapter 1 which sets the scene for the study as well as chapter 2 which introduced the theoretical framework in the form of neoliberal institutionalism. Reference was further made to chapters 3, 4, 5 and 6 of the study. These chapters introduced the global development and disaster risk reduction evolution. The review in chapter 6 on the policies and implementation arrangements of disaster risk reduction in individual SADC member states also served as a frame of reference to test the focus group reports;

- ii. The subjecting of the information gathering directive to a peer review process. The need to obtain objective inputs into the focus and content of the directive was identified. To this end, random consultations were undertaken with disaster management practitioners and managers in the National Disaster Management Centre. This engagement assisted to the directive as new inputs came to the fore and they also assisted in the reformulation of the directive to ensure its relevance; and
- iii. Prior approval of the focus group facilitation directive by the study leader. The need to ensure that the directive was approved by the study leader became necessary. This is so to ensure that the directive is of the required standard in terms of quality and consistency with the research objectives. To this end, the directive was presented to and approved by the study leader before distribution to the participants of the study.

Generally, the research was successful from its theoretical and empirical perspectives. On the other hand, some challenges were experienced although it did not impede the achievement of the research objectives. Therefore, the ensuing section discusses the challenges experienced during the execution of the study.

7.9 CHALLENGES EXPERIENCED DURING THE RESEARCH PROJECT

Any research project has its own unique challenges linked to its environment and dynamics. This section reflects on challenges that were experienced during the research project which include:

- Limited funds to carry out the focus group sessions in all 15 SADC member states. Only 7 of the 15 SADC member states could have been covered in the study. It must however be pointed out that although not all SADC member states were reached, the quality of data received was not compromised;
- Language barriers. The data gathering session with Mozambique had to be cancelled because there was no Interpreter to assist with translation between English and Portuguese languages;

- Lack of responses from some of the SADC member states. Some of the SADC member states did not participate in the study due to reasons cited in table 7.1 above;
- The inability to make a physical visit to an island member State due to their unique dynamics. The study would have benefited from visiting Island member states. This is because, by their nature, Island states have unique dynamics and capacities to deal with disaster risk issues. Their views and preferences about the collaborative model would have been essential to inform the collaborative model. A follow up study in this regard is proposed in Chapter 8; and
- Some member states could not contribute due to protocol concerns. Some countries did not participate in the study citing reasons such as the need for SADC to give a directive on the study (Zimbabwe) and the need for senior leadership to give a go-ahead for participation (Namibia and Madagascar). These protocol issues will not only have implications on the data collection process, but will also have a bearing effect on the implementation of the model. There will thus be the need for proposals on how legalities on the operationalisation of the model can be addressed (see chapter 8 for details on the proposals).

The collected data was analysed, coded and is presented in the section below. The data is presented through thematic areas determined according to the research objective and the underlying questions. The discussion below outlines the findings of the empirical study based on the data obtained.

7.10 DISCUSSION OF RESEARCH FINDINGS

The credibility and impact of this study can only be considered from the view that all its components converged seamlessly with the consequential manifestation of the Institutional Model for Collaborative Disaster Risk Management for SADC. This forms the collective point to which the study and its components are grounded.

Theoretically, this collective point is confirmed by writers such as Ghosh (1984:113) in his observation that:

“World opinion has shifted dramatically in recent years placing emphasis on greater equity and social progress as the essential objective of international development. While the focus is on people, the impulse for greater equality of opportunity is also applied to

nations. It is increasingly accepted that situations of too sharp inequalities provide neither a sound basis for progress within nations or for the maintenance of stable international relations among nations. It is furthermore recognised that the developing countries must be the masters of their own destiny and share fully in the collective decisions affecting the world economy”

This analogy holds true for disaster risk management collaboration in line with the focus and objectives of the study. This is, as the study proved, because no country can manage disaster risk effectively without collaborating with others and applying its policies consistent with universally acceptable standards in its policy and practices.

In the previous chapter, the basis of the empirical research design was discussed by, firstly revisiting the study’s research objectives and secondly, through discussing the environment where the study was executed. After that, the measuring instrument was discussed and the unit of analysis within the SADC was clarified. Finally, the measuring instrument was qualitatively analysed and the data gathering directive’s reliability and validity was proven.

Based on the empirical perspective of the study, in this chapter, attention will be given to the results of the empirical study amongst SADC member states and other relevant stakeholders. The key themes underscoring this section are drawn from the information gathering directive as presented to the SADC member states’ disaster risk reduction focal units. Also, themes originated from focus group discussions and independently from some of the SADC member states and other stakeholders. A well organised strategy was applied to process the collected data and the six steps of Creswell (2003:191) and Lunenburg & Irby (2008:222) were followed:

- i. **Step 1:** Organising and preparing the data for analysis. This involved transcribing focus group sessions reports and sorting and arranging the data into different types depending on the type and source of information;
- ii. **Step 2:** Reading and revisiting of all the collected data to get an impression for the responses as a whole. This step is intended to gain a general sense of the information obtained in order to reflect on its overall meaning. Key questions which guided this process were: What general ideas are participants displaying? What is the tone of the ideas? What is the general impression on

the overall depth, credibility and use of the information? What are the ethical limits applicable to the information or views expressed;

- iii. **Step 3:** Detailed analysis of the information through a coding process. This method was employed to ensure that data is well understood in order to be put in the correct categories and clusters;
- iv. **Step 4:** Using a coding process to generate a description of the categories of themes for analysis. This process was carried out with due regard to the data gathering directive employed in facilitating focus group sessions. This process resulted with the confirmation of the themes as tabulated in the next section;
- v. **Step 5:** Deciding on how the description and themes will be represented in the qualitative narrative of the thesis. To this end, a decision was made to employ the narrative passage to convey the findings of the analysis. According to Creswell (2003:194) the narrative passage refers to a discussion which mentions a chronology of events, the detailed discussion of several themes or a discussion with inter-connecting themes. Where necessary to enhance the argument, a decision was made to convey descriptive information about each participant particularly where an exceptional view is advanced; and
- vi. **Step 6:** Interpreting of or add meaning to the data. This involved asking questions such as: What are the lessons learnt? What is the impact of the data in addressing the research question? How will additional data be dealt with to not exclude it from the study? What are the implications of the data on theory as it is analysed? What are the new questions emerging from the data? These were found to be critical questions to facilitate the concluding stages of the research project.

Taking the above enunciated process into account and considering the information or data gathering directive, 12 themes were identified from the presented data. The themes were formulated using the research objectives and research questions as points of reference. They also served as the discussion points in the information gathering directive employed in the collection of data for the study. The themes included the following:

- i) Whether participants considered disaster risk management and a discipline that require the collaboration of countries as reasons to motivate the need for collaboration;

- ii) Their knowledge of regional and sub-regional frameworks governing disaster risk management and reduction collaboration;
- iii) The existence of policies and implementation instruments governing disaster risk management in their individual SADC member states;
- iv) Their view on the need for collaboration within the SADC and the institutional form that it should take;
- v) Their view whether international institutions can support states to achieve their collaborative objectives;
- vi) Their view on the role which international organisations can play in the collaborative efforts of states and the benefits thereof;
- vii) Their view of the current collaborative efforts within the SADC as facilitated by the SADC;
- viii) The performance indicators proposed to underlie the model;
- ix) The proposed legal framework and institutional mechanisms that can be instituted to ensure the effectiveness of the model; and
- x) The identification of possible state and non-state entities which can play a role in the collaborative system.

The themes are listed hereunder as presentation headings.

7.10.1 Theme 1: A consideration of disaster risk management and reduction as a function requiring the collaboration of countries.

The question was identified as a necessary ice-breaker to establish the fundamental perception and orientation of the participants towards disaster risk management and reduction. It was based on the globally adopted principle that disaster risk reduction is everybody's business (ISDR, 2005b). It was therefore aimed at clarifying the view of this principle within the regional perspective and whether it is perceived as requiring collaboration between and among states. The reaction to the question showed unanimous affirmation. This is because all participants felt that improved collaboration between states regarding disaster risk management and reduction is necessary and long overdue. To complete the focus of the question, a follow up question sought reasons for the need of collaboration.

7.10.2 Theme 2: Reasons for collaboration to be perceived as a necessity supported by theoretical and practical reasons

Through this question, participants were given the opportunity to indicate reasons based on their theoretical (based on literature, policies and strategies) and practical experiences on bilateral and regional collaboration (based on self and second hand experiences). A number of reasons were cited across the two dimensions as set out below:

- i. Some of the national policies and legislation have already provided for collaboration. Examples provided include: Namibia (Namibia, 2009; 2011; 2012a), South Africa (South Africa, 2003; 2005) and Swaziland (Swaziland, 2006);
- ii. Existing SADC, AU and UN disaster risk reduction frameworks encourages collaboration (SADC, 2001b; 2006; 2010a; 2010c; AU & UNISDR, 2004a; ISDR, 2005a);
- iii. Know no boundaries thereby an international relations concern;
- iv. Collaboration will stimulate support, encouragement and a provision of a platform for the sharing of expertise with others in order that the SADC community succeed;
- v. It will facilitate standardisation of disaster risk management and reduction policy and implementation frameworks of member states;
- vi. It will make it easy to support existing sector bilateral and multi-lateral collaborative mechanisms and programmes with an effect on disaster risk reduction such as, but not limited to, fire management, water management, forestry and environment;
- vii. Collaboration will enhance regional integration and growth as called for in the SADC Treaty (SADC, 1992; 2001c);
- viii. It will enable the member states to learn from other international collaborative systems such as, but not limited to, ASEAN, the New Zealand Fire Management system; and
- ix. There are already communities along international borders who are involved in collaboration on socio-economic aspects of their lives.

