



Federal Ministry
for Economic Cooperation
and Development

Strategy on Transitional Development Assistance

Overcoming crises – Strengthening resilience – Creating new prospects

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1 Introduction

Overcoming crises is one of the central challenges for the international community, and thus also for German development cooperation. Not only has the number of crises worldwide risen, the nature of crises has changed, too: **crises have multidimensional causes, have become more complex and are thus also more protracted.** In the Sahel zone or in the Lake Chad region, for instance, weak state capacity and violent extremism are compounded by the erosion due to climate change of the economic base for the livelihoods of the rural population.

Crises can take the form of **violent conflicts, natural disasters, epidemics or financial and economic crises.** Their impacts can also spill over into neighbouring countries, for instance when they result in a refugee influx. Just recently, we have seen the **COVID-19 pandemic rapidly evolve into a global crisis.**

Severe and prolonged crises tend to go hand in hand with state fragility. The state, lacking capacity, legitimacy and authority, is unable to perform its essential protective functions, ensure respect for human rights or meet the basic needs of the population.

Fragility and vulnerability to crises are major obstacles to development for developing countries. According to estimates by the Organisation for Economic Co-operation and Development (OECD), in 2030, 80 per cent of the people around the world affected by extreme poverty will be living in fragile states. Consequently, dealing with crises is also a contribution towards reducing poverty, one of the core tasks of German development cooperation.

Whereas the humanitarian assistance provided by the Federal Foreign Office (AA) seeks to meet the humanitarian needs of people affected by a crisis based on the humanitarian principles of humanity, impartiality, neutrality and independence,¹ the efforts of the Federal Ministry for Economic Cooperation and Development (BMZ) aim **to support affected people and local structures in overcoming crises and strengthening their resilience over the medium and long term.** These efforts put a special

emphasis on triggering processes of transformation towards peaceful, effective and inclusive societal and state structures. This means that, under the whole-of-government approach, crisis management is an important instrument within the overall spectrum of development policy that is used by the German government for stabilisation and crisis resolution in contexts of crisis.

Resilience is the ability of people and institutions to adapt to new conditions and risks and, wherever possible, particularly in contexts of prolonged crisis, develop new prospects for their future. Investing in development as a way of overcoming a crisis helps to prevent the crisis from getting worse and minimises the risk of it flaring up again. In this way, such investments significantly reduce humanitarian needs. Impact assessments have shown that one euro invested in resilient infrastructure delivers about four euros in benefit over the long term thanks to “avoided” costs and losses.²

Transitional development assistance (TDA) is a tried-and-tested crisis management instrument used by the BMZ. In contrast to the transitional humanitarian aid that is provided by the Federal Foreign Office, the BMZ’s transitional development assistance also aims at structure building. TDA has evolved and been developed over many years through cooperation with organisations of the United Nations (UN), non-governmental organisations (NGOs), the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and the Kreditanstalt für Wiederaufbau (KfW). The present strategy builds on this expert knowledge and lessons learnt and takes the concept of the 2013 BMZ Strategy on Transitional Development Assistance a step further.

The **2016 World Humanitarian Summit (WHS)** and the **Spending Review**, which was commissioned by the Federal Cabinet in 2017 and tasked with reviewing the Federal Foreign Office’s instruments of humanitarian assistance and the BMZ’s transitional development assistance, provided important input, but the revised strategy also builds on many inputs from

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academia, practical lessons learnt from transitional development assistance projects and the Resilience Learning Initiative launched by the BMZ.

The new strategy takes into account the changes initiated by the “**BMZ 2030**” reform process.³ The new TDA strategy is primarily geared towards the two core areas “peaceful and inclusive societies” and “a world without hunger” and, depending on the context, may also contribute to other core areas and initiative areas due to its multi-sector approach. The new quality criteria from the BMZ 2030 reform process are also to be taken into account in transitional development assistance projects. In addition, as an instrument for overcoming crises, TDA also plays a crucial role in the German government’s peace and nexus partner countries. The BMZ’s new country list also applies in principle to transitional development assistance.

The present strategy includes the **following new elements**:

- **A clear focus on crisis management** to strengthen the resilience of vulnerable people and local structures. To this end, the BMZ is developing its concept of resilience further, using enhanced analysis tools.
- **Stronger integration of impact and evaluation approaches** in TDA projects with a view to compiling evidence and elevating joint learning.
- **More strategic embedding of TDA projects** in a whole-of-government approach for development cooperation and other activities carried out by the German government in a partner country. This includes a clear definition of the specific contribution of TDA, its objectives, and the exit plan for either successfully concluding the activities or transitioning them to other development cooperation projects. **In peace and nexus partner countries**, transitional development assistance supports the goal of “crisis prevention, conflict transformation and peacebuilding”.
- Better **operationalisation of the Humanitarian-Development-Peace Nexus** to reflect the “New Way of Working” agreed at the Humanitarian World Summit in 2016 in its three dimensions: humanitarian assistance, development cooperation and peacebuilding.
- Stronger **integration of peacebuilding and civil conflict** transformation by creating a new field of action called “peaceful and inclusive communities”. TDA thus makes a tangible contribution to the BMZ 2030 core area of “peaceful and inclusive societies” and helps to address the causes of displacement and irregular migration.
- **Sustainable income generation as a cross-cutting issue** for all fields of action.
- Strategically-oriented expansion of **partnerships with UN organisations**.
- Promotion of **innovative project approaches in TDA**.

