Facilitating Community-Led Disaster Risk Management

CRS
CATHOLIC RELIEF SERVICES

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Acronyms

AGRHIMET	Centre Regional de Formation et d'Application en Agrométéorologie et Hydrologie Opérationnelle
CAFOD	Catholic Agency For Overseas Development
CRS	Catholic Relief Services
CBO	community-based organization
CFW	cash for work
CHS	Core Humanitarian Standard
CI	Caritas Internationalis
CILSS	Comité permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel
CLDRM	community-led disaster risk management
CRS	Catholic Relief Services
CSO	civil society organization
DGPC	Direction Générale de la Protection Civile
DRM	disaster risk management
DRR	disaster risk reduction
EWS	early warning system
FEWS-NET	Famine Early Warning Systems Network
FGD	focus group discussion
GPS	global positioning system
HOA	homeowners' association
HOCAI	Holistic Organizational Capacity Assessment Instrument
INGO	international nongovernmental organization
KII	key informant interview
KMSS	Karuna Myanmar Social Services
MEAL	monitoring, evaluation, accountability and learning
NCPDP	National Centre for People's Action in Disaster Preparedness
NGO	nongovernmental organization
NOAA	National Oceanic and Atmospheric Administration
NRM	natural resource management
PILAR	Pacific Innovation & Leadership Award for Resilience
PWD	people with disabilities
RWSS	Rural Water Supply and Sanitation Services
UNISDR	United Nations International Strategy for Disaster Reduction
SILC	Savings and Internal Lending Communities
SMS	short message service
SWAD	Society for Welfare, Animation and Development
ULCBP	Unité de Construction de Logements et de Bâtiments Publics
UNISDR	United Nations Office for Disaster Risk Reduction
USGS	United States Geological Survey
WASH	water, sanitation and hygiene
WCDRR	World Conference on Disaster Risk Reduction

Contents

Contents

Community members of all ages help map their village in Bangladesh in preparation for creating a disaster risk action plan. *Photo by CRS staff*

Preface

The *Guide to Facilitating Community-Led Disaster Risk Management* is the result of a joint initiative between Catholic Relief Services, the Catholic Agency For Overseas Development (CAFOD) and Caritas Australia. The three organizations have worked in close collaboration—known internally as the DRR and Resilience Coordination Group—since 2015, to strengthen staff capacity and that of their local partners to engage communities in building their resilience to future disasters, and to generate learning and resources for their organizations, partner organizations and other Caritas Internationalis members.

This guide draws on previous guides produced by CRS and CAFOD—CRS' *Community based disaster preparedness: A how-to guide* (2009) and CAFOD's *Disaster risk reduction guidelines: DRR working group publication* (2012)—that have been used by practitioners worldwide. The revised guide has either retained or modified the useful information and features of the two previous guides. It also incorporates learning and feedback from hundreds of communities in which the guides have been used, as well as from community-level facilitators and other implementing agency staff who have used the guides in their own programming contexts. One of the most important points raised by users was the need for a greater focus on strengthening community leadership and participation mechanisms in the disaster risk management planning process, including the practical steps, tools and resources that are vital for success. Other suggestions were to integrate climate change adaptation; include all types of hazards in both rural and urban contexts; and include household-level and community actions. The new elements of this revised guide include:

- Full recognition of challenges related to climate change and climate change adaptation as issues that are integral to disaster risk analysis and management.
- Greater emphasis on community leadership, which requires a supportive and facilitative role by implementing agencies, and a greater emphasis on government involvement, where applicable.
- Specific mechanisms to ensure that the community-led disaster risk management (CLDRM) process is inclusive of and accountable to all community members.
- More attention to disaster risk management actions required at the household level, not just the community level.
- Examples from all regions of CLDRM in practice, from rural to urban and peri-urban, to coastal and small island contexts.
- Attention to a wide range of slow- and rapid-onset hazards including migration and conflict.
- Use of appropriate technology, where applicable and feasible.

This guide incorporates learning and feedback from hundreds of communities in which the guides have been used, as well as from community-level facilitators and other implementing agency staff who have used the guides in their own programming contexts.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Introduction

Disaster risk is increasing. Pressures on our climate and natural resources continue to grow. Climate change is increasing the risk of heavy rains, strong storms, rising sea levels, higher temperatures and extreme droughts. Unplanned urbanization is forcing the poorest and most vulnerable to live in hazardous locations. Environmental degradation is exacerbating existing risk and creating new risk.

The need for effective disaster risk management is greater than ever and demands a change in the way we work. As agreed in the *Sendai framework for disaster risk reduction 2015-2030*, we must go beyond preparedness and response, so that people do not remain in a vicious cycle of poverty and disaster. We must be inclusive and prioritize the needs of the most vulnerable. We must empower communities to plan and drive change, and reinforce governments' responsibility to provide their people with a protective and enabling environment. And, we must do all we can to promote sustainability, from the social, environmental and funding perspectives.

This guide will support you as you promote a community-led, inclusive and accountable approach to managing disaster risk, whether you are working on a development program, a disaster recovery intervention or on a specific disaster risk management project. Its step-by-step instructions, examples, tips and lessons learned by experienced community mobilizers and facilitators are relevant for both urban <u>and</u> rural communities, and to addressing risks created by slow- and rapid-onset hazards.

The guide starts by outlining the **principles** of community-led DRM, namely leadership by the community, inclusion and accountability. Three **stages** follow, each comprised of a number participatory **processes**, as shown in *Figure 1: Stages and processes in community-led disaster risk management*.

Stage 1 describes how to decide where to work, how to set up a system to engage all groups in the selected communities, and how to involve all relevant stakeholders, from local authorities to NGOS and private entities. It also helps you to set up the **participation mechanism** that will ensure that the DRM planning and implementation is indeed inclusive and accountable.

Stage 2 guides you through facilitation of the **community risk-assessment process**, to the point where the community is able to decide which risks to address as a matter of priority, and to explore options for reducing and managing them.

Stage 3 enables you to support the community to identify and agree on the most feasible and appropriate solutions that will help them to reduce their disaster risks, and to develop a **plan of action** that they can implement and monitor at both the community and household levels.