These views depicted that disaster risk management and reduction in SADC and elsewhere, can best be achieved where states and other role players are in discussion with one another to align their policies and processes. Within this overwhelming consensus, the participants highlighted some of the enablers for collaboration which member states and the SADC secretariat should consider and apply in any collaborative efforts. These include:

- The need for a bottom-up and a top-down approach to collaboration. This entails the commitment at leadership level which takes into account the needs and interests of local people and communities. In the end, collaboration must benefit the people on the ground implying that a leadership sided collaboration stands the risk of failing to launch. To elaborate on this view, respondents in Swaziland cited that: *“communities which understand one another along the borders have the potential to strengthen the international collaborative system on a number of areas of interest”*. There was also the view that collaboration must not serve as the foundational measure for disaster risk management and reduction measures. To this end, the respondents felt that member states must take ownership of their disaster risk reduction obligations before bringing them to the collaborative platform. A representative from Mauritius remarked that: *“the DRR system must first be owned at national level”*. In support of this view, an addition was made by Malawi that *“collaboration on DRR must also occur at sector level and within other disciplines for the DRM collaborative system to be effective”*. This finding conforms to the theoretical foundation of development and disaster risk management and reduction as outlined in chapters 3, 4 and 5.
- The need to address risks associated with collaboration. Some of the potential risks to collaboration as identified includes, but are not limited to, the dependency syndrome and big brotherhood tendencies. Participants felt that these need to be identified from the outset and managed systematically. To this end, participants from South Africa were empathetic about the matter and made a plea that: *“collaboration should not create dependency nor a big brotherhood syndrome and that collaboration should not be mis-construed as aid”*. This view conforms to the question of hegemony as discussed in chapter 2 which reflected on the international relations theory that focuses on neoliberal institutionalism. It therefore served as a useful measure of the application of neoliberal institutionalism in guiding international collaboration.

The participants' considerations for collaboration were found to be value-adding to the discussion of the findings as it provided the thought and consultation span which must extend to the conceptualisation and development of the collaborative system. This implies that collaboration should happen in a regulated but not highly restricted environment. This is particularly the case for disaster risk management and reduction as sometimes decisions have to be made hastily to save lives, secure infrastructure, other livelihood services and the environment. Consequently, clarity on the understanding of frameworks and instruments governing collaboration became necessary. The next section was therefore founded to address this point.

7.10.3 Theme 3: Participants' knowledge of existing regional (SSA) and sub-regional (SADC) legal instruments governing collaboration on disaster risk management and reduction issues

Participants were required to indicate their knowledge of regional and sub-regional frameworks and instruments as they apply within the region with the examples provided to them. Out of the seven countries which participated in the empirical study, one did not have an idea of the frameworks while three had a moderate understanding and three had a good sense of the frameworks and instruments. Two of the four non-state entities had a moderate understanding while one did not have an idea of the existence of the policy instruments. The last institution had an idea of the existence of the instruments as it is part of the collaborative system within the SADC. This information revealed important trends in the SADC disaster risk reduction system which needs urgent attention at multinational and national levels. These trends involve the following:

- i. Insufficient capacity building programmes. This necessitates the need for capacity building on the disaster risk reduction system for the region; and
- ii. Inadequate knowledge management systems. This necessitates the need for effective knowledge management systems to ensure the safe keeping of information for current and future use.

The lack of these programmes and systems compromise the disaster risk reduction functions as knowledge exchange is limited on the function. In spite of this finding, the research highlighted certain observations on the current system to attend to:

- i. The existing disaster risk reduction policy frameworks are not legally binding making compliance unenforceable;

- ii. The level of the operationalisation of the frameworks is not up to standard; and
- iii. That the focus of the existing MoUs should be reconsidered.

Notwithstanding the challenges discussed above, the study also uncovered some of the developments towards improving the collaborative system within the SADC, including:

- i. A binding framework is being proposed to deal with regional disaster response in the form of a Protocol (see SADC response). This is also the case with ECOWAS; and
- ii. There are MoUs with regional and international partners to guide collaboration and support.

The foregoing discussion necessitates that national policies and legislation that support disaster risk management and reduction should be identified. To this end, a discussion theme was identified during the planning of the data collection exercise for participants to share information on the existence of policies, legislative provisions as well as institutional arrangements to drive disaster risk reduction.

7.10.4 Theme 4: The existing policies, legislative provisions and institutional arrangements currently existing in respective SADC member states driving disaster risk management and reduction

A discussion in chapter 6 identified and discussed various policies in SADC countries to guide disaster risk management and reduction. This was to be confirmed through an empirical study to enhance the understanding of the existing policies within SADC member states. The findings of the empirical study together with the theoretical chapter (chapter 6) revealed that a number of countries do have policy, legislative and practical measures for institutionalising disaster risk reduction. It however became apparent that countries are at different stages of the development of policies and frameworks. This is because some countries have policies, legislation, strategies and plans while some only have strategies in place, to mention a few. The overall picture emerging from the analysis of the data points to the fact that a many countries are taking policy and practical steps to deal with the question of disaster risk reduction. However, there is still a disproportion in the development of policies across the SADC member states. While this provides room for international institutions' active support, it also makes it difficult to standardise disaster risk reduction practices as the SADC member states are at different levels of policy and practice maturity.

Participants also acknowledged the need to ensure that disaster risk management and reduction legislation is supported through operational sector legislation. In this regard participants proposed the need to take stock of sector legislation and policies contributing to disaster risk reduction. This will be critical to ensure that there is balanced implementation of the coordination function and the sector risk reduction responsibilities. The stated legislation includes those in sectors such as, but not limited to, transport, energy, water, agriculture and forestry. Based on the key focus of the study, participants were required to clarify their perception and belief in the need for bilateral and multi-lateral collaboration as discussed in the next section.

7.10.5 Theme 5: Clarity on the need for bilateral or multi-lateral collaboration on disaster risk management & reduction issues. If the discussion proves affirmative, clarity on the institutional form which such a collaborative model should assume?

The need for collaboration across different level of governance and administration, as with DRM, is widely documented as discussed in chapter 2 and further exemplified in chapters 3, 4, 5 and 6. However, due to the need for local and national ownership of collaboration, the question/statement sought to establish the perceptions and feelings of participants on bilateral and multi-lateral collaboration. The general answer from the participants was in support of the need for bilateral and multi-lateral collaboration. This implies that participants view collaboration as an essential element of the successful risk reduction system and the collaborative model as presented in chapter 8.

It is however worth pointing out that the participants did not give this question an unconditional approval. They supported the need for bilateral and multi-lateral collaboration subject to certain conditions and which represents the institutional form such as:

- i. A combination of bilateral and multi-lateral collaboration is necessary to ensure coverage of small, medium to macro issues (i.e. a mono-centric and pluri-centric model). This conforms to the game theory provisions and multi-lateral perspectives of neoliberal institutionalism as discussed in chapter 2 of the study;
- ii. The need for a scaled approach to ensure bottom-up to top-down approach to collaboration;

- iii. Community involvement and ownership is critical for the success of collaboration;
- iv. There is a need for a sustained political drive of the collaborative effort;
- v. Collaboration must also happen as sector mainstreaming level such as, but not limited to, education, water affairs, agriculture, environmental affairs, military;
- vi. Clear performance measures must be set and measured to guide and account for collaborative processes;
- vii. The collaborative arrangements should not compromise national ownership of disaster risk management and reduction programmes. The participants from Mauritius stated that: *“this should not detract from designing a system that is properly appropriate to the specific national and local contexts”*
- viii. Suitable collaborative frameworks must be designed;
- ix. The need to look into the provisions in the SADC Treaty that are either enabling or stifling collaboration;
- x. Collaboration should be of mutual benefit and needs driven;
- xi. There is a need to factor in the role of disaster management regional professional bodies. Those include, but are not limited to, the Disaster Management Institute of Southern Africa (DMISA), Southern Africa Society for Disaster Reduction (SASDiR);
- xii. There is a need to ensure continual ownership and sustenance by SADC member states; and
- xiii. Great emphasis that the SADC secretariat must play a coordinating role on multi-lateral collaborative processes and an advisory role on bilateral collaborative processes.

These considerations are critical to assist SADC and other regional and global bodies to structure their collaborative mechanisms. The role of SADC in this collaboration as earlier presented is further clarified in chapter 8. In chapter 2, the study employed the theory of neoliberal institutionalism to discuss the role of international organisations in fostering collaboration in the context of international relations. The chapter demonstrated how international organisations can facilitate supra-national collaboration in a quest to achieve absolute gain for each member state.

7.10.6 Theme 6: Whether respondents think international organisations (e.g. ISDR, UNHCR, UNOCHA, etc) can support states to realise their collaborative objectives

Through this question, the study seeks to clarify, through people's experiences and preferences, whether states can be supported in realising their collaborative objectives. This was done with an objective to reinforce the theoretical findings as discussed in chapter 2 and exemplified in chapters 2, 4, 5 and 6. The question sought a "Yes" or "No" answer with room for explanation, particularly on factors requiring careful consideration. The general feeling of the participants was that international institutions should support states in pursuing their collaborative objectives.

This view was provided subject to key considerations by the authorities as identified hereunder:

- i. Due to its mandate on regional integration, SADC still has the responsibility to play the main role in leading and supporting collaboration;
- ii. The international organisations (IOs) must enter to **facilitate** collaboration – **not to force it**. One SADC respondent noted that: "*some international organisations use their support as a means to secure funding for their own programmes*". This is seen to be problematic as it defeats the mutual benefit principle of collaboration; and
- iii. The need for self-awareness and actualisation. Participants felt that collaborating partners (i.e. SADC member states) must first recognise the need for collaboration before outsiders pull in to assist them.

The preceding discussion depicts that the support of international organisations and other non-state entities to foster collaboration cannot be espoused in an extensive manner. The supporting role and accountability of international organisations must be streamlined to ensure coherent and unbiased collaboration. To drill further into the perspectives around this question, the next section explores the role of international organisations in the collaborative system.

7.10.7 Theme 7: The role which international institutions can play in the disaster risk management collaborative system

A better understanding of the role and contribution of different parties in the disaster risk management and reduction discourses is critical. This is to ensure that resources are mapped and allocated proactively to address needs and priorities on the function. Linked to the discussions in chapter 2, the questions and/or statements were posed in order to solicit the views of participants on the contribution they perceive or expect from international institutions. Participants expressed a number of benefits from support of international organisations.

The stated benefits were analysed and categorised as follows:

- i. To increase coordination, cooperation and standardisation;
- ii. For capacity building, technical expertise, funding support and advocacy;
- iii. Broker harmonious collaboration between and among member states;
- iv. To support in the mobilisation of international resources;
- v. To raise the profile of important work or lessons learned globally; and
- vi. To provide guidance on how collaboration can be achieved.

The view was also expressed subject to considerations such as the need:

- i. To clarify their interest and accountability lines;
- ii. To look at the risks associated with collaboration;
- iii. For an organised SADC which determines what it needs – **not SADC which acts on external offers**; and
- vi. Support of international institutions should be needs driven and of mutual benefit.