This new strategy paper outlines the **challenges, goals, contexts, fields of action and modalities of TDA**. The strategy is a frame of reference for the BMZ and its implementing partners in shaping and implementing TDA projects. **In Chapter 6, in particular, the strategy sets out binding rules for the BMZ’s implementing partners**. Provisions on the use of funds are also laid down in the funding guidelines “Krisenbewältigung, Wiederaufbau, Infrastruktur” (crisis management, reconstruction, infrastructure). Fact sheets explaining aspects of the strategy in more depth provide additional practical support for the planning and implementation of TDA projects.

Furthermore, the strategy lays the foundation for development policy dialogues between the BMZ and its partners both at home and abroad, including other ministries, governments of partner countries, other donors, international organisations and the interested public.

2 Our approach: transitional development assistance as an instrument for crisis management.

Transitional development assistance builds a bridge ...

... from life-saving measures to sustainable peaceful development.

... from humanitarian assistance to long-term development cooperation.

... from dependence on external help to capacity for self-help.

... from fragility to establishing resilient structures.

... from destruction to rebuilding safe and appropriate infrastructure.

... from stabilisation to adaptation and transformation.

... between policy fields, their ways of working and their objectives.

With TDA, the BMZ has a tried-and-tested, internationally unique instrument that **builds bridges in many directions both during and after crises**. Consequently, there are also thematic overlaps with other instruments of the BMZ and the Federal Foreign Office, with these instruments being used not successively but in parallel in many contexts. The **unique strength** of the BMZ's **TDA approach** is that it **focuses strongly** on making vulnerable people and local structures more resilient to the consequences and impacts of crises. Moreover, **TDA as defined by the BMZ is development-oriented and thus clearly an element of development cooperation**; hence it differs from the humanitarian assistance provided by the Federal Foreign Office. Compared to other development cooperation instruments, TDA offers **many advantages for working in crisis contexts**, in particular:

- It is an **instrument that can be used fast and flexibly, but also over a period of several years**. It thus offers both quick wins and longer-term impacts. Projects can be commissioned within just a few weeks and do not require any agreements under international law with the partner government.
- It is deployed **locally and close to the target group**. Starting with the immediate needs of the most vulnerable population groups and local structures, but also considering their potential and abilities, TDA takes a bottom-up approach, prioritising local and decentralised development and thus seeking to connect with long-term development cooperation at the national level.

- It is **context-specific and multi-sectoral**. Overcoming crises at the local level always requires a whole set of measures that are tailored to the individual needs on the ground.
- The **implementing partners** for TDA can be chosen **case-by-case**: depending on the comparative advantages of each partner and the particular challenges of a crisis, a range of actors – often working in tandem – can be used.

The BMZ's TDA is an integral component of the German government's efforts in contexts of crisis. Key success factors are continuous dialogue, joint analyses and coordinated planning by the relevant stakeholders, as described in the **Federal Government's Guidelines on Preventing Crises, Resolving Conflicts, Building Peace** of 2017 and the **Practical Guidelines on Preventing Crises, Resolving Conflicts, Building Peace** of 2019.

During the first **Humanitarian World Summit** in 2016, Germany made a commitment to take a forward-looking, anticipatory approach, i.e. to promote **coherence and complementarity between humanitarian assistance and development cooperation**. With TDA, which allows the BMZ to combine short-, medium- and long-term approaches from its "toolkit", the Ministry is well positioned to honour this commitment.

Since TDA is an instrument aimed at promoting development and thus an element of development cooperation, it puts a focus – also in difficult fragile contexts – on achieving the **2030 Agenda** and aims to protect development achievements from the impacts of crises.

In the area of disaster response and disaster risk reduction, TDA is guided by the global **Sendai Framework for Disaster Risk Reduction 2015-2030**, which was signed by the German government in 2015.

Refugees, internally displaced persons and returnees are exposed to particular risks. Together with other instruments of the BMZ, TDA makes an important contribution towards implementing the **Global Compact on Refugees (GCR)** adopted in 2018 and the **Global Compact for Safe, Orderly and Regular**

Migration (GCM). The aim of the GCR is to create longer-term prospects for refugees and for the population in host regions and to reduce pressure on host countries. This also includes enabling people living in a host country to shape their own lives and earn their living independently and in a safe environment. One of the aims of the GCM is to enable returning refugees to reintegrate successfully in their home regions. Here, too, TDA, which is closely interlinked and coordinated with other BMZ instruments (such as the Returning to New Opportunities programme), plays a pivotal role.

The BMZ's **most important partners in implementing TDA** are non-governmental organisations registered in Germany, the Gesellschaft für internationale Zusammenarbeit (GIZ), the Kreditanstalt für Wiederaufbau (KfW), various UN agencies, particularly the United Nations Children's Fund (UNICEF) and the United Nations World Food Programme (WFP) and, in individual cases, organisations of the International Red Cross and Red Crescent movement.