> We must empower communities to plan and drive change, and reinforce governments' responsibility to provide their people with a protective and enabling environment.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

At the back of the guide you will find a **resources** section containing additional information, checklists, templates, sample materials and further reading to support you through each of the 10 processes.

A **Resource A** provides an overview of all the stages and processes in this guide.

You can either use the guide from start to finish, or adapt it to the community's needs and the dynamics of an ongoing or new program. For example, if a participatory risk analysis has already been carried out, you may wish to deepen understanding of the problem and possible solutions using *Process 7*, or proceed to *Stage 3*. In both cases you will need to recruit, develop and support excellent facilitators.

B **Resource B** provides guidance for managers on recruiting facilitators with the right skills for CLDRM.

C **Resource C** provides guidance from experienced CLDRM facilitators on good facilitation practices.

Interaction with the DRR and resilience quality management teams and technical advisors of the implementing agency is necessary at all stages and, in all situations, is vital to ensuring the approach is community-led, inclusive of the most vulnerable and promotes accountability.

Use the guide from start to finish, or select the parts that best meet the needs of your work in communities.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Figure 1: Stages and processes in community-led disaster risk management

STAGE 1 ENGAGE

- **P1** PROCESS 1: BUILD INCLUSIVE FOUNDATIONS FOR CLDRM
- **P2** PROCESS 2: REACH OUT FOR BUY-IN

STAGE 2 ASSESS RISK

- **P3** PROCESS 3: UNDERSTAND CYCLES AND TRENDS
- **P4** PROCESS 4: UNDERSTAND OUR PAST, PRESENT AND FUTURE
- **P5** PROCESS 5: UNDERSTAND THE GEOGRAPHY OF RISK
- **P6** PROCESS 6: PRIORITIZE COMMUNITY CHALLENGES

STAGE 3 DEVELOP AND TRACK AN ACTION PLAN

- **P7** PROCESS 7: DEEPEN UNDERSTANDING OF CHALLENGES
- **P8** PROCESS 8: AGREE ON SOLUTIONS
- **P9** PROCESS 9: DEVELOP A CLDRM ACTION PLAN
- **P10** PROCESS 10: TRACK PROGRESS TO LEARN

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Principles of Community-Led Disaster Risk Management

In this section, you will find the principles that underpin our approach to community-led disaster risk management. These are:

1. Inclusion of all social groups in the community
2. Leadership of the process by the community
3. Promotion of accountability by all involved

These principles not only reflect our commitment to humanitarian values and priorities; we know from experience that they also generate impacts beyond risk reduction. The approach leads to a process and results that are owned by the community and that are likely to be sustained and contribute to equality and equity.

These principles generate impacts beyond risk reduction.

PRINCIPLE 1: INCLUSION OF ALL SOCIAL GROUPS IN THE COMMUNITY

By "inclusion" in community-led DRM, we mean equitable access by all members of a community—regardless of their social group—to information, resources and decision-making opportunities about how to strengthen their resilience.

In practice, this means ensuring that the most marginalized and vulnerable are fully involved, either through direct participation or accountable representation, because the same barriers that cause their marginalization and vulnerability in society may stand in the way of their participation in DRM. These barriers may range from not knowing that the process is happening, or not feeling welcome due to exclusion from community governance structures, to not being able to afford to take time out from their livelihood activities, or not being physically able to attend meetings.

In every society, there are power dynamics, and groups that may experience exclusion, making them more vulnerable to hazards and other threats. However, when all social groups are included, there are clear benefits for the individual, the household and the entire community.

D **Resource D** summarizes how the exclusion or inclusion of frequently marginalized social groups affects disaster risk.

Throughout this guide you will find guidance on how to ensure the involvement of people from all social groups. When we enquire about vulnerable and marginalized groups, and demonstrate an inclusive approach to facilitate their participation in the process, we are encouraging attitudes and actions that will ensure that DRM benefits the most vulnerable and lays the foundation for greater inclusion in other aspects of community life.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

PRINCIPLE 2: LEADERSHIP BY THE COMMUNITY

The men, women and children in communities that frequently experience disasters should be the ones who decide what changes, if any, to make in their community, households and lives, to reduce disaster risk.

Our approach, when facilitating any process in the community, should be to listen, learn and support the community members to achieve the changes *they* want. We respect the community members' knowledge, culture and preferences, and enable them to take the lead rather than trying to direct the action ourselves. This means encouraging the community members who are willing to manage the activities and processes described in this guide, and providing our inputs sensitively and flexibly, to help them develop their own capacities. It also means sharing successful DRM practices from other communities to stimulate discussion and innovation.

Throughout this guide you will find guidance such as "explain", "ask", "encourage" and "support", because our role is to enable and empower with knowledge, skills and tools, not to lecture or control. Even the term "explain" can be empowering if you ask the participant to suggest an explanation, rather than reinforcing your role as "expert". Often, they will explain in terms even easier for other participants to relate to. The information, analysis and decisions must be the community's, not ours. By taking this approach, you will facilitate a community-led process and sustainable change, not just a community-based project that ends when the funding source ends.

PRINCIPLE 3: PROMOTION OF ACCOUNTABILITY BY ALL INVOLVED

Accountability means upholding the responsibilities and commitments we have to each other, whether they are moral or legal or both.

In community-led disaster risk management, we aim to fulfil our commitment to being transparent and responsive to the community, and seeking their opinions and contributions through a formal system. We follow accountability standards: the Sphere Humanitarian Charter and Minimum Standards for Disaster Response, and the Core Humanitarian Standard. In doing so we embrace our responsibility to include the most vulnerable and marginalized members of the community in all phases of CLDRM, and we help ensure that the community commits to being transparent, accountable and inclusive.

We also understand that the State has the primary responsibility to protect and assist its people, so we respect and facilitate the relationship between the community and their government.