The perspectives raised above depict that international organisations and other non-state actors are considered to be critical in supporting disaster risk management discourses in the SADC. This role however is preferred to occur within the context of SADC needs, priorities and aligned to its (SADC) accountability processes. Within that regulated arrangement, the study reveals that SADC could benefit from the contribution of

international organisations and non-state actors. This aspect will be further discussed in the next section.

7.10.8 Theme 8: Benefits of international institutions' involvement in supporting collaboration for disaster risk management according to respondents

The role of international organisations in fostering international relations was enunciated on in chapter 2. The practical application of the support of international organisations was further discussed in chapters 3, 4, 5 and 6. Therefore, this theme/statement was aimed at clarifying, through the views of respondents, the perceptions and preferences of the respondents, the benefits of the involvement of international organisations in supporting disaster risk management collaboration in the SADC. The discussion should therefore be read in the context of the previous chapters as it provides an empirical perspective to the afore-mentioned chapters. It must also be considered as an extension of the previous discussion theme (section 7.10.7) elaborating on the role of international organisations in fostering collaboration.

During the focus group sessions, respondents agreed that the involvement of international institutions in the disaster risk management collaborative system holds certain benefits. The benefits, *albeit* non-exhaustive, that were identified, involve:

- i. The strengthening of existing partnerships towards disaster risk reduction;
- ii. Due to the global footprint of international institutions, they will contribute to sharing knowledge and skills necessary for the disaster risk management and reduction system;
- iii. Institutions will contribute in saving lives while fulfilling their international mandate; and
- iv. Due to the wider network, institutions will assist in showcasing SADC best practices globally.

The benefits of the role of international institutions were identified as the best suited role players as they have a great deal of knowledge and experience in fostering and supporting collaboration globally. Respondents have acknowledged that these international institutions (e.g. ISDR) have driven the disaster risk reduction agenda in Africa. Some of their programmes include the establishment of national and regional

platforms on disaster risk reduction. They have also been instrumental in advocating for the driving policy reforms on the discipline.

The theme/statement of self-ownership of programmes also surfaced in this discussion. Consequently, participants from South Africa remarked that: “*Member states need to do a self-analysis of the programmes offered by International Organisations*”. The discussion of the roles of international organisations and the respondents' remarks has been critical to the conceptualisation of the institutional model for collaborative disaster risk management in the SADC. However, the need identified was to solicit participants' views on the current SADC collaborative arrangements as the SADC secretariat facilitates it. This was done with a view to enable the respondents to critique their system and suggest improvements, if any. The next section therefore explores the participants' views and perceptions about the system that SADC currently facilitates.

7.10.9 Theme 9: Respondents' view on the current SADC collaborative arrangements as facilitated by the SADC DRR unit, the need and room for improvement and how to improve

The origin, objectives and operational mandate of the SADC was introduced in chapter 1 and further discussed in chapter 6. This was done with the objective of exploring how the institution was founded and how it can support the implementation of the collaborative model as outlined in chapter 8. The respondents were engaged on this theme through the *topic guide* questioning strategy (de Vos *et al.*, 2011:370). This guide enabled them to share their perspective without being directed to a certain viewpoint. The views of the participants were found to be varied reflecting different levels of understanding about the unit as well as varied perceptions about its functions and impact on the SADC disaster risk reduction system. Of concern is the fact that the majority of the non-state agencies involved in disaster risk management and reduction did not know about the unit. Some member states respondents also did not have insight into the unit and its functions. This reflects the need to improve the national knowledge sharing of the disaster risk management and reduction systems that are already in place globally. Furthermore, knowledge should be improved on the structure of these systems to support national and global efforts. The other existing view is that the unit is non-functional.

The view of the respondents that do know about the existence and functioning of the unit are discussed below:

- i. The unit is making some strides in driving the disaster risk reduction agenda for the SADC with room for improvement;
- ii. The unit faces challenges around its placement and resourcing; and
- iii. Despite the challenges, the existing forums are contributing to stimulating SADC disaster risk reduction programmes. These programmes include, but are not limited to, the Southern African Climate Outlook Forum (SARCOF), the Joint Bilateral Commission on Cooperation (JBCC), the SADC pre-season disaster risk reduction session and the SADC post-season lessons learnt session.

A reflection on the areas for improvement that needed to be considered to enable better performance, punctuated the discussions on the functioning of the unit. These discussions revolved around structuring and leadership and administrative considerations as outlined hereunder:

- i. There is a need to improve political buy-in for the unit (Disaster Management Education and Training Centre for Africa, University of the Free State);
- ii. The unit should be separated from the Organ on Politics, Defence and Security Cooperation (the Organ) and be a stand-alone Directorate with its own Protocol (Lesotho & South Africa);
- iii. SADC member states need to take full ownership of and allocate resources for the funding of the unit. This must also include secondment of personnel for defined periods to support programmes of the unit (Directorate) (Lesotho);
- iv. The need to operationalise the SADC disaster risk reduction strategy (Malawi);
- v. The need for regular coordinating meetings and protocols on dealing with international assistance (Malawi); and
- vi. The need to improve on collaboration between and among sectors (SADC).

Participants felt that the success of the collaborative system under the SADC is contingent on the adoption of clear measuring tools in the form of performance indicators. There was consensus that the performance indicators should be aligned to the priorities of the Hyogo Framework for Action 2005-2015 (HFA), (ISDR, 2005a), its successor framework the Africa Regional Strategy for Disaster Reduction 2004 (AU & UNISDR, 2004a) and its successor framework, the draft SADC Policy and Strategic Frameworks for Disaster Risk

Reduction (SADC, 2010a). This consideration must primarily be grounded on national policy and legislation and should consider aspects of climate change and variability.

As discussed in chapter 5, the future framework must therefore adopt a tri-partite form to address development, disaster risk reduction and climate change as part of a collective whole. The performance indicators are outlined in the ensuing section.

7.10.10 Theme 10: The performance indicators respondents propose for the envisaged institutional collaborative model

The discussion of the SADC institutional model for collaborative disaster risk management in chapter 8 touches on the performance indicators which are necessary for the success of the collaborative system. The discussion in chapter 8 will reflect that the indicators mirror a replica of national disaster risk management coordination and sector mainstreaming efforts. The question was therefore posed through the *topic guide* strategy (de Vos *et al.*, 2011:274) to enable participants to express their views as openly as possible. It was also meant to check if participants are able to provide answers for factor elements of neoliberal institutionalism as discussed in chapter 2 and exemplified in chapters 3, 4, 5 and 6. The proposed performance indicators which must conform to the provisions of the HFA were identified and are:

- i. The need for institutionalised political commitment. There should be forums of Ministers and oversight mechanisms by Heads of State. This view conforms to the fact that the success of disaster risk reduction depends on the level of political buy-in towards the function as demonstrated in chapters 4 and 5;
- ii. There must be clarity on the SADC risk profile to facilitate planning for bilateral and multi-lateral risk management and reduction programmes;
- iii. There must be resources allocated for the SADC disaster risk reduction function;
- iv. The SADC secretariat should be restructured to ensure the elevation and capacitation of the Unit (see theme 7.10.9 above);
- v. should be regular dialogue and platforms of engagement between SADC member states, international institutions and other non-state entities;
- vi. There should be a stand-alone SADC disaster risk management and reduction protocol, policy and all needed MoUs must be identified and negotiated; and

- vii. All needed disaster risk management and reduction committees must be established and operationalised. These include, but are not limited to, specialised task teams and community committees.

The actualisation of the SADC collaborative model in line with the discussed indicators will be possible within a legally defined framework as outlined in chapter 2 and depicted in chapter 8. To this end, the respondents were requested to identify frameworks and institutional arrangements which they consider necessary. A discussion on this matter follows in the next section.

7.10.11 Theme 11: The proposed legal frameworks and institutional arrangements respondents propose to ensure the effectiveness of the proposed collaborative model

Chapter 2 demonstrated that the success in achieving international collaboration depends on the ability of affected states to develop frameworks such as, but not limited to, Treaties, Accords, Declarations and Memoranda of Understanding. Some of these are already in place in SADC such as the SADC Treaty (see chapter 1), the 26 SADC protocols (see chapter 6, section 6.3.2) and various MoUs as referred to in the responses.

These theoretic findings necessitated an empirical evaluation of the respondents' preferences regarding frameworks and institutional arrangements to govern the institutional model for collaborative disaster risk management in the SADC. In addressing the theme/statement, it became apparent that all the participants understood the fact that any form of regional collaboration on disaster risk management has to be legally defined and codified. Consequently and in accord with the discussions in chapter 2, respondents proposed various legal and institutional frameworks as listed below:

- i. The need to adopt a disaster risk reduction policy, implementation strategy and procure the needed MoUs;
- ii. The need to formalise and operationalise political and technical forums on disaster risk management and reduction; and
- iii. The need to ensure the mainstreaming of the disaster risk reduction function in political and technical systems as well as within sector legislation within the member states.

The discussion of the enabling mechanisms for collaboration will not be completed without a reflection on the role which non-state actors can play in the collaborative arrangement. Thus, the last theme focused on the identification of governmental and non-governmental role players to be brought on board in supporting collaboration. The respondents' views on the theme are discussed in the ensuing section.

7.10.12 Theme 12: The governmental and non-governmental role-players (including international organisations) which can be brought on board to give effect to the collaborative system

The consideration of Disaster Risk Management (DRM) as “aiming at addressing the disaster risk problem within the resources and constraints imposed by the strategic focus of disaster risk reduction, within the technical and operational level” (van Niekerk, 2005:10), necessitated an identification of stakeholders deemed to be relevant for participation in the design and implementation of the SADC collaborative model as presented in chapter 8. One of the respondent groups suggested that *“in deciding on the involvement of the institutions, due regard should be given to understanding the region-wide risk profile”* (interview with ACDS). This is to ensure that participation is based on a clear definition of roles and responsibilities of the given entity in the actualisation of the institutional model.