The BMZ also values its implementation partners as important dialogue partners for strategic and technical exchange. In addition to our regular exchange with non-governmental organisations, GIZ and KfW, **we also intend to intensify our partnerships with UN agencies** by engaging in a strategic exchange with them.

The **United Nations World Food Programme (WFP)** is one of the German government's most important partners in fighting hunger and malnutrition worldwide. The BMZ supports WFP in contexts of crisis in particular, for example in Somalia, Lebanon and the Sahel region. Thematic priorities are food and nutrition security, strengthening resilience and promoting innovation. WFP programmes in these fields have a medium- to long-term focus and are funded over periods of several years. They thus have an integral role in fulfilling WFP's dual mandate of humanitarian assistance and development cooperation. In 2019, Germany was WFP's second largest bilateral donor with contributions of 771.9 million euros (of which 252 million euros was made available by the BMZ and 519.9 million euros by the Federal Foreign Office). Within the German government, the BMZ is the lead ministry for institutional cooperation with WFP.

The **United Nations Children's Fund (UNICEF)** is one of the BMZ's key partners in supporting children and youth and in strengthening their rights worldwide. UNICEF has many years of experience and comparative advantages when it comes to working in contexts of crisis, one of the reasons being its dual humanitarian and development mandate. That is why the BMZ supports UNICEF primarily in crisis countries through transitional development assistance funds, providing multi-annual finance for measures in the areas of education, health, food security, and water, sanitation and hygiene (WASH), and for strengthening the rights of children and youth. This cooperation is currently focused on countries in the Middle East and in East and Central Africa. In 2019, Germany was UNICEF's third largest donor with total contributions of 438 million euros (of which 431 million euros came from the BMZ). Within the German government, the BMZ is the lead ministry for institutional cooperation with UNICEF.

3 What is the goal of crisis management?

The overarching goal of crisis management is to strengthen the **resilience** of people and local structures to the impacts and consequences of crises. They are empowered to cope independently with crises and to prepare themselves for recurring stresses and strains. The aim here is to mitigate the negative effects of crises and gradually find ways to deal with their impacts permanently through structural changes. Following the principle of promoting participation and self-help, crisis management strengthens the development capacity of the people and structures affected, and promotes them in a targeted manner.

Whose resilience is to be strengthened? Measures aimed at dealing with crises directly address the target groups. At the **individual level** TDA promotes measures that are geared towards the needs, potentials, prospects and knowledge/skills of **particularly vulnerable population groups**. Their level of vulnerability before, during and in the aftermath of crises is determined both by their living situation (e.g. poverty, education and housing) and by any discrimination they may face as a result of their physical, social or other attributes such as gender, age, disability, sexual orientation, religious affiliation, ethnic background or legal status. Targeted efforts to enhance the participation of vulnerable people and population groups and making use of their skills and knowledge in the planning and implementation of projects play a significant role in triggering positive change. TDA pursues a human rights-based approach.

TDA also strengthens the ability to overcome crises at the **local level** and, in this way, supports the objective of structure-building. TDA projects work with local government structures – if they are fully functional

and unproblematic from a foreign policy perspective – or with civil society and/or the private sector. Such structures include, for instance, local administrations, non-governmental organisations, local networks, schools, health centres, small savings groups, peace committees or smallholders' associations. Efforts to strengthen their capacities are targeted and go beyond mere collaboration or coordination with the structures. Governmental or non-governmental structures are empowered to protect the livelihoods of the people affected in the event of a crisis and to provide important social services. Measures to fight and prevent corruption play a pivotal role, especially in contexts of crisis. Linking civil society and state structures as well as local and regional levels is important, too, so as to optimise service delivery, also with a view to ensuring human rights, encouraging self-help and making sure that measures are sustainable and effective over the longer term.

How is resilience to be strengthened? To understand better how the resilience of vulnerable people and local structures can be strengthened, first all the risks they are exposed to should be assessed. As a possible risk typology, the definition from the OECD States of Fragility Report with its five dimensions (political, societal, economic, environmental and security) can be used. On the basis of the risks identified, measures and goals which will strengthen resilience and help vulnerable people and local structures to overcome crises can then be defined. This is a change in perspective. Instead of looking at weaknesses, the **focus is on the strengths, potential and abilities** of the local population and structures. TDA thus aims to enable structural changes and strengthen the potential for transformation.

DA projects/programmes build resilience at three different levels (in accordance with the OECD definition⁴).