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1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

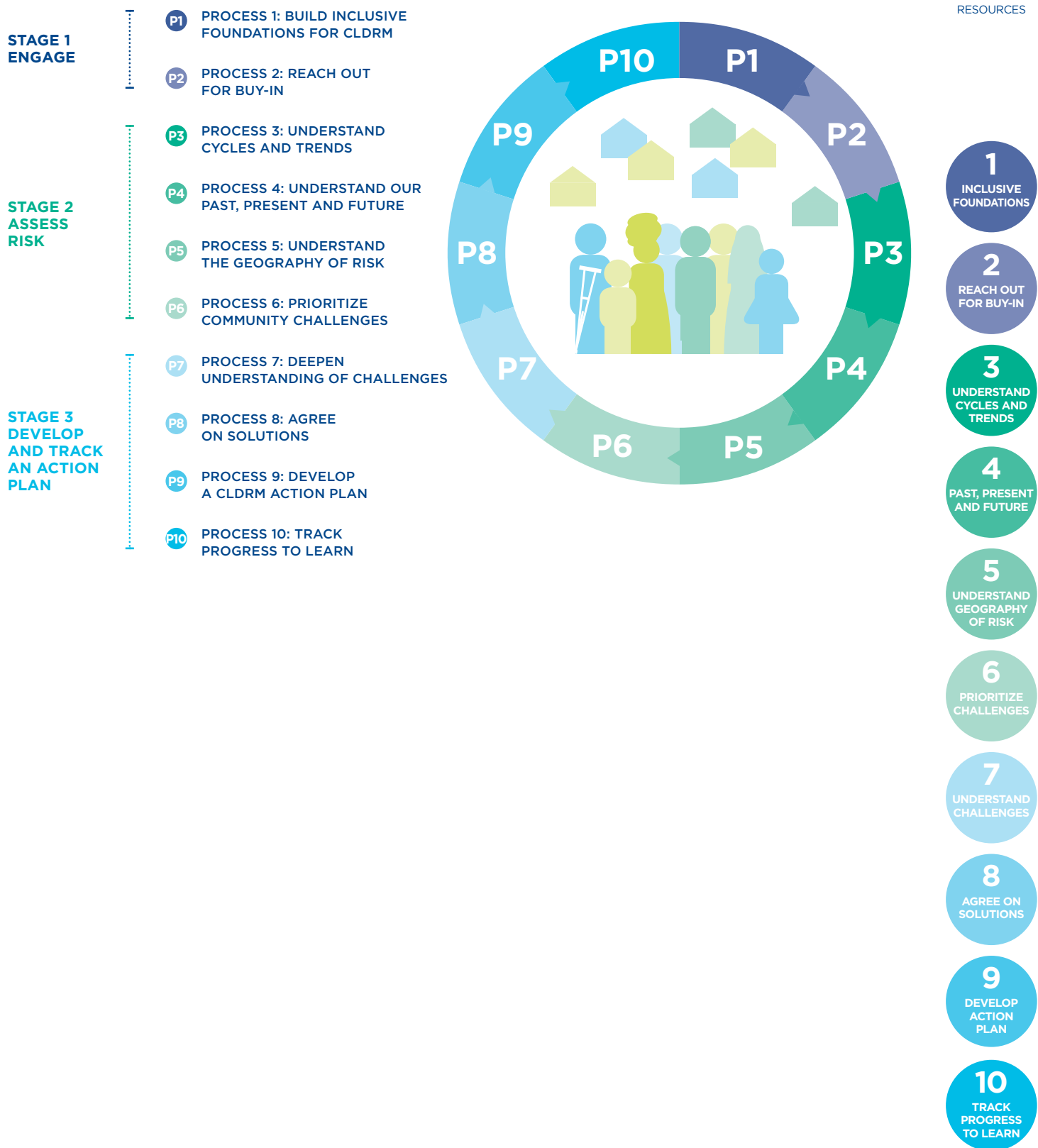**5** UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

In the steps and facilitation tips for all the processes, you will find ways to put our commitment to accountability into practice.

E   **Resource E** has a checklist you can use to help ensure you are putting into practice the principles of community-led, inclusive and accountable DRM.

S   **Resource S** contains a list of selected documents, including tools, frameworks, manuals and other literature—from internal and external sources—that provide more information and guidance on some of the topics covered in this guide.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Inclusion of all community members in DRM cash-for-work activities

When Cyclone Sidr caused extensive storm damage to the crops and fishing boats of about 45,000 people in coastal communities of Patuakhali District, Bangladesh, in 2007, Caritas obtained funding for a cash-for-work livelihoods restoration project. The community decided that the project should focus on reconstructing and raising damaged embankments and roads, and constructing a ring dam to protect against regular high tides and tidal surges.

The community leaders organized the cash-for-work activities in ways that enabled everyone to benefit from the project, including those with specific needs. They identified damaged roads that were closer to the community, and included on-site childcare facilities to enable nursing mothers and those with young children to participate. The elderly were offered service jobs such as providing drinking water to the workers, and people with limited mobility were offered tasks such as soil compaction. The leaders agreed with Caritas Bangladesh that men and women would be paid the same, instead of calculating wages in relation to the amount of soil moved, thus valuing all tasks equally.

The community leaders organized the cash-for-work activities in ways that enabled everyone to benefit from the project, including those with specific needs.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Setting up the participation mechanism through clusters in a diverse community

Caritas Bangladesh implemented the disaster risk reduction project Amra-O-Pari (We too can!) between 2011 and 2013, in the coastal area of Kalapara, Patuakhali District, which had been repeatedly affected by cyclones and flooding, including Cyclone Sidr in 2007. After presenting the community-led disaster risk management initiative to the community leaders, local authorities and other key stakeholders in the project location, Caritas Bangladesh facilitators for the project (one man and one woman) organized community-level meetings. They publicized the times and locations of the meetings as widely as possible by distributing leaflets and announcing them in the streets using a megaphone. Thanks to these efforts, more than half of the adults in the community attended at least one of the launch meetings.

At the start of the CLDRM planning, the community members agreed to organize themselves into clusters of about 50 households each. These were defined by location: the fishing community lived close to the sea, and therefore formed one cluster, and those on each side of the canal that cut through the community formed separate clusters. As the clusters were quite far from each other, the facilitators carried out each process separately for each cluster, and then brought the results together in consensus meetings. If there were any contradictions or important differences, they were responsible for ensuring that each cluster had the opportunity to explain its position, and to ask and answer questions until they understood each other better and could reach agreement.

Within each cluster, one or more people agreed to be responsible for ensuring that all members of all households could participate in the processes. They organized subgroup meetings for men and women, helped people with disabilities to attend or to contribute via representatives, and publicly communicated the results of each meeting to the whole cluster.

In this way, the community was able to draw up a community-led disaster risk management plan that combined the inputs, priorities and solutions of the majority of households from all clusters.