Therefore, a generic list of identified agencies includes:

- i. Other affected Ministries heading sector departments. Examples involve, but are not limited to, Foreign Affairs, Health, Agriculture, Environment, Water Affairs, Forestry and Natural Resources Management;
- ii. Civil society organisations;
- iii. NGOs, FBOs;
- iv. Affected local authorities (those existing along international borders);
- v. UN Agencies – ISDR, UNOCHA, UNDP, UNHCR, WHO, WMO;
- vi. Other agencies – World Vision, IFRC;
- vii. Multilateral funders – World Bank / GIZ;
- viii. Organised agriculture;
- ix. Relevant private sector entities; and

- x. Insurance bodies.

The responses set out in this section highlighted the need for locally owned collaborative efforts. As a result the need emerged to reflect on other aspects which have not been covered. These are the factors deemed to be critical to support the collaborative effort. The section below presents additional factors to consider for analysis.

7.11 ADDITIONAL ANALYSIS

The empirical study approach enabled the research to uncover issues that were not originally planned for in the study but were deemed to be critical for the success of the SADC collaborative model as presented in chapter 8. These factors relate to two aspects, namely the risk of assisted collaboration and the varying accountability mechanisms between SADC member states, international organisations and other non-state actors.

The three questions which emerged from the study regarding these two themes are:

- i. What are the possible risks associated with assisted collaboration, especially by external agencies?
- ii. How should the risk in question, if any, be managed?
- iii. What are the accountability systems of international organisations and how can they be streamlined with those of member states in the collaborative system to ensure mutualism in the collaborative system?

The discussion in chapter 2 has introduced the role of international institutions in fostering collaboration with the associated benefit. Data gathered through focus group sessions have also confirmed the value adding nature of institutional support in international relations. The participants' considerations to regulate the support of international institutions are of critical importance (see sections 7.10.2 and 7.10.8). Accordingly, the discussions in chapter 8 regarding the performance indicators together with chapter 2 address these questions.

7.12 CONCLUSION

In this chapter, an introduction was given regarding the methodological perspective, the presentation and analysis of the data applicable to the study. Results from the data revealed that although SADC member states are at different levels of policy development

and institutionalisation of the disaster risk reduction function, the need for formalised institutional collaboration mechanisms is paramount in a quest to ensure the effectiveness of disaster risk management and reduction in the SADC and beyond. The need for collaboration was further validated by non-state entities' which took part in the study. They also felt that it will facilitate ease of collaboration with their non-state counterparts within SADC and beyond. The qualitative findings further confirmed the applicability of the role of international institutions and other non-states actors in facilitating collaboration as one of the key tenets of neoliberal institutionalism discussed in chapter 2. It however proved that the Iterated Prisoner's Dilemma concept and practices are not applicable to shaping disaster risk management collaboration. This is because data pointed out that lack of disaster risk management collaboration is a loss for all concerned while on the other hand collaboration is a gain for all concerned. The risks associated with assisted collaboration were also outlined and will be further discussed in chapter 8 through the performance indicators.

By large and through empirical data, the chapter reaffirmed the need for an institutional model for collaborative disaster risk management in the SADC. It further confirms that the model should consider bilateral and multi-lateral perspectives of collaborations. In line with the motto that accentuates disaster risk reduction, Disaster Risk Reduction is Everybody's Business (ISDR, 2002), the study has confirmed the need for the involvement of various stakeholders with states to take full ownership of their programmes at local, national, regional and global levels. The needs based and fit for purpose support of international organisations and other state and non-state actors have also been reaffirmed. Taking into account the theoretical discussions on neoliberal institutionalism, the exemplification of international collaboration through the evolution of development, disaster risk management and reduction and the co-evolution of the two disciplines, the study reinforced the need for an institutional model for collaborative disaster risk management in the SADC.

Therefore, the next chapter presents the conclusions and recommendations emanating from the study. This is also done through the outline of the institutional model for collaborative disaster risk management resulting from the theoretical and empirical perspectives of the study.

CHAPTER 8

CONCLUSIONS AND RECOMMENDATIONS: AN INSTITUTIONAL MODEL FOR COLLABORATIVE DISASTER RISK MANAGEMENT IN THE SADC

8.1 INTRODUCTION

“The effectiveness of the international community depends on how well it can bridge knowledge and capacity gaps, establish rules and standards that guide nations in managing their risks, and facilitate and coordinate collective action to manage risks that go beyond national borders. In turn, collective action is facilitated when agents within the international community are united by shared preferences and objectives, or when certain actors have the ability to mobilise resources and enforce agreements - even in the absence of cohesion or unity across nations” (World Bank, 2014:25).

In the previous chapter (chapter 7), the empirical research results were analysed and discussed. Apart from the summary of findings already completed in the previous chapter, further attention will be paid to the theoretical and empirical findings in order to manifest the contribution of the study towards intellectual theory and practice on disaster risk reduction. This is done through the explanation of the achievement of the overall objectives of the study. The discussion of the overall achievement of the objectives of the study is done to assist in the understanding of the model which follows. It should also be noted that each chapter of the research was structured to achieve a particular objective of the study. The overall achievement of the objectives of the study is therefore discussed in the section below.

8.2 THE ACHIEVEMENT OF THE OVERALL OBJECTIVES OF THE STUDY

The study developed an institutional model for collaborative disaster risk management in the SADC that is geared to enhancing the current disaster risk reduction system. Because of the different maturity levels of the disaster risk management and reduction policy and implementation arrangements among the SADC member states, the study was done on a broader or comprehensive level. This was to ensure that the dynamics of the policy and

practical frameworks of different SADC member states are taken into account to inform the model as presented herein. It was also in a quest to ensure that the study is utilised to ensure improvement in the overall disaster risk reduction systems of individual SADC member states. This will ensure standardisation of the systems and capacities for disaster risk reduction thereby ease in the implementation of the collaborative model for disaster risk management in the SADC.

The overall objectives of the study were therefore achieved by way of a literature study and the empirical research as carried out by following a qualitative methodological approach. The chapter therefore demonstrates the realisation of the objectives of the research through the discussion of the manner in which each of the objectives were met, presentation of the institutional model and its operational requirements. Taken compositely, the chapter therefore present new knowledge generated though the study and possible areas of further research to enhance the disaster risk management and reduction system in the SADC and beyond. The next section therefore discusses the realisation of each of the objectives of the study.

8.3 REALISING INDIVIDUAL OBJECTIVES OF THE STUDY

The study was founded on ten (10) objectives all of which were carefully formulated to complement one another on the development of the institutional model for collaborative disaster risk management in the SADC. The objectives were tested through a combination of theoretical and empirical study in order to manifest the institutional model as presented hereunder. To realise this, the chapters of the research were systematically sequenced and contextually aligned to ensure a seamless progression to the development of the model. The objectives of the research as summarised in chapter 1 above, are addressed in a manner discussed in the section below.

8.3.1 Objective 1: To define, assess, examine and critically analyse the theory of Neoliberal Institutionalism and how it informs supra national collaboration amongst states.

The definition, examination and analysis of the chosen theory of neoliberal institutionalism was successfully carried out in chapter 2 of the thesis. To achieve this, a broader reflection on international relations theory whose sub-sets include neoliberal institutionalism was made. This was made through a comparative analysis of realism and neoliberal institutionalism. The study found that the international relations theory is

suitable to study bi-national and multinational collaboration on disaster risk management and reduction and for the formulation and understanding of the collaborative model for disaster risk management in the SADC. This analysis was carried through in all the chapters to demonstrate how international institutions can support international cooperation. The most salient issues identified were that collaboration between and among states is possible where the objectives of the collaboration are clearly defined (see sections 2.1, 7.10.5 and 7.10.6 above). This was necessary to ensure that an understanding is created of the effects of neoliberal institutionalism on the SADC institutional collaborative model.

It is worth noting that chapter 6 particularly demonstrated how international institutions support international collaboration at bilateral and multi-lateral levels. An example is the support which SADC member states are receiving from SADC itself and from United Nations and other state and non-state actors. This is further confirmed by the empirical research in sections 7.10.7 and 7.10.8. The examination of disaster risk management and reduction policy instruments at global, regional and national levels also became necessary as outlined in the discussion of objective 2 below.

8.3.2 Objective 2: To identify and examine global, regional (African Union), sub-regional (SADC) and national (SADC member states) development and disaster risk management and reduction instruments such as policy instruments, protocols and strategies governing international, regional and national collaboration on development and disaster risk management issues.

The examination of global, regional, sub-regional and national policy and legislative instruments governing disaster risk management and reduction and how these impact on international cooperation came to the fore in the conceptualisation of the study. This objective was made necessary by the fact that the empirical findings of the study must be solidly grounded in a theoretical basis. The objective was addressed in full through the introduction of frameworks in chapter 1 above and a further unpacking of the frameworks in chapters 3, 4, 5 and 6. The focus group interviews on legislative frameworks in SADC member states were introduced in order to give practical perspective of the objective. This objective has also been critical to demonstrate the policy and practice linkages between disaster risk reduction, sustainable development and climate change adaptation. The principles revealed through this objective will assist in contributing to the formulation of the

development and disaster risk reduction strategy beyond 2015 with due regard to climate change adaptation imperatives. The need to closely assess the SADC status quo on policies and institutional arrangements were highlighted in the conceptualisation of the study. The findings of the review are accounted for in the section below.

8.3.3 Objective 3: To identify existing policies, legislative provisions and institutional arrangements currently in existence in all SADC member states governing disaster risk management and reduction.

The review of policies, legislative provisions and institutional arrangements of SADC member states was made necessary by the fact that a conceptualisation of the SADC institutional model for collaborative disaster risk management needs to take into account existing national instruments and implementation mechanisms. This was also due to the need to ensure that the model takes into account the policy aspirations of the SADC and its member states and has got resonance with SADC national policy frameworks and reasonable capacity for implementation. The objective was therefore addressed through the review of policies and institutional arrangements of SADC member states as undertaken in chapter 6 above. This review has assisted in providing a better understanding of the policies, structural configuration and disaster risk reduction implementation priorities of the SADC member states. The gaps in terms of policy development, the governance of the function and implementation processes were identified and discussed in chapter 6 above. The objective has therefore contributed to the development of the SADC institutional model as discussed below. As a concern for disaster risk reduction, the evolution of development policy and practices also became necessary in the conceptualisation of the study. The discussion hereunder indicates how this objective was realised.

8.3.4 Objective 4: To trace the evolution of development theory and practices within a multinational relations and collaborative perspective.