Stabilisation capacity	Adaptation capacity	Transformation capacity
Strengthened capacity leads to greater stability	Strengthened capacity leads to new positive courses of action	Strengthened capacity leads to structural, systemic change (“building back better”)
<p>Enables people to meet their basic needs and enables structures to maintain their functionality thereby ensuring survival in times of crisis.</p> <p>For example:</p> <ul style="list-style-type: none"> → Temporary transfers to secure people’s livelihoods and avoid negative coping mechanisms → Maintaining the provision of basic services 	<p>Empowers people and structures to adapt to long-term changes, cope with negative impacts and, ideally, minimise them.</p> <p>For example:</p> <ul style="list-style-type: none"> → Use of early-warning systems → Improving access to and the quality of education → Creating alternative income-generating opportunities and prospects for the future → Strengthening local administrative structures 	<p>Promotes structural change to create sustainable livelihoods by tackling the root causes of vulnerability (power structures, economic status, etc.)</p> <p>For example:</p> <ul style="list-style-type: none"> → Strengthening the economic and social role of particularly disadvantaged people → Promoting local peace processes and inclusive social structures → Investing in transformative infrastructure (energy, transport, water)

In order to make **TDA more impact-oriented**, the BMZ will be working with its implementing partners to **invest in better analytical capacity and improved data collection**. This is because it is typical for crisis contexts that the international community knows (too) little about what instruments and interventions can help strengthen resilience in concrete crises. In addition, it is difficult to obtain reliable data and information in contexts of crisis. At the same time, evaluations carried out in accordance with the OECD DAC evaluation standards

and the upcoming BMZ guidelines for evaluating development cooperation activities will be established even more firmly as an integral part of TDA measures and the BMZ will develop an evaluation concept that includes all implementing partners in the evaluations. Moreover, the BMZ will be piloting innovative processes for accompanying impact monitoring. In this context, the BMZ strives to make use of the insights gained from evaluations for learning processes in collaboration with its implementing partners.

4 Where is TDA used for crisis management?

Overcoming crises is not just a goal, it is also a process. The process starts with the **outbreak of a crisis** or the **existence of a protracted or recurring crisis**. This is the basis for the BMZ to decide that TDA will be provided. But every crisis is different and crises may differ hugely depending on the context and due to historical, political and cultural factors; each crisis has **its own dynamics** – and some may have serious, destabilising impacts on neighbouring regions.

When there is a crisis, additional criteria are relevant for the delivery of TDA:

- **state fragility** and
- a **high level of vulnerability and risks** for the population,

because then the capacities of structures and people are limited and may not be sufficient to autonomously overcome crises without any supporting measures.

In **fragile states** there are often no or only weak legitimate institutions that protect the population against violent conflicts or extreme natural events, exert control over the state's territory and meet the basic needs of the population. Furthermore, fragility usually coincides with a very high level of poverty, social distrust and societal inequality. In many cases, inequality that already exists is exacerbated by crises.

Vulnerable people are usually hit hardest by crises as their security is jeopardised, they have the lowest capacity for self-help and essential social (public) services are not provided or not adequately provided

by state institutions. In such situations, people who are particularly affected by poverty often fully lose their livelihoods and are vulnerable to serious human rights violations.

In the BMZ's peace and nexus partner countries, which were defined according to the BMZ 2030 reform proposals, the prerequisites for TDA are often to be found. Therefore, especially in these countries, TDA is an important instrument alongside other development cooperation instruments.

Peace and nexus partners of the BMZ

In this category, the BMZ works with various partners to tackle the structural causes of conflicts and displacement, contributes to stability and reconstruction, and strengthens potential for peace. This cooperation is geared towards the **German government's overarching objective of "Preventing Crises, Resolving Conflicts, Building Peace"**. The BMZ will address issues flexibly according to where the most pressing needs are to be found. Depending on the country context, the BMZ chooses suitable state or non-state actors for the implementation of the measures and seeks in contexts of crisis in particular to collaborate closely with UN agencies or other multilateral partners, and also with other German ministries. Instruments are used in a flexible manner that is tailored to the national context in each case and the objectives that have been defined.

Situations of violent conflict are the biggest field of activity for TDA. In these situations TDA offers approaches that are adapted to the specific context. These approaches show where prospects for development can be found, despite existing uncertainties and risks, and promote the peaceful balancing of interests. Violent conflicts today occur especially often in contexts of fragile statehood and are frequently characterised by a very complex web of interests in pursuit of power and resources.

Since the Syrian civil war broke out and the group calling itself “Islamic State” grew stronger, many Syrians and Iraqis have sought refuge in the Kurdistan Region in **northern Iraq**. The local infrastructure there is not sufficiently well developed to meet the needs of the entire population. However, the level of destruction and insecurity means that it is still extremely difficult for people to return to liberated areas such as Nineveh or Anbar. Since 2016, the BMZ and the Federal Foreign Office have been implementing joint crisis response measures in the liberated areas, in line with the nexus approach: The Federal Foreign Office is concentrating its efforts on mine clearance to make the city of Mosul accessible again. GIZ is engaged in various activities on behalf of the BMZ, including building a new hospital, setting up schools, providing training for health workers and teachers, and implementing vocational training and peacebuilding measures. KfW is working with UNDP on the rehabilitation of two hospitals and parts of the university. Some 1.7 million people are benefiting from these measures.



TDA also comes into play in the context of **disasters** or **extreme natural events**, particularly in situations where these events cause severe destruction, or when they occur periodically or last a long time, as in the case of droughts, hurricanes, earthquakes or floods. The scope and the frequency of such events are growing exponentially; the reasons for this increase are climate change and intense urbanisation, among other things. The probability that a community will suffer damage from extreme natural events is determined to a significant extent by the degree of its vulnerability and the scope of the risks.