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1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

VIETNAM

Accountable government in early warning and evacuation for storms and floods

Coastal communities of Quang Nam Province in Vietnam were accustomed to periodic storms and flooding, but water levels were rising faster than in the past, partly because a recently built dam and hydroelectric power plants upstream released water during heavy rains.

Through their participation in disaster preparedness training held by CRS, the National Centre for People's Action in Disaster Preparedness (NCPDP) and the local authorities were aware of their responsibility to reduce disaster risk. They invited CRS to work with them and the communities to develop an appropriate early warning system and evacuation procedures. The NCPDP used rainfall data and discharge information from the dam and hydropower plant to develop flood scenarios for which early warnings would be broadcast. The community and local authorities, with support from CRS, used participatory processes to identify the households most at risk in each scenario, and possible evacuation routes and sites. These inputs were combined to develop a map and an evacuation plan for 34 communities.

The planning process encouraged all stakeholders to discuss the scenarios for the first time and agree on how they should respond to each alert level. Government-run drills enabled the community to practice evacuations and identify the need for additional support for elderly people and those with disabilities.

The maps and evacuation plans were displayed in public places in all at-risk villages of the five communes of Thang Binh and Dien Ban districts. The maps were used and then updated by all stakeholders after each flood event. Villages then conducted drills to help households practice following evacuation routes and procedures.

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1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

COMMUNITY-LED DISASTER RISK MANAGEMENT IN PRACTICE

Child-centered disaster risk management through songs and games

During participatory risk assessments in the Solomon Islands, community representatives identified a wide range of hazards that affected their communities, including cyclones, floods, earthquakes and tsunamis. With support from Caritas facilitators, they analyzed ways in which men, women and children were vulnerable to the hazards, and decided that reducing risk to their children's lives was a priority.

Further consultation with children, parents, teachers, people of all ages in the communities, and the National Disaster Management Office helped the community to develop the idea of making disaster risk reduction fun and educational for children. For kindergarten and primary school students, they adapted traditional nursery rhymes and playground games to incorporate life-saving messages about what to do during an emergency. With funding from Caritas Australia, the rhymes and games were made into a teachers' handbook called *Singing our way to safety*.

The resources were improved and expanded through use by more than 1,000 children, teachers and leaders, and the project received the United Nations Office of Disaster Risk Reduction (UNISDR) inaugural Pacific Innovation & Leadership Award for Resilience (PILAR) to ensure the program continues to grow.

The community adapted traditional nursery rhymes and playground games to incorporate life-saving messages about what to do during an emergency.

A teacher helps her class write a rhyme with a life-saving evacuation message to help them remember what to do in case of a disaster.
Photo courtesy of Richard Wainwright/Caritas Australia

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Stage 1: Engage

This section provides guidance for the process of engaging community members, households and other stakeholders. It explains how to decide which communities to work with, when to start CLDRM activities, and how to facilitate coordination between and among the communities, government authorities, civil society organizations and private sector actors. Facilitating the engagement of all key stakeholders early and often in the process is key to the success and sustainability of disaster risk management in the community.

WHAT YOU SHOULD KNOW
Deciding which community to work with

Deciding where to support CLDRM requires a process of analysis and dialogue. Knowledge of disaster occurrence, climate change and vulnerability, existing programs being implemented by any of the agencies, and the longstanding presence of our partners will guide you to certain regions and locations. Once you have identified the communities where the risk of disaster and climate change impacts are highest, the process of consultation and dialogue with them can begin. The importance of an open discussion should not be underestimated, as this is a decision to be made by all parties. Communities that you are considering working with, and the households within them, should be willing to invest time in the process and be motivated to make changes to the practices that are putting them at risk. They should also know what you are offering to commit in terms of resources, facilitation and accompaniment, as well as what commitments they will need to make during the project and in the future for successful DRM. Above all, they should understand that your focus will be on directly assisting the most vulnerable, as defined by the community members themselves.

You also need to consult local (and possibly regional) government, scientists, other organizations, and private sector actors in the area. They often have valuable local knowledge and may be able to contribute technical and financial resources. In the case of government bodies, you may need to request their permission to undertake some program activities, and they may be able to incorporate the community's CLDRM action plan into local and regional development plans, which would help sustain and further the initiative's impact.

Security conditions for the CLDRM process and potential project should always be considered. By taking a "*do no harm*" approach, we help ensure that we never knowingly put a community or our staff at risk through our activities or presence.

The importance of an open discussion should not be underestimated.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Deciding when to start CLDRM activities

Successful community-led disaster risk management depends on the community members' awareness of the risks they face and their motivation to manage and reduce them. After a disaster, communities and local authorities are acutely aware of the losses disasters cause, and do not want to suffer again. For this reason, when initial humanitarian needs have been met and people are focused on recovery, it is an ideal time to begin CLDRM. It is also a period during which funding opportunities tend to be greater.

However, we should not wait until a disaster happens to start CLDRM. Usually people living in disaster-prone areas are very interested in protecting themselves from disaster losses. In this context, CLDRM is highly relevant, either for a standalone DRR project or within an ongoing development program. The processes described below provide tips for pre- and post-disaster settings.

> When initial humanitarian needs have been met and people are focused on recovery, it is an ideal time to begin CLDRM.

How to facilitate the process of engaging the community and all stakeholders

After we have conducted our own assessment of the need and opportunities for community-led disaster risk management and the operational environment and partnership options, and we have good indications that funding will be made available for such a project, it is a good time to talk to one or more communities about our interest in working with them. Be positive but realistic, and make it clear that you will answer as many questions as they may have, emphasizing that we cannot promise anything until funding is approved. The leaders may have to carry out internal consultations with all the community members or specific structures before deciding to participate, so allow time for this and be prepared to go back for further discussions. Be aware of power dynamics in the community and make sure that all sectors of the community—women; men; people of different ethnicities, religions and political affiliations; and livelihoods groups, etc.— have been involved in making the decision and support it.

> Be positive but realistic, and make it clear that you will answer as many questions as the community may have, emphasizing that we cannot promise anything until funding is approved.

Once the decision has been made to work together, the project launch should be an opportunity to engage as many community members as possible. **P1** *Process 1: Build inclusive foundations for community-led disaster risk management* provides guidance on how to do this.