There is widespread consensus that development and disaster risk management and reduction are inextricably linked and must be seen in mutually complementary terms. Equally, the development of the SADC institutional model cannot take place without due regard to the development trajectory within which it should play out. To this end, the review of the evolution of development became necessary to inform the conceptualisation

and operationalisation of the model. The objective was reflected upon briefly in chapter 1 and discussed further in chapter 3. The discussion in chapter 3 did not only clarify the evolution, but also revealed the turning points on development, mostly around reducing vulnerability and ensuring sustainability, while also demonstrating the role which international organisations has been and continues to play in shaping development discourses. This conforms to the discussion in chapter 2 of the study. To complete this discussion, a reflection on the evolution of disaster risk reduction became necessary as accounted for in the section below.

8.3.5 Objective 5: To trace the evolution of disaster risk management and reduction theory and practices within a multinational collaborative perspective and how climate change is integrated within the discipline vice versa.

The discussion of the evolution of disaster risk management is a critical measure of the success of development objectives as spelled out in the Millennium Declaration (UN, 2000a, 2000b) and associated frameworks. It is therefore critical that any discussion of development at any level and scale should not discount a consideration of disaster risk reduction. To this end, the tracing of the evolution of the policy and practices of disaster risk management and reduction came to the fore in the study. This was also undertaken with the objective of determining how international organisations contribute to disaster risk management and reduction discourses and how they can contribute to the institutional model for disaster risk management in the SADC. Chapter 5 discussed the evolutionary path of the discipline. This was done with due regard to its foundational theory as well as turning points over time. Reference was also made to the closer relationship that is developing between disaster risk reduction and climate change. Chapter 4 discussed this aspect in detail and the discussion overlapped into chapter 5 which focused on exploring the co-evolution of development and disaster risk management in both policy and practices. The discussion of the alignment and misalignment of the disciplines is carried out in the section below.

8.3.6 Objective 6: To identify areas of alignment or misalignment within the existing policies and legislative instruments in the SADC.

As maintained throughout the thesis, there is consensus on the relationship between development and disaster risk management at policy and practice levels. This relationship cannot however be proclaimed at face value as it required tactful and systematic

measures to establish and actualise. To this end, the need to examine this relationship came to the fore in the conceptualisation of the study. The purpose was to ensure that the SADC institutional model for disaster risk management should not exist in isolation from the bigger picture of global development and climate change adaptation discourses. In addressing the objective, chapter 5 undertook a detailed analysis of the disciplines focusing on how they informed or influenced each other. This was done through the comparative analysis of the policy frameworks existing at global, regional and national level using an example of South Africa. The chapter therefore contributed to the development of the institutional model through its emphasis on the role of sectors and other disciplines in the achievement of the collaborative objectives, which are developmental in focus. The discussion of the alignment of the two disciplines necessitated a reflection on how the existing frameworks of the SADC member states (see chapter 6) can be aligned in order to achieve a seamless implementation of the model. The discussion below accounts for the manner in which the objective on policy and frameworks' alignment was achieved.

8.3.7 Objective 7: To propose how existing SADC member states' frameworks can be aligned to achieve collaboration on disaster risk management in the SADC.

Studies reveal that the decade of the 1980s was characterised by policy reforms around development and disaster risk management and reduction in order to ensure the effective contribution of the disciplines to achieve global development objectives. Notable however is the fact that countries have not undertaken policy reforms at the same pace and scope. To date, some are still under policy development stages while some are under policy review in view of global developments. This state of affairs will have an impact on the implementation of the institutional model for collaborative disaster risk management in the SADC. The need therefore exist to reflect on possible areas of alignment between and among the frameworks of the SADC member states to ensure that national priorities are supportive of regional goals. The discussion of the necessary alignment between the frameworks is carried out in the section 8.5.1 below. This discussion is undertaken taking into account what already exists that is either supportive of or impeding collaboration. In view of these proposals (see section 8.5.1), the need exist to outline the content of the institutional model is accounted for in the section below.

8.3.8 Objective 8: To propose the content of the institutional collaborative model for disaster risk management in the SADC.

As a final product of the study, the institutional model for collaborative disaster risk management in the SADC must be clearly spelled out to ensure that it is easily understood and can be subjected to objective scrutiny in line with national legislation and associated implementation frameworks. It must also have global and regional appeal to ensure that it can be adapted to other settings – even within other disciplines. To address this objective chapter 1 introduced the entire research, chapter 2 introduced the theoretical grounding of the research and chapter 5 looked at the frameworks governing development and disaster risk management and reduction. In chapter 6, a focus was paid on the frameworks governing disaster risk reduction in the SADC and also how these are orientated towards regional collaboration. In chapter 7, an empirical data was presented in a quest to inform the collaborative model. Taken in totality, all the chapters contributed to the content of the model as presented hereunder. It can therefore be argued that the research objectives have been fully addressed. To complete the systematic processes of the model, the need was identified to discuss the performance indicators underscoring the model as outlined in the section below.

8.3.9 Objective 9: To propose performance indicators that will underscore the institutional collaborative model for disaster risk management in the SADC to govern the implementation of the collaborative arrangements.

Performance Indicators (PIs) provide a reliable measuring tool for the success and if not adhered to, the failure of a programme. The need to propose performance indicators for the implementation of the SADC institutional model for collaborative disaster risk management became evident in the conceptualising of the study. The section dealing with the operationalisation of the institutional model as discussed hereunder (see section 8.5.2) outlined the performance indicators associated with the model based on the theoretical and empirical perspectives of the study. The study has therefore addressed this objective through the empirical findings in chapter 7 above as well as the discussion of performance indicators. The performance indicators will therefore serve as a measuring instrument for the implementation of the collaborative framework. These will therefore need to be adopted by the SADC member states, international institutions, state and non-state agencies for the realisation of the collaborative arrangement. To give effect to

collaboration through the deployment of the performance indicators, the legal and institutional arrangements necessary for the implementation of the collaborative system are discussed in the section below.

8.3.10 Objective 10: To outline legal and institutional arrangements necessary to the successful implementation of the collaborative model.

The study has revealed that SADC has adopted a number of legal and operational frameworks to achieve integration and to realise its economic development agenda since its inception. These are introduced in chapter 1 and discussed in reflected upon further in chapters 6 and 7 above. Various institutional arrangements also exist to give effect to the body's collaborative efforts. In developing the model, a realisation was also made that decisive measures need to be taken to ensure the seamless implementation of the collaborative effort. This objective is critical to ensure that legally binding and technically sound mechanisms are put in place to assist in the implementation of the SADC collaborative model. The research objective was therefore reflected upon through the empirical study in chapter 7 above and is further addressed in section 8.5.3 below. The realisation of the objectives of the study culminated with the collaborative model for disaster risk management in the SADC as presented in section 8.4 hereunder.

8.4 ACHIEVEMENT OF RESEARCH OBJECTIVES: THE INSTITUTIONAL MODEL FOR COLLABORATIVE DISASTER RISK MANAGEMENT IN THE SADC

In chapter 1 of the study, an introduction was made of the research through the outline of the topic, the problem statement, the research aims and objectives and the methodology to be employed in the carrying out the research. With regard to the central problem statement, the study was founded on the development of an institutional model for collaborative disaster risk management in the SADC to enhance disaster risk management efforts under the provisions of the identified international, regional and sub-regional frameworks. In chapters 2, 3, 4, 5, 6 and 7 of the research an outline was made of how various components of the research were streamlined to contribute to the development of the institutional model for collaborative disaster risk management in the SADC. This happened through a combination of theoretical and empirical perspectives of

the study. All these interdependent components (chapters) of the study have contributed to the SADC institutional collaborative model.

As an important measure for successful disaster risk reduction governance, the SADC institutional model combines the political (leadership) and technical (administrative) components of the SADC configuration. It was also formulated with due regard to the existing configuration within the SADC secretariat (see figures 6.2 and 6.3 above). It therefore used the existing SADC structure as the basis while also proposing modifications (changes) to the existing configuration to ensure the seamless implementation of the SADC disaster risk management collaborative model.

From the functions of the directorate as outlined in section 6.3.3 above and considering the view of participants (see section 7.10.9), it can be deduced that disaster risk management and reduction function does not receive the profiling and attention it deserves implying that it must be elevated to a stand-alone directorate (see sections 7.10.9). This is because the function is identified as either the last or as being non-prominent (see section 6.3.3). This state of affairs has a negative bearing on the effectiveness of the disaster risk management and reduction function in the SADC.

The institutional model for collaborative disaster risk management in the SADC is therefore structured in a manner providing synergies between the current and proposed SADC configuration and systems with national (SADC member states), regional (African Union) and the global (United Nations) systems (see figure 8.1 below). This is based on the need to ensure that the SADC configuration must be portable with and articulate well vertically and horizontally. The horizontal alignment was achieved by the incorporation of the institutional collaborative mechanisms of the sector departments and other disciplines within the collaborative system. In line with the discussion in chapter 2, the model has created an interface point between international organisations and the disaster risk reduction structures in the SADC. This is to ensure that ownership of collaboration is state owned with a defined support from international organisations and other state and non-state actors. The role and benefits of the involvement of these institutions was also discussed in chapters 2 and 7 above (see sections 2.4.3, 7.10.7 & 7.10.8). The institutional model for collaborative disaster risk management in the SADC is presented hereunder as figure 8. 1.