The countries of the **Sahel region** are afflicted by persistent high levels of food insecurity, the impacts of environmental and climate changes, e.g. recurrent droughts, and by political instability. The purpose of the joint Sahel Resilience Initiative launched by the BMZ and WFP is to bring about a sustainable improvement in the food and income situations of people especially affected by these difficult circumstances and strengthen their resilience to future crises. This is to be achieved by way of multi-annual, multi-sectoral, climate-adapted food and nutrition interventions, school feeding programmes, temporary social transfers and the development of important infrastructure. The interventions are carried out in close collaboration with state and other development actors (e.g. UNICEF, World Bank) at the national and local levels. Having been launched in 2018, the Initiative is currently already reaching 730,000 people.

Another field of activity for TDA is responding to **epidemics** when public health systems, or other structures, are unable to cope with managing the crisis. In addition to strengthening structures for coping with crises, and for emergency planning and early warning, post-crisis measures are also an important topic. They involve, for instance, reintegrating people who have been sick into the community or revitalising affected communities.

In 2014/2015, about 28,000 people in **Guinea**, **Liberia** and **Sierra Leone** contracted Ebola, more than 11,000 died. The German aid agency Diakonie Katastrophenhilfe quickly provided support on the ground on behalf of the BMZ. It upgraded health facilities in Sierra Leone through construction measures and provided them with drugs, ambulances, lab units and infection-proof protective equipment. Training and further training courses for health workers were carried out and information campaigns developed, and people affected by the disease received psychosocial support. This not only stopped the spread of the disease but also laid the foundation for a permanently functioning health care system, benefiting about 635,000 women, men and children.



Crises do not stop at national borders. They often spill over into neighbouring countries. **That is why TDA also comes into play at the regional level and in neighbouring countries** of trouble spots. Examples of this are protracted refugee crises, such as in the neighbouring countries of Syria, in the Lake Chad region or in Bangladesh, for instance. The resilience of the neighbouring countries of countries in crisis is strengthened. This is important since host communities and local structures often cannot cope with the task of providing for refugees. But it is equally important to take an inclusive approach that targets not only the refugees but also the vulnerable local population, so as to avoid conflict.



When in 2017 almost 700,000 Rohingya refugees arrived from Myanmar within just a few weeks, this put an excessive burden on host communities in **Bangladesh**. As part of an intervention commissioned by the BMZ, UNICEF is giving 45,000 refugee children access to informal basic education by providing learning materials, establishing and equipping learning centres, and by arranging further training for teaching and support staff (including in the field of psychosocial stabilisation). The living situation of 70,000 youth and young adults inside the Rohingya camps and in the host communities is being improved by means of life skills training, education that promotes employment, community activities and access to protection and advisory measures.

5 In which areas does TDA contribute to crisis management?

In order to improve the livelihoods of the people affected by crises in the most sustainable way possible, **TDA projects are usually multi-sectoral** and cover several fields of action. The health and water sectors, for instance, are a part of both rehabilitation and food security. **Income-generating measures can be used as a cross-cutting issue in all fields of action** because such measures can, for instance, be a way to secure access to food. In addition, vocational training ensures that better quality basic services are provided, and economic recovery is promoted. At the same time, income-generating measures support the social and economic participation of vulnerable population groups.

TDA has four specific fields of action, with the new field of action “peaceful and inclusive communities” being introduced with this strategy. Over the years, the other three fields of action have been particularly relevant for overcoming crises. All four fields of action contribute towards implementing the new BMZ 2030 reform strategy, especially in the two core areas of “Peaceful and inclusive societies” and “A world without hunger”.

5.1 FOOD AND NUTRITION SECURITY

Hunger and malnutrition are two of the biggest obstacles to development. They not only limit the development prospects of individuals and households but also deprive regions and states of an important basis for sustainable economic and social development. **Crises negatively impact on the food and nutrition security of the people affected.** This in turn can cause new conflicts or exacerbate existing ones. TDA helps to break this cycle and to improve, in a sustainable manner, the food and nutrition security, both in terms of quality and quantity, of particularly vulnerable groups. Through the “food and nutrition security”

field of action, TDA can make effective contributions within the BMZ’s core area “A world without hunger”.

Measures in this field are geared towards ensuring that: (a) safe and nutritious food is continuously available in sufficient quantities, (b) the people affected have physical, social and economic access to such food and (c) the people affected know what constitutes a healthy and balanced diet (“use”) and their health condition is such that proper physiological intake (“utilisation”) of nutrients is possible. This rights-based multidimensional and multi-sectoral understanding of food and nutrition security also takes into account other sectors such as education, water and health as they play a part in the use and the utilisation of food.

Examples of measures are:

- **Availability:** (re-)starting agricultural production, e.g. by providing seeds, extension services regarding enhanced cultivation techniques, preventing post-harvest losses, improving animal health, and restoring and conserving the natural means of production (e.g. erosion protection measures).
- **Access:** temporary social transfers, i.e. provision of food, vouchers or cash (conditional or non-conditional), school feeding programmes, income-generating measures, e.g. introducing techniques for processing agricultural and animal products, improving market access or further training measures and temporary employment measures.
- **Use and utilisation:** nutrition counselling and enhancing infant and young child feeding practices, food supplementation using micro-nutrient products and fortified foods, raising hygiene awareness, structural improvements in access to basic healthcare services and to clean water and sanitation.