For the community to lead the process of engaging other stakeholders in the process, it will need to decide which organizations are most relevant and attempt to get their buy-in.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

P2 *Process 2: Reach out for buy-in* provides guidance on how to do this. The results of this process will be used throughout the project to inform decisions about which entities to invite to participate in activities, which to approach for technical or financial support, and which to simply keep informed. They may also highlight new opportunities for partnership with, for example, local government or a local NGO, which would contribute to the sustainability of DRM in the community.

S **Resource S** *Reference documents* offers further sources of guidance on issues related to engaging communities.

The community will need to decide which organizations are most relevant and attempt to get their buy-in.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

CONTENTS

RESOURCES
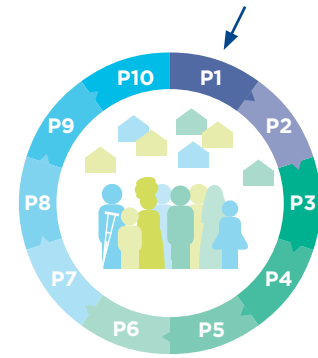
P1 PROCESS 1
Build inclusive foundations for community-led disaster risk management

Estimated time

Preparation: Half-day
Engagement with govt: Half-day
Community meeting: Half-day
Orientation and planning with core group: Half-day

Materials

Prepare introductory materials on the CLDRM initiative, including a poster with graphics and a short, written brief. These should explain why the initiative is happening, what it involves, who will take part, what it will lead to, and for how long the implementing agency and its partners will support it.

Objective

To promote inclusive, transparent and sustainable CLDRM planning and implementation.

Description

All sectors and groups in the community that should have a voice in CLDRM are informed about the initiative and encouraged to participate. They decide on a core group to represent them in CLDRM processes and how to ensure continued community-wide participation. The core group commits to working with the whole community. Government authorities are also encouraged to engage with the initiative.

Product

This process results in the creation of a **participation mechanism** and agreement on roles, responsibilities and conduct.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Steps

- **Introduce the CLDRM initiative.** With the community leaders and representatives met during initial discussions, make the whole community aware of the initiative. Use community meetings, events, public notice boards, community radio, civil and religious networks, and house-to-house visits to explain the planning and implementation process.

- **Inform and engage government authorities.** With community leaders, contact local authorities to explain the initiative. Use **G** *Resource G: How to introduce your organization* to request, plan and hold the meeting, and to develop a short summary document to give to the government authorities. Invite them to select a representative(s) to participate in planning and implementation meetings, and agree how to keep them informed of progress.

Use community meetings, events, public notice boards, community radio, civil and religious networks, and house-to-house visits to explain the planning and implementation process.

- **Launch the initiative in the community and for all local stakeholders** at an open meeting, or series of meetings with smaller groups, such as for men and women separately. Explain why the initiative is happening, who will be involved, and what it will lead to. Explain that the initiative will involve a series of meetings and activities, facilitated by the implementing agency and/or its partners, some of which will be for the whole community and some for a core group who will lead the planning and implementation. Make it clear that the sustainability of CLDRM will depend on the community members' interest and commitment, as the implementing agency's support will be for a limited time (specify how long).

- **Establish a system for inclusive participation.** Explain that the initiative will need a core group of people (not more than 20) to facilitate inclusive community-led DRM planning and implementation. This group should include men and women, younger and older people, and represent all groups within the community (such as livelihoods groups, ethnic groups, and blocks/clusters of households). It may include formal leaders and disaster management committee members, and it must also include vulnerable and/or marginalized groups in the community. Make very clear that the participants in the core group will be responsible for reaching out to each group in the community, engaging them in the processes and ensuring that they receive information and know-how to provide feedback. (See *Figure 2: Example participation mechanism*). Once sufficient and appropriate volunteers have come forward to establish the initial core group, thank them publicly for their commitment. Ask community members to encourage additional volunteers from under-represented groups to join the core group, either by coming to a meeting or contacting the implementing agency at any time.

Follow up with the core group:

- **Arrange and hold an orientation session** (or several, if needed) with the core group to ensure members understand that the initiative must involve the most vulnerable and marginalized members of their communities.

- **Agree on the participation mechanism** through which core group members will ensure that all households are involved in CLDRM planning and implementation. Each core group member should commit to engaging households in a geographic sector or other grouping (as appropriate to the context), ensuring that all households in the community are heard. Also, decide how to keep government authorities informed at all stages.

  H **Resource H** *Roles, responsibilities and conduct agreement* will help you develop agreed ways of working with the core group, which co-signs it.

- **Plan to meet.** Agree on a day, time and easily accessible location for the next meeting of the core group and other community members who are interested in participating. Invite government authorities to attend.

A youth committee in Jamaica. A lack of awareness of young people's valuable perspectives on risk can lead to them being overlooked in risk assessments and considerations of problems and solutions. *Photo by CRS staff*

Participants in the core group will be responsible for reaching out to each group in the community, engaging them in the processes.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

💡 Tips

- <u>Ensure representation within the core group is balanced and inclusive</u> (men and women, younger and older people, people with disabilities, people from different ethnic groups). Find practical ways for people with specific needs (such as mobility, childcare, etc.) to participate.

- <u>Encourage women's participation</u> by explaining that, when necessary, separate meetings will be held for men and women, and at times that suit women's schedules.

- <u>Acknowledge the core group members' role and commitment</u> by providing them with some basic supplies for their work (binder/notebook/clipboard, pens, etc.).

- <u>Use appropriate technology</u> Find out what means of communication are used by people of different ages, sexes and economic means, and put them to use to engage as widely as possible. For example, young people may prefer social media, so ask a young volunteer to take charge of project communication through social media.

- <u>In a large community</u>, core group members may be from neighborhoods or blocks that have little knowledge of each other. Allow time in the first meetings for them to get to know each other, and plan to help the members involve all households. You may need to set up a larger facilitation team.

- <u>In an urban setting</u>, CLDRM meetings and activities may only be possible on weekends, due to urban workers' commuting needs. You may need to plan for the initiative to take longer.

- <u>After a disaster</u>, nurture a sense of community by including all households, not just those most impacted by it. Their immediate priorities may differ, but all are likely to be interested in protecting themselves and the community from future disaster losses.