The achievement of research objectives: An Institutional Model for Collaborative Disaster Risk Management in the SADC

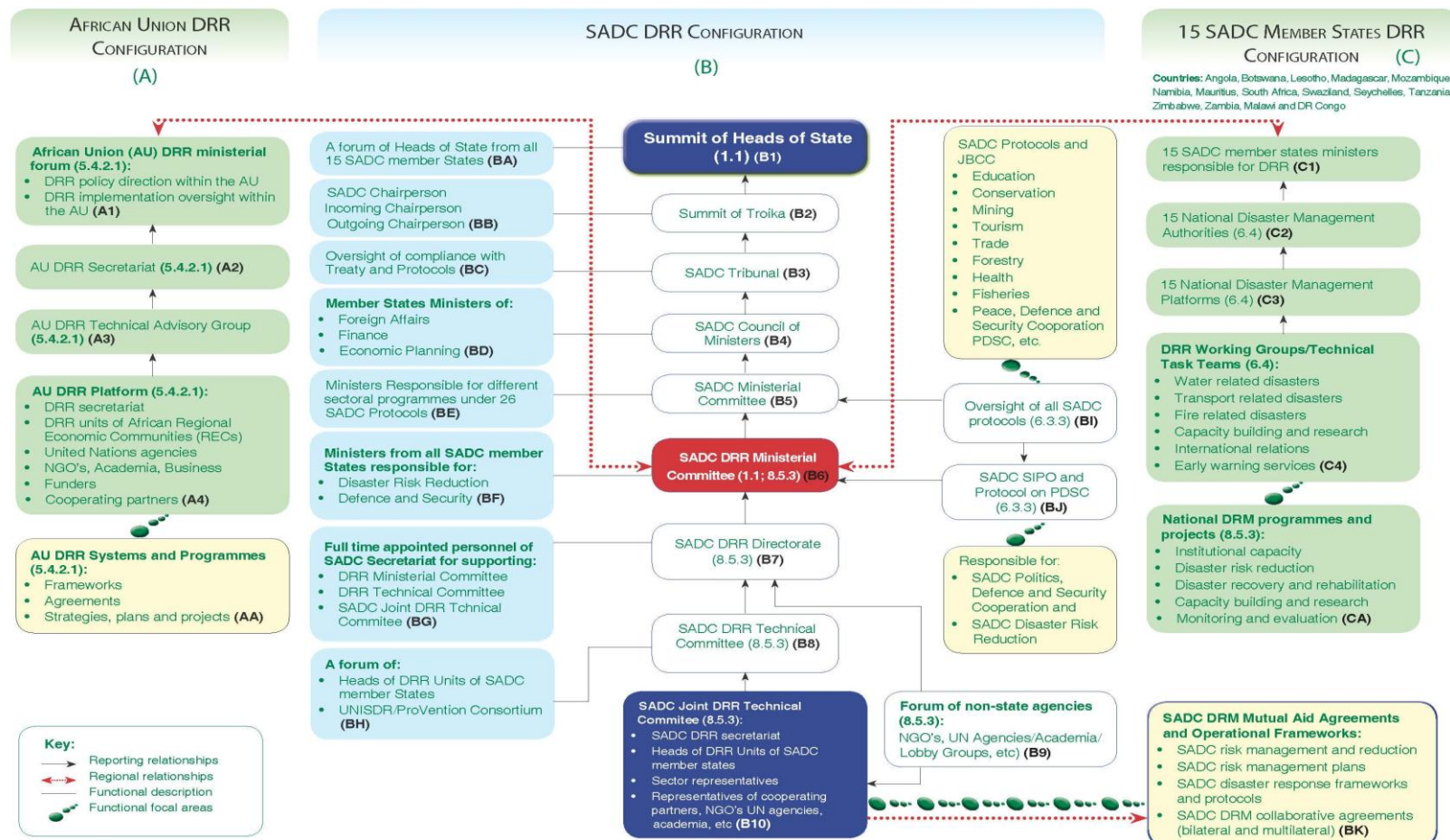


Figure 8.1: An institutional model for collaborative disaster risk management in the SADC

The SADC institutional model for collaborative disaster risk management assumes a three tier structure constituting of the AU, the SADC and the 15 SADC member states perspectives. This is because the successful operation of the model is dependent on internal (SADC) and external (AU & SADC member states) factors. In line with the discussion in chapter 2, an additional external factor to the model is the role of international institutions, state and non-state institutions in facilitating and supporting the collaborative system. The success of the model is therefore dependant on the effectiveness of the member states systems as well-structured and functional SADC disaster risk management and reduction structures and supported by the AU system as depicted through the model above.

The key to the model is therefore constituted of three elements notably:

- i. The solid line which depicts structural and reporting relationships;
- ii. Broken line which depicts regional relationships within the collaborative system;
- iii. Solid lines without arrows which depict functional description, and;
- iv. Bubble connection which depicts focal areas associated with a particular function (i. e. functional focal areas)

To substantiate the above illustrations, the prominent elements of the collaborative model for disaster risk management in the SADC are clarified below. The bracketed section numbers in the boxes represent the sections in the thesis where relevant discussions are found. The AU, SADC and SADC member states configuration of the model is discussed hereunder.

- i. A three tier system constituting of A, B & C
 - Labels A, B and C depict the AU, SADC and SADC member states configuration respectively and how these interface to give rise to the SADC institutional collaborative model for disaster risk management. These three levels are represented by A, B and C respectively;
 - The three tiers are connected through the broken line depicting regional relationships in the collaborative system,
 - The interface points of the three tiers are depicted by the connecting points of the broken arrowed line.

ii. Hierarchical institutional and functional relationships

- **AU configuration.** Boxes A1 to A4 depict the institutional hierarchy within the AU system. This culminates with the functional description of the AU disaster risk reduction system in box AA. Box AA therefore represents multi-national projects which are driven within the AU disaster risk management and reduction system in line with the AU frameworks as outlined in sections 5.4.2.1 and 6.2 above.
- **The SADC configuration.** The SADC configuration is depicted in two perspectives represented through boxes B1 to B10 and BA to BK. B1 to B10 represents the institutional hierarchy and reporting relationships within the hierarchical structure. Boxes BA to BK represent functional descriptions associated with institutional boxes (B1 to B10). Simply put, boxes B1 to B10 represents structures within the SADC system while BA to BK explains the nature of those structures and what they are responsible for. For the institutional model for collaborative disaster risk management in the SADC, box B6 is critical as it provides political direction and stewardship for disaster risk management and reduction in the SADC. Through the work of B6 and that of its subordinate structures (B7, B8, B9 & B10), the actualisation of the institutional collaborative model is given rise in box BK. This implies that the functioning of these boxes (B6, B7, B8, B9 & B10) will culminate into the SADC collaborative system as depicted in box BK. The arrow and bubble line linking B10 and BK depicts two things, namely

- i. The functions to be performed by through B10, and
- ii. The fact that the mutual aid agreements and operational frameworks will assume bilateral and multilateral form thereby representing regional relationships.

Within the SADC system, the success of the collaborative model therefore hinges on the existence and functioning of boxes B1, B6, B9 and B10. Box B9 therefore confirms the intellectual hold of neoliberal institutionalism to the theory and practice of international relations in disaster risk management and reduction (see chapter 2 for content detail).

- **The SADC member states' configuration.** The SADC member states configuration is depicted in boxes C1 to C4. These represents structural

configurations and functional focus of the SADC member states as discussed in section 6.4 above. It is important to note that the SADC member states' disaster risk reduction system interface with the SADC system at two points representing the political level (B6) and the technical levels (B8 & B10). Box C1 directly links with box B6 (political disaster risk reduction forum) while Box C3 (technical disaster risk reduction forum) overtly links directly with boxes B8 and B10 through box B6 as the conduit.

As with any other programme, the success in the implementation of the model hinges on the identification of measures necessary to give effect to the collaborative system. Those measures must revolve around policy frameworks, institutional review and the national and SADC adoption of performance indicators against which to measure the success of the model. To this end, the discussion of the measures for the operationalisation of the model is undertaken hereunder through a section entitled: the operationalisation of the SADC institutional collaborative model.

8.5 The operationalisation of the SADC institutional model for collaborative disaster risk management

The study has revealed the importance of the SADC collaborative model as presented above. On the one hand, it has revealed variations and deficiencies with the current SADC member states policies and institutional mechanisms governing disaster risk management and reduction. This state of affairs necessitated a discussion of conditional measures necessary for the successful execution of the model. The ensuing discussion therefore looks at this matter in three perspectives notably, alignment of SADC frameworks, the requisite legal and institutional arrangements and performance indicators on the implementation that will underscore the implementation of the SADC collaborative model.

8.5.1 The need to align the frameworks of SADC member states to support the SADC institutional collaborative model for disaster risk management.

The study demonstrated that SADC member states have progressed variably in terms of the institutionalisation of the disaster risk reduction function (see chapter 6 above). This was evidenced through the varying levels of policy development and the institutionalisation of the function within governance systems (through coordination and

sector integration capacities). Notable also was the fact that policies or legislation of some of the SADC member states such as, but not limited to, Namibia, Swaziland, South Africa do make clear pronouncement on the need for strengthened regional collaboration at bilateral and multi-lateral levels (see chapter 6 above). On the other hand, the frameworks of some of the countries are silent on the subject matter. This state of affair has a potential to limit the drive towards collaboration as some member states may find it difficult to initiate something that does not have a direct legal pronouncement within their territory. This is because while there is consensus on the need for collaboration (see chapter 7 above), the institutional ownership of the collaborative arrangement will depend on the manner in which there is national legal pronouncement on the matter. Taking the above factors into account, the study proposes that policies of SADC member states must be reviewed to give clear direction on bilateral and multi-national collaboration. This is necessary to ensure that the political leadership and officials involved in disaster risk management and reduction find it easy to conceptualise bilateral collaboration programme and in contributing to the SADC disaster risk management and reduction discourses. This will also assist in stimulating the involvement of other sector departments in the collaborative effort. The argument does however not disregard the fact that the SADC Treaty and associated Protocols are key instruments for collaboration. It is made to ensure that national ownership of collaboration is instilled in support of the existing SADC frameworks and institutional arrangements. It will also bring about an improvement in the political participation and stewardships of disaster risk reduction in the SADC – which currently needs to be improved upon. There will also be a need for policy adjustments within the SADC as discussed in the section below.

8.5.2 The requisite legal and institutional arrangements to ensure the effective implementation of the SADC institutional collaborative model.

The theoretical (see chapters 2-6) and empirical (see chapter 7) components of the study revealed that a legally guided collaboration is necessary to ensure consistency and continuity in the pursuit of collaborative goals. Using the Treaty scenario, chapter 2 specifically demonstrated how a codified system of collaboration is necessary and how international organisations can assist in fostering collaborative objectives. Reflecting on the SADC legal and institutional mechanisms for collaboration, the study revealed that SADC has relevant policy instruments to foster collaboration. Those include, but are not limited to: the SADC Treaty, the Regional Indicative Development Plan, the SADC

Strategic Indicative Development Plan for the Organ, the 26 SADC Protocols and declarations. For the effectiveness of the institutional model for collaborative disaster risk management, the research has however revealed that the disaster risk reduction policy frameworks need to be improved. To this end, the study proposes that a Disaster Risk Management and Reduction Protocol for the SADC should be adopted. The Protocol should be supported by a declaration on disaster risk reduction for the SADC with strong alignment to development and climate change adaptation. This implies that disaster management must be made a stand-alone function outside the existing SADC Protocol on Politics, Defence and Security Cooperation to have the requisite authority to drive this agenda.