5.2 REBUILDING BASIC INFRASTRUCTURE AND SERVICES

Disasters and violent conflicts frequently cause widespread destruction or inadequate availability of basic infrastructure. This often affects drinking water systems, schools and health centres, but also roads and bridges. The state has been weakened and is often unable to provide social and administrative services for the population. It is crucial, therefore, to enable **both the population and local structures to drive social and economic reconstruction processes themselves over the medium to long term**. All reconstruction measures are designed as community-based development processes and closely involve local and traditional structures on the ground. The aim is to enable all population groups to have access to resilient basic infrastructure and basic services. Using earthquake-, storm- and flood-resistant, accessible and environmentally sound construction methods that comply with the recommendations of a risk analysis (“building back better”) is an important basis for this work.

Efforts **focus not only on the physical reconstruction of basic infrastructure but also on social reconstruction**. The aim is to restore local capacities for the provision of social services and local economic cycles (e.g. through the rehabilitation of market places, support for small businesses and cash for work). Survivors of armed conflicts and disasters are to be re-integrated into society. People who are disadvantaged and/or have experienced extreme stress need social services that strengthen their individual resilience. Often, it is difficult for them to access such services: sometimes adequate services are unavailable, sometimes people are directly denied access, or they are unable to use the services because they have a need for social withdrawal, or their level of distrust is high. That is why social workers, teachers, health professionals and employees of local partner organisations are given guidance and training on aspects like child protection, involving persons with disabilities, or mental health and psychosocial support (MHPSS). They can thus effectively take into account the needs of the most vulnerable groups in the implementation of project measures and contribute to rebuilding society in this regard, too.

Examples of measures are:

- Rehabilitation or construction and maintenance of basic infrastructure, including as part of cash for work or food for work measures.
- Building and strengthening the capacity of target groups and service-providers in the area of physical reconstruction and maintaining infrastructure.
- Supporting governmental and civil society structures by strengthening institutional, technical and professional capacities for providing basic services and planning disaster-resilient infrastructure.
- Vocational training and further training for skilled staff so they can ensure the provision of basic services in situations of crisis, e.g. in the health or education sectors.
- Setting up support structures for persons with special and/or protection needs, e.g. by upskilling national staff in various sectors.

5.3 DISASTER RISK MANAGEMENT

Disaster risk management (DRM) describes the process of planning, implementing, evaluating and adapting strategies, procedures and measures with a view to **mitigating the risks and impacts of disasters or, ideally, preventing them altogether**.

Disaster risk reduction can be achieved both by reducing the population’s exposure and vulnerability to risks and by strengthening their stabilisation and adaptation capacities.

The BMZ uses a comprehensive approach, whenever possible, in order to meet the range of challenges associated with disaster response. This approach includes measures along the entire cycle of disaster risk management: risk analysis, disaster prevention, structural disaster preparedness, resilient reconstruction/rehabilitation, risk mitigation and transfer of residual risk.

In addition to the risk posed by natural hazards, there are often other risks such as undernutrition or malnutrition and insecurity. **DRM is therefore part of a broader resilience approach that improves resilience to various risks**. This means that DRM measures are shaped in a way that helps not only

to reduce risks but also to achieve further tangible improvements (e.g. increased incomes, improved access to basic services, visible improvements to infrastructure). In fragile states which have very limited internal capacities and are exposed to periodic, structural disaster risks, the BMZ also contributes to structural reconstruction. Such efforts also take adaptation to future risks into account right from the start (building back better). For instance, with a view to limiting any future negative impacts from climate change, measures are adapted to make them climate smart and are complemented by additional measures for climate change adaptation. In fragile and conflict-struck states, conflict-sensitive DRM measures can also help to build peace.

Examples of measures are:

- Risk analyses: analysis of hazards/exposure, vulnerability and the capacities of society (including human rights situation).
- Prevention measures: constructional/technical (e.g. dams, protective walls) and normative/non-material measures (e.g. land use planning, building standards).
- Activities for structural and systemic preparation for disasters: e.g. strengthening the capacities of emergency services and hospitals, early warning systems, legal frameworks, contingency plans, setting up local DRM committees, and raising awareness and strengthening the capacities of the population through school lessons, radio programmes and information events.
- Using financing solutions to transfer residual risks, e.g. insurance, risk funds.