- <u>For a displaced or mobile community</u>, encourage engagement with the host community, communities through which they pass, and neighboring communities, whenever possible. This will help address risks faced by both communities and contribute to the fostering of good relations.

- <u>In an insecure context</u>, carefully consider the time and place of meetings, to avoid compromising people's safety.

> Encourage women's participation by explaining that, when necessary, separate meetings will be held for men and women, and at times that suit women's schedules.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Analysis: Key questions to guide community-centered analysis

- Does our core group adequately represent all the people living in our community (gender, age, ethnic group, people with disabilities, livelihoods groups)? If not, which groups are missing and how should we encourage their active participation?

- Did we discuss and finalize the roles, responsibilities and code of conduct of the core group? Are all members in agreement with this?

- Are all group members comfortable speaking in front of others? If not, how should we enable them to be heard?

- What venues and times of day are most convenient and safe for everyone to meet?

- Is everyone interested and available to participate in all the meetings and activities? If not, how will we ensure that the sector of the community they represent can participate? Are any people rotating their participation? (Rotation may occur if people are temporarily unable to attend because of work or other responsibilities.) If so, how can we ensure they come to meetings well-informed?

- Are government authorities informed and interested in participating? How can we encourage their continued involvement?

Which groups are missing and how should we encourage their active participation?

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Figure 2: Example participation mechanism

District Older People's Association (30 members) Rosalia, daily 8-5pm, at OPA center

People with Disabilities, district branch (9 members) Andrea, mobile phone number

District Women's Group (96 members) Agnes, 4th house, 1st Street, Sector C

Sector A (48 households) Alberto, mobile phone number

District Youth Club (50-100 members) Yennifer or Jairo Mobile phone numbers

DISTRICT COMMUNITY PARTICIPATION IN CLDRM

Sector B (70 households) Maria, mobile phone number

Community of people from the neighboring district who migrated into the district (28 households) Mira, mobile phone number

Sector C (62 households) Sam, mobile phone number

P10 P1 P2 P3 P4 P5 P6 P7 P8 P9

P2 PROCESS 2
Reach out for buy-in

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES
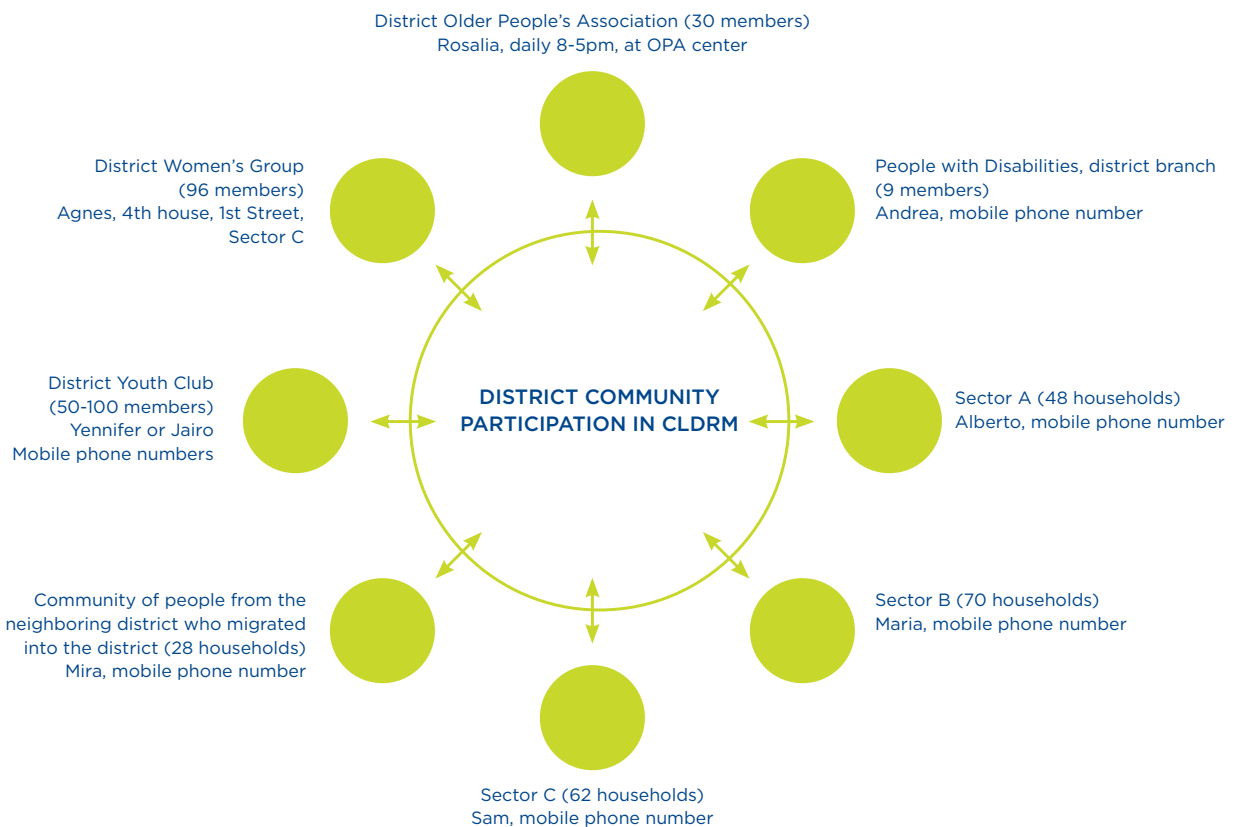
8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Estimated time

Preparation and meeting: Half-day

Materials

Prepare materials that are appropriate for the context. The diagram can be drawn on a large sheet of paper, a black or white board, or on the ground using natural markers such as stones and leaves where necessary.

Objective

To identify (or map) the institutions and organizations (including their roles and relationships with the community) that could contribute to disaster risk management in the community.

Description

The core group and other participants create a diagram to show how their community is organized, and their relationships with internal and external entities that may be able to contribute to CLDRM planning and implementation. The diagram typically consists of a large circle that represents the community, and smaller circles or other shapes inside and outside that indicate the organizations, institutions and groups based inside and outside the community. The relationship or connections between them are shown by arrows or lines.

Product

The product is a poster, chart or photo of the work area showing the community in the center and the organizations discussed all around it, with a clear legend, or key. It is sometimes called a **stakeholder or institutional map**.