With regard to the existing institutional arrangements, the study revealed that forums exist at political and technical level in the SADC. However, the existing forums are not adequately inclusive and do not have full political stewardship within the SADC and from member states themselves. This is not to suggest that the existing technical forms are not known. It implies that the forums can be improved if they can be restructured in line with the SADC collaborative model as presented herein to be as inclusive as possible. It also refers to the need for ownership of the forums by the SADC member states and the funding of the work of the forums by the member states. The study therefore proposes that the existing political and technical forums should be reviewed in line with the SADC institutional model as presented herein. Policies and frameworks of the AU and SADC member states should also be reviewed to align with the institutional reengineering within the SADC. Taking the ensuing discussion into account, the study revealed the need for the adoption of performance indicators underscoring the implementation of the institutional model for collaborative disaster risk management in the SADC. The discussion hereunder outlines the performance indicators.

8.5.3 Performance indicators underscoring the institutional collaborative model for disaster risk management in the SADC.

The theoretical and empirical perspectives of the study on the development of an institutional collaborative disaster risk management in the SADC has revealed that the SADC model must be structured in such a way that it enhances disaster risk reduction objectives of the regional economic community. It must also be aligned to regional (AU), global (UN) and national (SADC member states) systems and priorities. To this end, the theoretical and empirical chapters manifested performance indicators which underscore the successful implementation of the institutional collaborative model. The performance

indicators are combined into political, technical and systemic issues as depicted in table 8.1 below.

Table 8.1: Performance Indicators for the collaborative model for disaster risk management in the SADC.

Performance Indicators (PIs)	Measures	Responsible Agent
Indicator 1: Formalisation of the SADC DRM Political Forums (related to chapter 2 above)	– Conduct study on political support to the SADC DRR programme – Present report, with recommendations to the SADC Council of Ministers	SADC secretariat supported by UN agencies and member states
Indicator 2: Conduct regular technical and intergovernmental meetings on DRM (related to chapter 2 above)	– Develop a schedule of meetings (at least 3 per year) – Rotate meetings in SADC member states	SADC secretariat supported by member states
Indicator 3: Support the formalisation of UN agencies, state and non-state actors forum on disaster risk reduction (forums may be separated or one forums can be formed) (related to chapters 2 & 6 above)	– Undertake an audit of UN agencies, state and non-state entities and their DRM mandate and capacities – Establish a forum of international organisations and non-state agencies – Establish SADC joint DRR Technical Committee	SADC secretariat, UNISDR with the support of member states

Performance Indicators (PIs)	Measures	Responsible Agent
Indicator 4: Give legal status and ratify SADC policy and other implementation frameworks (related to chapters 2 and 7 above)	– Audit all existing frameworks and identify gaps – Improve and adopt frameworks – Formulate and ratify a stand-alone SADC Protocol on DRM/R and its supporting Declaration – Ratify the SADC Policy and Strategic Frameworks for DRR (prioritise pre-and-post disaster phases) – Undertake and audit of MoUs and other frameworks required to support DRR in the SADC – Adopt MoU Protocol for the SADC (with bilateral and multi-national focus)	SADC secretariat wish support of agencies and member states
Indicator 5: Uplift the SADC Disaster Risk Reduction Unit into a Directorate (see chapter 7)	– Assess and address human resources capacity development for the SADC DRR Directorate – Revise SADC secretariat structure and factor in climate change function and responsibilities – Adopt DRR policy and resources plan	Member states under the coordination of the Council of Ministers (facilitated by the SADC secretariat)

Performance Indicators (PIs)	Measures	Responsible Agent
Indicator 6: Develop a database on regional and national DRM/R capacity and resources (related to chapter 6 above)	– Undertake an audit of DRM needs in the region – Compile an audit of national DRM capacities – Compile an audit of national DRM capacities and resources	Member states under the coordination of the SADC secretariat
Indicator 7: Formulate and adopt a SADC capacity development, research and communications framework for DRM (related to chapter 6 & 7 above)	– Undertake DRM capacity building needs analysis for the SADC – Undertake DRM capacity building resources analysis for the SADC – Undertake DRM research needs and resources analysis for the SADC – Develop and ratify the SADC DRM capacity building framework and communications protocols	SADC secretariat supported by member states
Indicator 8: Formulate and adopt the International Disaster Response Laws, Rules and Principles (IDRL) guidelines for the SADC to ensure coordinated institutional coordination (related to chapters 2 & 7 above)	– Based on the an audit of needs and resources in the SADC – Adopt guidelines and implementation plans	SADC secretariat working with member states, other agencies and under full political support

Performance Indicators (PIs)	Measures	Responsible Agent
Indicator 9: Establish a stand-alone DRR budget for the SADC with clear funding protocols (see chapter 7 above)	– Conduct an audit of SADC DRM funding needs and potential sources – Develop and funding framework and guidelines – Establish and operationalise SADC DRM funding	SADC secretariat working with member states, other agencies and under full political support
Indicator 10: Formalise relationships with existing sectoral collaborative forums (e. g. JBCC, etc) (see chapter 7)	– Conduct and audit of existing sectoral forums – Identify collaborative areas – Develop collaborative instruments between DRM institutional systems and sector collaborative systems	SADC secretariat working with member states, other agencies and under full political support

The performance indicators for the SADC institutional model for collaborative disaster risk management represents and menu of strategic activities to be undertaken to ensure the effectiveness of the collaboration in the REC. As demonstrated, this collaboration will be made possible, vertically and horizontally, through the involvement and structured support of international organisations (see chapter 2) and other state and non-state actors. The key feature of the model as demonstrated in chapter 2 & 7 is that state ownership of the collaborative effort is crucial. The model has also proved that neoliberal institutionalism does not apply in totality to the institutional model for collaborative DRM in the SADC. This is particularly the case with tenets such as gains associated with defaulting in the collaborative system. The following tenets as summarised by Grieco (1988:494) and Galbreath (s. a:17) were however found to be applicable while some were refuted through the study:

- i. States are the key actors in world politics but international institutions play a major role in facilitating cooperation among states i. e. states live with institutionalised cooperation (confirmed through the study);

- ii. States are complex and unitary-rational actors (refuted under the study);
- iii. Anarchy is a major shaping force for state preferences and actions (apparently) (refuted under the study);
- iv. International institutions are an independent force facilitating cooperation (confirmed through the study), and
- v. Neoliberal institutionalists are optimistic about prospects of international cooperation (confirmed through the study).

It is also worth noting that the intellectual hold of realism is totally rejected for institutional model for collaborative disaster risk management in the SADC. The study therefore concluded that neoliberal institutionalism (see chapter 2) is a relevant theory for an institutional collaborative model for disaster risk management in the SADC in as far as the confirmed tenets are concerned. By implication, international institutions and other state and non-state actors have a critical role to play in supporting DRM collaboration in SADC and elsewhere. This must however happen within a fully state owned system implying that member states involved in the collaborative effort must define their needs and priorities for collaboration and seek outsiders to complement their efforts (see chapter 7 above). The contribution of the study to the body of knowledge on disaster risk reduction is summarised in the ensuing section.

8.5.4 Contribution of the study to the body of knowledge on disaster risk reduction

Chapter 1 of the study demonstrated that an institutional model for collaborative disaster risk management is an area of research and practices which was not fully explored in SADC and globally. In the same vein the theoretical and empirical study has revealed that supra national collaboration is critical for effective risk reduction both at national, regional and global levels. The importance of the support of international organisations and non-state entities cannot be overemphasised. Key to the success of the collaborative system, as demonstrated in chapter 7, is the effective ownership of disaster risk management and reduction programme by individual countries within the collaborative arrangement employing a bottom-up and top-to-bottom approach to disaster risk management and reduction. The study has therefore contributed to the body of knowledge in disaster risk reduction in two perspectives, namely:

- i. It provided clarity on the theoretical grounding (neoliberal institutionalism) of disaster risk management and reduction regional and global collaboration systems within the international relations theory, and
- ii. It manifested the development of an institutional model for collaborative disaster risk management in the SADC to improve on the existing system.

The study has also revealed areas of further research necessary for the enhancement of the collaborative model for disaster risk management in the SADC and elsewhere. Those identified areas are discussed hereunder.

8.5.5 Areas of further research

The study has also highlighted the infinite nature of learning through the identification of areas of further research for the future enhancement of the model. These areas emerged during the theoretical and empirical perspectives of the study. The areas of further research are outlined hereunder.

- i. The effect of language variations on DRM collaboration in the SADC. During the theoretical and empirical study, the question of language emerged as one of the challenges. This was due to the fact that materials written in certain languages (e.g. French and Portuguese) were not easily understood. This state of affairs might have a bearing on the building of the relationships between the countries in question due to the language barrier. A typical example was that the researcher was unable to collect data in Mozambique due to the fact that an interpreter could not be found. The research does not however seek to propose the adoption of one language but only highlight the need to research on how this potential barrier could be addressed, and;
- ii. The implications of physical (non-island states) and non-physical boundaries (island states) on DRM collaboration in the SADC. Small island and non-island states experience varying dynamics in terms of risks, opportunities and their way of managing their affairs. On the other hand, countries sharing physical boundaries also have their own way of collaboration dating back to history. This implies that the SADC institutional model for collaborative disaster risk management must be supported by on-going research into the implications of the nature of boundaries on collaboration at bilateral and multi-national levels.

The operationalisation of the model has therefore provided a framework for the improvement of the disaster risk reduction system in the SADC. In the ensuing section, a conclusion on the study is hereby outlined.

8.6 CONCLUSION

The findings of this study expanded on the current institutionalisation and operational systems of disaster risk management and reduction in the SADC. This is because the research employed both theory and empirical research to clarify the current configuration within the SADC in order to formulate an Institutional Model for Collaborative Disaster Risk Management in the SADC. As a built-up to the formulation of the institutional collaborative model, the study revealed that the current institutional arrangements and processes within the SADC need to be enhanced. It also proved that international institutions and other state and non-state actors have a critical role to play in supporting international collaboration. It became clear that international collaboration should take place in two perspectives: bilateral and multi-national collaboration. The inextricable link between development, disaster risk reduction and climate change was also demonstrated through the study. The successful implementation of the model will therefore bring about benefits in terms of the realisation of goals underscoring disaster risk management and reduction, poverty reduction, sustainable service delivery and climate change adaptation within the context of sustainable development in the SADC as discussed in section 5.6 above.