5.4 PEACEFUL AND INCLUSIVE COMMUNITIES

Rebuilding societies also means promoting peaceful and inclusive communities. That is why many TDA measures combine the rehabilitation of infrastructure and basic services with the promotion of **measures aimed at fostering peaceful coexistence, social cohesion or peacebuilding.** This may also mean, depending on the situation, reconstituting society at the local level and integrating new groups, e.g. internally displaced persons, refugees, returnees, etc. (“building back better”). Here, the BMZ takes into consideration the findings of the **World Bank study “Building for Peace”.** The aim is to **strengthen the population and local structures so as to resolve conflicts peacefully at the local level and close to the target groups, thus preventing new conflicts from arising.**

Local conflicts can fuel or even trigger violent national conflicts. And whilst political solutions to intrastate conflicts are usually developed at the national level, such solutions – e.g. returning land or reconciliation processes – are mainly implemented at the local level. **That is why TDA primarily targets the local level.** This also entails strengthening equal access to natural resources (e.g. water) and services and enhancing participation opportunities for all population groups, with a view, for example, to avoiding conflicts over resources and promoting social cohesion.

Through its new field of action “Peaceful and inclusive communities”, TDA makes a concrete contribution to the BMZ’s **core area “peaceful and inclusive societies”.**

Generally speaking, the transitional development assistance provided by the BMZ in this field of action must comply with certain minimum standards: peacebuilding measures must be clearly identified as elements of a secondary or principle objective in accordance with the BMZ strategy paper “Development for Peace and Security” and the follow-up strategy on the core area “Peaceful and inclusive societies”.

Examples of measures are:

- Capacity building – enhancing the capacity of civil society and governmental structures to contribute to non-violent conflict transformation.
- Promoting social cohesion and overcoming discriminating and violence-related stereotypical roles and social norms that condone violence, by establishing or strengthening dialogue forums, women's groups, youth committees, etc.
- Mainstreaming peace education, non-violent conflict transformation, etc. within the education sector.
- Measures to prevent sexualised and gender-based violence.
- Strengthening the active participation of all population groups – also with a special emphasis on involving vulnerable groups – in elections and local peace and reconciliation processes, for example.
- Promoting equal and gender-sensitive access to (natural) resources and public services by different groups who are in conflict with each other.

6 How does TDA contribute to crisis management?

When working in contexts of crisis, which are as a general rule extremely dynamic and volatile, it is not just what is done but also how it is done that matters.

In each context, TDA is never an isolated effort but part of the overall development cooperation approach and of the coordinated approach by the German government. It is important, therefore, to define right from the beginning **the strategic contribution that TDA can make** as part of a holistic approach, e.g. in what region, in what sector and with which implementing partner it is to be delivered. The BMZ defines this strategic direction anew for the countries receiving TDA before each commitment year. Orientation for the BMZ's TDA comes from the needs outlined in international aid plans, existing country strategies of the German government, a joint analysis and coordinated planning by the BMZ and the Federal Foreign Office, and an assessment of preceding interventions. The BMZ shares the strategic framework with its implementing partners so as to provide guidance for future interventions.

The BMZ's implementing partners are invited to submit proposals for TDA projects based on the strategic guidelines. The projects are required to take into account the new quality criteria introduced with "BMZ 2030". In addition, the **standards outlined in this document are binding** and all implementing partners must comply with them when designing and delivering TDA projects.

a) Focus on strengthening resilience: All applications for new projects should state clearly what target group and/or institution is to be strengthened with a view to supporting crisis management, what risks and hazards these groups/institutions are exposed to, what capacities need to be strengthened in which sectors in order to increase resilience, the time period and which activities will be pursued. Such a **resilience analysis** is always the starting point when designing

a TDA project. The analysis produces clear goals and impacts for building resilience, which need to be reflected in the results matrix. When designing and supporting projects, implementing partners should make more use of the lessons learnt from impact evaluations or behavioural science approaches.

b) Nexus implementation: The BMZ's TDA is the bridge that links all three dimensions of the Humanitarian-Development-Peace Nexus of development cooperation. All applications for TDA projects should describe how the new project relates to the three dimensions.

→ **Humanitarian assistance:** How does the project tie in with humanitarian assistance interventions? "Collective outcomes" (common goals for humanitarian assistance and development cooperation), e.g. from UN aid plans, can provide guidance in this respect. The BMZ specifically promotes project and programme planning that is compatible with the nexus approach, i.e. combining different approaches so as to ensure that funds are used effectively and efficiently and the quality of implementation is improved. The BMZ coordinates nexus-compatible projects, e.g. projects by NGOs, with the Federal Foreign Office.

→ **Other development cooperation measures:** TDA projects always focus on structure building. Structure building measures are a starting point for other, longer-term development cooperation projects. If thematic priority areas or core areas of bilateral development cooperation have already been agreed with the partner government and if it makes sense from a strategic perspective, TDA should link up with these areas.

→ **Peacebuilding:** In volatile crises, the sustainability of projects that focus exclusively on, for example, reconstruction/rehabilitation cannot be ensured if they do not include and take into

account the social context where these measures take place. In violent conflicts, in particular, it is therefore essential to have peacebuilding measures and measures to promote social cohesion that are being implemented within the overall framework of the project.