Steps

- **Welcome all participants** and remind them of the purpose of the CLDRM initiative. Together, briefly review what was done at the last meeting, discuss feedback obtained through the participation mechanism, and adapt process accordingly.
- **Explain the purpose** of the meeting, and describe the activity and what you will produce together.
- **Draw a large circle to represent the community.** Explain that anything inside the circle is a group or organization that exists inside the community, and anything outside the circle are groups that exist outside the community.
- **Start inside the community.** Ask participants to think of groups, committees and associations (including religious, educational, health, governmental and nongovernmental organizations).
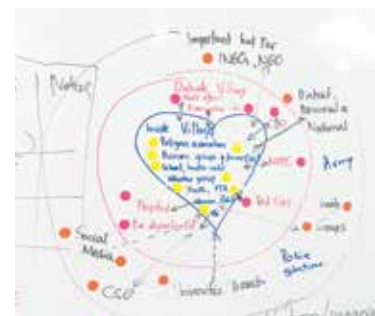
An example of institutional mapping in Bangkok, Thailand.
Photo by Marilise Turnbull for CRS

Encourage them to draw a symbol for each organization, placing them inside the circle, and to use different materials or shapes to indicate types of groups or influence (according to who is part of the group, or area of interest, etc.). Add a legend to explain the symbols used.

- **Think about outside the community.** Repeat the same process for organizations and institutions that affect life in the community but are outside it.
- **Discuss the picture** that you have created together, using the *key questions* for analysis (below).
- **Agree on how to engage the most relevant organizations and institutions** for CLDRM planning and implementation.
- **Save the image** (poster/chart/photo of workspace) so that the community can continue to refer to it. Display it in an accessible place in the community.
- **Remind core group members of their responsibility to share the results** of the meeting through the participation mechanism and provide feedback at the next meeting. Plan the next meeting.

Women conduct their own institutional mapping in Otapor village, Bamyan province, Afghanistan.
Photo by Fatima Hussain/CRS

💡 Tips

- <u>If necessary, hold separate meetings with men and women</u>, bringing the results together for analysis and agreement on next steps.
- <u>Encourage participants to think broadly</u>, to consider organizations or departments (e.g. from government ministries) whose work is related to DRM, such as agriculture, health, climate change, environment, etc.
- <u>Create a legend</u>. When organizations are placed on the chart, use color, shapes and symbols to describe their roles and relationships.
- <u>Strengthen existing relationships</u> by encouraging elders, formal leaders and those who know the institutions to become "bridges" between the community and local authorities for CLDRM.
- <u>In an urban setting</u>, there may be numerous organizations to map. If there are too many (for time, or space on a chart), invite smaller groups to work on subsets simultaneously, such as those that work on livelihoods or those that are related to early warning, and share back with the larger group.
- <u>After a disaster</u>, international organizations may be present, some temporarily, but possibly with funding for recovery and DRM. Guide the mapping and conversation so that both newer and more established organizations are included. If it is overlooked, remind the group about the official disaster management authority, and its responsibilities for DRR.
- <u>For a displaced or mobile community</u> who may not know the names of organizations, gather these from key informants (people who have first-hand knowledge of the community) prior to starting the process and share them with the group.
- <u>In an insecure context</u>, where illegal groups or groups that are a threat to the general community are present, follow the community's lead on how to portray these without putting anyone at risk. For example, it may be appropriate to include an image to represent them.
- <u>Technology</u> Use an appropriate ICT mechanism to conduct this process in the community.

> **Strengthen existing relationships by encouraging elders, formal leaders and those who know the institutions to become "bridges" between the community and local authorities.**

? Analysis: Key questions to guide community-centered analysis

- Which organizations have we identified both inside and outside of the community? Are they informal groups/formal entities/government/NGOs? How are they connected to the community and to each other?

- What are their priorities?

- What benefits do we (the community) get from these organizations/institutions/groups? Who benefits most and least?

- Which ones are the post powerful? What is their influence on the community?

- Which ones are most important for reducing disaster risk? How do we currently work with them?

- Are the organizations accessible to everyone? Which ones are not and why?

- Which organizations should we ask to directly participate in our CLDRM initiative?

- Who should meet with representatives of these organizations to ask them to join the initiative? Does any group member have contacts with them? If not, decide who and how best to approach them.

Example

Institutional mapping with locally available materials in Mali, West Africa. *Photo by Matt Sarsycki/CRS*

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

COMMUNITY-LED DISASTER RISK MANAGEMENT IN PRACTICE

Reaching out for support from a local association to reduce flooding

After floods in 2009, 2012 and 2013 that displaced thousands of families living in informal settlements along the Manggahan Floodway—an artificial waterway in Rizal province in the Philippines—CRS obtained funding to implement a multisectoral recovery and disaster risk recovery project in one of the worst-affected *barangays*, or districts, in the Taytay municipality.

When CRS and the community started the project with stakeholder mapping, it became clear that one of the most influential groups in the area was a homeowners' association with more than 1,000 members, including many of the families that the project was intended to benefit. The community decided to invite the administrators of the association to participate in all the project activities, to ensure that they were informed of plans to improve the *barangay*. They accepted and became regular participants in trainings, workshops and community cleanups.

The homeowners' association began to feel a sense of ownership over the project and played an increasingly active role in helping overcome challenges. For example, when the people living in a neighboring *barangay* declined to pay for refuse collection, the association convinced them that good sanitation in both *barangays* was vital for children's health and everyone's wellbeing.

As a result of the project, and with the commitment of the homeowners' association, about 75 percent of the homes in the community became active participants in waste segregation and recycling. This led to much cleaner community streets, drains and waterways, which reduced the incidence of flooding in the area.

> The homeowners' association began to feel a sense of ownership over the project and played an increasingly active role in helping overcome challenges.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Joint ventures in reforestation to reduce disaster and climate risk

Before starting work in the Belu district of West Timor, CRS and its local partner, the Social Economic Development Unit of the Diocese of Atambua, approached the local government to inform it of the project and to seek its help to identify the most vulnerable communities. Based on a field assessment and discussions with government agencies for social affairs, agriculture, food security, and disaster management, CRS and the Diocese selected the target communities for community-led disaster risk management.