Through theory and participants' contributions, the study revealed that the need for collaboration should first be needs driven, fit for purpose and owned by the collaborating states and that the role of international organisations must be supportive in nature. To this end, the application of neoliberal institutionalism to institutional model for collaborative disaster risk management in the SADC has been confirmed *mutatis mutandis*. The variations to the application of neoliberal institutionalism have been discussed in section 8.5.3 above. Notable also is the fact that there have not been any variations in views and opinions as reflecting in the collected data as discussed in chapter 7. This implies that the data collection techniques (purposive and judgemental) as discussed in section 7.5.1 of the previous chapter (chapter 7) are appropriate for the study of this nature. By and large, the study concluded that, the institutional model for disaster risk management in the SADC as discussed above is a necessary form of disaster risk management governance in the SADC and elsewhere.

The success of the institutional model is however contingent on the following five factors: **firstly**, the need for political ownership and stewardship of the disaster risk management and reduction programme within the member states and the SADC system, **secondly**, the need to adopt legally binding disaster risk management and reduction frameworks with a strong orientation towards the integration of disaster risk reduction, sustainable development and climate change, **thirdly**, the need to elevate the SADC Disaster Risk Reduction Unit (SADC DRRU) into a Directorate, **fourthly**, the need to ensure participation of sector departments, state and non-state entities, and **fifthly**, the need to instil community participation and ownership of disaster risk management and reduction programmes in the SADC. Due to the infinite nature of research on the subject, the study proposed areas of further research. Those revolve around the impacts of language differences in the SADC and the effect of non-physical boundaries on disaster risk management collaboration.

To this end, the study contributed to the body of knowledge on disaster risk management and reduction by, **firstly**, clarifying the theoretical location of disaster risk management within the international relations theory (employing neoliberal institutionalism) and, **secondly**, by manifesting the institutional model for disaster risk management in the SADC adaptable to other localities and services.

The study therefore contributed to the body of knowledge on disaster risk reduction by exploring and demonstrating the application of international relations theory to the disaster risk reduction discourses through the development of an institutional model for collaborative disaster risk management in the SADC. This model can be applied to structure supra-national collaboration on disaster risk reduction and other disciplines. The uniformity of literature on the subject and the congruence of empirical data serve as an indication that the SADC institutional model for collaborative disaster risk management is deemed as being critical to enhancing the SADC disaster risk reduction system.

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ANNEXURE A
SUPPORT ON PHD RESEARCH INFORMATION GATHERING:
MR MMAPHAKA TAU



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07 May 2013

TO WHOM IT MAY CONCERN

**SUPPORT ON PHD RESEARCH INFORMATION GATHERING: MR.
MMAPHAKA TAU**

This letter serves to introduce Mr. Mmaphaka Tau who is currently a registered student of the North-West University (PUK Campus). Mr. Tau is studying towards the completion of a Ph.D degree in Development and Management specialising in Disaster Risk Studies.

Mr. Tau's topic is entitled:

"An institutional collaborative model for disaster risk management in the Southern African Development Community (SADC)".

As part of his research, Mr. Tau is required to *inter alia*: conduct information gathering focus group sessions with Disaster Risk Management focal units of the SADC member states. The letter therefore serves to request your support for Mr. Tau in the process of gathering information for his research.

Please feel free to contact my office should you wish to discuss this matter further.

Kind regards, and best wishes,



Prof. Dewald van Niekerk
Director: African Centre for Disaster Studies
North-West University, South Africa

ANNEXURE B
RESEARCH DATA COLLECTION DIRECTIVE

RESEARCH TOPIC

**An institutional model for collaborative
disaster risk management
in the Southern African Development Community (SADC)**

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1. INTRODUCTION

The research seeks to develop an institutional model for collaborative disaster risk management for the Southern African Development Community (SADC). It is based on the realisation that collaboration on disaster risk management issues within the SADC requires to be strengthened in order to have in place an efficient system which is effective to safeguard lives, livelihoods, property and the environment. This is a state of affairs necessary to support of the achievement of the development objectives of the sub-region.

To realise its objectives, the research reviewed theoretical models relating to international relations, development and disaster risk management. This was done with an objective of determining how the principles to international relations, development and disaster risk management (DRM) can inform the envisaged collaborative model. To this effect, neoliberal institutionalism has been chosen as the theoretical frame of reference.

To give practical meaning to the theoretical perspectives of the research, an empirical study will be undertaken with the identified focal persons and groups in the SADC member states.

The objective of the empirical research is to solicit inputs from the Disaster Risk Management focal persons & units (NB: one focus group interview per national office) on the feasibility and possible structure of the institutional collaborative model for DRM for the SADC.

The research data collection directive suggests the approach and focus of the data collection process to assist in the collection of the relevant information for the study.

2. RESEARCH AIMS AND OBJECTIVES

The research aims to develop a comprehensive model that would inform the implementation of collaborative disaster risk management in the SADC.

In line with the above aim, the objectives of the research are to:

- To define, assess, examine and critically analyse the theories of Cooperative governance and Neoliberal Institutionalism and how they inform supra nation collaboration amongst states;
- To identify and examine the existing collaborative disaster risk management / reduction frameworks globally to give effect to collaborative disaster risk management between different countries;
- To identify and examine regional (SSA) and sub-regional (SADC) legal collaborative instruments such as Conventions, Treaties, Protocols, Strategies, Memoranda of Understanding, governing international and regional collaboration on disaster risk reduction issues;
To identify existing policies, legislative provisions and institutional arrangements currently in existence in all SADC member countries to govern disaster risk management / reduction;
To identify areas of alignment or misalignment within the existing policies and legislative instruments in the SADC region;
To propose how existing SADC countries' frameworks can be aligned to come up with a collaborative model for disaster risk management for the SADC;
To propose performance indicators that would be incorporated in a collaborative disaster risk management model for the SADC region;
To propose the content of the envisaged institutional model for disaster risk management for the SADC;
To outline legal and institutional arrangements necessary to ensure effective implementation of the envisaged collaborative model.

3. RESEARCH DESIGN AND METHODOLOGY

A qualitative research design will be used to conduct the research. Qualitative methodology in the form of *literature study*, *documents* (Maree, 2008:82) and *focus group interviews* (de Vos, Strydom, Fouche & Delport, 2005; Henning, Van Rensburg & Smit; 2004; Creswell, 2003; Maree, 2008) will be employed in the study.

This will involve all SADC member States prioritising their disaster risk management focal units. Additionally, a focus group interview session will be conducted with the responsible section within the SADC secretariat in Gaborone, Botswana. This will involve a meeting and questionnaire completion with senior staff members responsible for coordinating disaster risk management issues for the SADC sub-region.

4. RESEARCH QUESTIONS

The following key questions will be answered by the research (**i.e. literature review, observation and field study**):

- How do the theories of cooperative governance and Neoliberal Institutionalism inform supra nation collaboration amongst states? (**through literature review**)
- What are the existing collaborative disaster risk reduction frameworks globally to give effect to collaborative disaster risk management between different countries? (**through literature review**);
- Which are the existing regional (SSA) and sub-regional (SADC) legal instruments such as Conventions, Treaties, Protocols, Strategies, Memoranda of Understanding, governing international and regional collaboration on disaster risk reduction issues (**through literature and focus group discussions**)?

What are the existing policies, legislative provisions and institutional arrangements currently in existence in all **SADC member countries** to govern disaster risk reduction efforts? (**through focus group sessions**);

Which form and content should the envisaged institutional model for disaster risk management for the SADC region take? (**through focus group sessions**);

Which tenets of the cooperative governance as well as the international relations theories, with special reference to the Neoliberal Institutionalism theory, can be applied to inform the envisaged collaborative model? (**through literature review**);

Which performance targets and indicators should underscore a collaborative disaster risk reduction model for the SADC region to govern the implementation of the envisaged model? **(through focus group sessions);**

What legal and institutional collaborative arrangements are necessary to ensure effective implementation of the envisaged collaborative model? **(through focus group sessions);**

Which Governmental and Non-Governmental institutions (including international agencies and mechanisms) are required to give effect to the envisaged collaborative model? **(through focus group sessions).**

Focus group interview questions are as follows:

Question 1	Do you consider disaster risk management / reduction as a function that requires the collaboration of countries?
Question 2	If the answer is YES , why do you perceive collaboration to be necessary? Provide theoretical and practical reasons. If the answer is NO , please explain why do you hold this view?
Question 3	What is your knowledge of the existence of regional (SSA) and sub-regional (SADC) legal instruments such as Conventions, Treaties, Protocols, Strategies, Memoranda of Understanding, governing international and regional collaboration on disaster risk management/reduction issues?
Question 4	What are the existing policies, legislative provisions and institutional arrangements currently in existence in your country to drive disaster risk management/ reduction?
Question 5	Do you believe in the need for bilateral or multi-lateral collaboration on disaster risk management & reduction issues? If the answer is YES , which institutional form should such a collaborative model assume?
Question 6	Do you think states can be supported by international institutions (e.g. UNISDR, UNHCR, UNOCHA, etc) to realise collaboration?
Question 7	What role will international institutions play within the collaborative system?
Question 8	What do you consider to be the benefits of the involvement of international institutions in supporting collaboration for disaster risk management?
Question 9	How do you view the current SADC collaborative arrangements as facilitated by the SADC DRR unit? Do you think there is room for improvement and how, if so?

Question 10	What performance indicators would you propose for an envisaged institutional collaborative model?
Question 11	What legal frameworks and institutional arrangements would you propose to ensure the effectiveness of the proposed collaborative model?
Question 12	Which Governmental and Non-Governmental role-players (including international agencies) can be brought on board to give effect to the envisaged collaborative system?

6. RECORDING OF DATA FROM FOCUS GROUP SESSIONS

The data and information obtained during focus group sessions will be recorded in the following formats:

- 6.1. Written reports or minutes from the focus group sessions.
- 6.2. Available documentation to support the proposals
- 6.3. The field worker's data collection reports inclusive of personal observations and experiences.
- 6.4. Tape recorded information from the engagements.
- 6.5. Pictures taken during the sessions and relating to the topic.

MMA PHAKA TAU

PHD Student: North West University