A new format: joint nexus projects by the Federal Foreign Office and the BMZ

In Lebanon, Medico International has been working since 2019 on two parallel projects funded by the Foreign Office and the BMZ that combine humanitarian assistance and TDA, and are geared towards a collective outcome. As part of the humanitarian assistance, medical care is being provided, lab analyses are being carried out and training in nutrition, immunisation and hygiene is being provided. TDA activities in the form of advisory services and treatment for reproductive health while strengthening the capacities and quality of six health centres are complementing these efforts. Because of the inter-ministerial coordination and the breadth of the measures, it is possible to reach more people and strengthen their resilience to future crises than if the two ministries were organising their measures individually. The measures are improving the health situation of 59,400 Syrian refugees and 16,900 vulnerable Lebanese citizens.



c) **Exit strategy:** As TDA measures are carried out over a limited period of time, it is important to define clear and sustainable goals for each project and draft an exit strategy when first designing the project. The people affected, local actors, implementing partners and other development actors and projects are included in this process. The following exit scenarios are possible:

- Goal achievement: the most important option is to exit having achieved the goal of making the affected people and local structures permanently more resilient through the TDA intervention.
- Handing over activities to local state structures or national partner organisations.
- Transitioning activities into other German development cooperation projects if they fit the portfolio or into other donors' development cooperation programmes.

d) **Peace and Conflict Analysis (PCA):** Continuous monitoring, ongoing reflection on implementation risks and taking the “do no harm” principle into account are essential so as to rule out possible negative impacts and introduce conflict-reducing measures. It is also necessary to avoid a situation where the measures are at variance with political conflict resolution processes, e.g. through the choice of local partners. In countries with potential for conflict escalation in particular, the provisions and procedures of the **BMZ strategy paper “Development for Peace and Security”** and the **follow-up strategy on the core area “Peaceful and inclusive societies”** apply. The aim is to act in a manner that is conflict-sensitive, is risk-aware, and minimises risks and builds peace. In countries with higher or acute potential for conflict escalation, a **Peace and Conflict Analysis (PCA)** must be carried out for each project, and it must be possible for projects in this context to **have a peace and security 1 marker**⁵ as a minimum. Exceptions are permissible in duly substantiated cases. In conflict contexts use should be made of political and economic analyses.

e) **Including the most vulnerable groups and taking account of gender aspects:** Since people of different gender, age and sexual orientation and people with and without disabilities are affected differently by crises, their respective prospects, potentials and needs must be taken into account from the start. One focus here is also on people who are affected by multiple discriminations, who not only face a lack of gender equality but are confronted by other forms of discrimination as well. For example, when they are members of an ethnic minority, are living with disabilities or their homes are in particularly remote areas. For the BMZ to decide to provide TDA, a thorough **gender analysis** which forms the basis for a new project must be carried out and the planned project must be awarded **at least a gender equality 1 marker**.⁶ Exceptions are permissible in duly substantiated cases. Hence TDA helps, among other things, to achieve the goals of the **second national plan of action for the implementation of UN Resolution 1325**.

f) **OECD-DAC standards:** TDA measures are planned and implemented in compliance with the international standards and principles of development cooperation as laid down by the OECD Development Assistance Committee (DAC). This includes

ensuring the relevance and appropriateness of the measures by means of needs and intervention analyses, and also demonstrating **effectiveness, efficiency, development impacts, sustainability, coherence and complementarity**.

g) **Observance of EU/UN sanctions regulations:** In conflict contexts, too, implementation partners are still required to observe any EU/UN sanctions regulations that may be in place when transferring funds to beneficiaries.

Also important for the BMZ is that more use be made of **innovative technologies, approaches and methods** in TDA. The intention is to ensure, working with implementation partners, that projects in crisis contexts are made even more effective, efficient and relevant. For example, by using 3-D printing it is possible to provide spare parts and medical equipment quickly and efficiently on the spot. Using this technology is also a way to offer young people interesting training and job prospects adapted to the local situation. Besides the use of technology solutions, other innovations are new organisational approaches, the further development of internal processes and the transfer of existing approaches to new contexts. **The BMZ will support the establishment of a network for exchange on innovation.**

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Footnotes

1 Federal Foreign Office (2019): Federal Foreign Office Strategy for Humanitarian Assistance Abroad

2 World Bank (2011): World Development Report 2011 “Conflict, Security, and Development”, and World Bank (2019): Lifelines: The Resilient Infrastructure Opportunity

3 BMZ (2020): BMZ 2030 reform strategy

4 OECD (2014): Guidelines for resilience systems analysis

5 **Peace and security 1 marker:** Peace and security are an important subordinate goal (partial aspect of the programme or module goal, output), but not one of the main reasons for implementing the project. Corresponding measures contribute towards overcoming the causes of conflict, fragility and violence, improving abilities to deal non-violently with conflicts, and creating the conditions for peaceful and inclusive development. **Peace and security 2 marker:** Peace and security are a goal (anticipated long-term impact, programme and/or module level) of the project, i.e. are crucial for its implementation.

6 The **gender equality marker** indicates the extent to which a project contributes to the **goal** of promoting gender equality and women’s rights or reducing discrimination and gender inequalities. A **gender equality 1 marker** indicates that gender equality is an important **secondary goal** of the measure concerned. For a project to be awarded a **gender equality 1 marker** the **minimum requirement** is the presence of **indicators disaggregated by gender. They should be underpinned by concrete gender-sensitive measures.** A **gender equality 2 marker** means that gender equality is the main goal of the measure, i.e. it is crucial for implementation.

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