This early engagement created a good working relationship, and government representatives were invited to participate in risk assessment and planning meetings. By listening to men and women talking about the problems they faced, particularly in relation to food production, local government officers developed a better understanding of the effects on the community of the prolonged dry season and increasingly erratic and heavy rainfall.

When the time came for the community to make their CLDRM action plan, they discussed the various ways in which they might address the main threats to their livelihoods and well-being. The government officers informed them of the national programs for disaster risk reduction and reforestation, and how they might benefit from these.

In the weeks following the meeting, the local government committed to funding a reforestation project on the hills around the community, which would help to strengthen the soil structure to retain water, prevent landslides and provide a new source of income. The community committed to contributing labor to build terraces on the steep, hilly lands, and plant trees and perennial crops there.

Over the 2-year lifetime of the project, the government provided 30,700 seedlings of perennial crops (mango, mahogany, teak and rose apple). The community members planted and diligently maintained the seedlings on their lands, using only organic fertilizers and pesticides, and within 2 years their formerly bare and dry lands became more stable, fertile and green with cash crops. Following the success of this joint action, the local government agreed to extend the reforestation project to the area around 10 more communities where CRS and the Diocese were supporting community-led disaster risk management.

The community members planted and diligently maintained the seedlings on their lands, and within 2 years their formerly bare and dry lands became more stable, fertile and green with cash crops.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Engaging key stakeholders to increase agricultural sustainability

In San Marcos department, Guatemala, CRS supported smallholder coffee-farming families to improve production and protect their coffee crops from a disease called coffee leaf rust. The project started by establishing a system to consult all men and women farmers in three communities about the threats to their livelihoods. In separate groups, men and women ranked climate change as the main threat, because the hotter, drier conditions were forcing farmers to seek areas at higher elevations, not necessarily available to them, to grow their coffee.

Through discussions with project staff and technical experts, the farmers agreed that to manage this threat they needed to substitute diseased plants with healthy, rust-tolerant varieties, and add other crops to their plots. In addition, the farmers wanted to build some capital to further invest in improving their small farms and to do so they needed access to financial resources. CRS explained the Savings and Internal Lending Communities (SILC) methodology, which enables participants to invest very small amounts in a common fund, from which they have access to small loans at low interest rates. Many of the farmers were interested in trying the methodology they had never used before. The community savings groups planned their loan schedule so that they could begin to renew their coffee plant stock in time for the following planting season.

Over the following 2 years, they replaced 25 percent of their coffee plots, and within a further 2 years would have completely renovated their coffee plant stock with more disease-resistant varieties. These farmers were amazed by how they were able to save and invest in their livelihoods using this methodology. They named their project Café Verde, or Green Coffee, to signify healthy coffee plants and ecological farming practices brought about through the project.

Following a stakeholder analysis with the farmers that identified relevant institutions and organizations, CRS helped the farmers to contact the National Coffee Association (Anacafé), which provides training to its members on farming techniques. A small group participated in one of Anacafé's courses and learned new, low-cost techniques to improve soil quality, so CRS adapted the training and facilitated similar workshops for the 765 farmers participating in the project. Many farmers have now joined Anacafé, which will allow them to access technical services once the support from CRS is phased out.

These farmers were amazed by how they were able to save and invest in their livelihoods using the SILC methodology.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

By embracing the CRS SILC methodology as part of their DRM plan, farmers in Guatemala were able to save to substitute diseased coffee plants for healthy ones of new varieties resistant to leaf rust. *Photo by Oscar Leiva/Silverlight for CRS*

Stage 2: Assess Risk

This section provides guidance on how to support community members to strengthen their understanding of the disaster and climate risks they face, through an assessment of their exposure to hazards, their vulnerability, and the capacities of households, community-based organizations and institutions to manage their disaster and climate risks. This requires representatives from the entire community to work through a set of processes to analyze recent disasters; current and projected hazards; who and what was affected and is vulnerable and why; what capacities and resources people have to manage disaster and climate risks; and what is needed for them to become more resilient.

WHAT YOU SHOULD KNOW

It is important that we understand that our responsibility as facilitators is to <u>enable the community</u> to carry out this analysis, not to do it for them. However, in order to assist the community, we will need to refresh our knowledge of the local context and the effects of climate change on this area and its people.

The processes in this section will provide the facilitator with step-by-step guidance to support the community to analyze which people, structures and aspects of their community are most vulnerable to hazards, and what their capacities and resources are for reducing disaster and climate risk.

Through visualizing and discussing their strengths and weaknesses related to disasters and climate change, community members are better able to compare and prioritize challenges, and to develop solutions to them.

HOW TO FACILITATE COMMUNITY-LED RISK ASSESSMENT

Through your facilitation, community members should gradually build up their analysis of the situation. The order of the following processes is less important than enabling community members to understand how each contributes to the overall analysis.

P3 *Process 3: Understand cycles and trends* will help you to generate discussion about how men and women's activities and responsibilities differ, how life in the community changes over months and seasons, and other cycles and trends the community members are aware of. This may be the first opportunity to address the topic of climate change and its effects.

This section provides guidance on how to support community members to strengthen their understanding of the disaster and climate risks they face.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

P4 *Process 4: Understand our past, present and future* can be used to encourage community representatives to think about their community's history and future. This is an opportunity for lively, sometimes emotional, discussions about what community members remember as defining moments in their lives and community, and what is likely to happen in the future, ranging from, for example, cyclical phenomena such as droughts, to government plans to build a new road. Along with *Process 3*, this is an opportunity to address climate change and discuss the current and future effects on the region in which the community is located.

P5 *Process 5: Understand the geography of risk* enables the community to physically map hazards and the locations, people, structures and other assets that are exposed to them, as well as the social and natural resources in and around the community that can contribute to managing risks.

P6 *Process 6: Prioritize community challenges* can be used to enable the community to decide which problems or risks it is going to address first.

S **Resource S** *Reference documents* includes further sources of guidance on issues related to assessing risk.

Asking about the past provides an opportunity for lively, sometimes emotional, discussions about what community members remember as defining moments in their lives and community.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

CONTENTS

RESOURCES

P3 PROCESS 3
Understand cycles and trends

P10 P1 P2 P3 P4 P5 P6 P7 P8 P9

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN
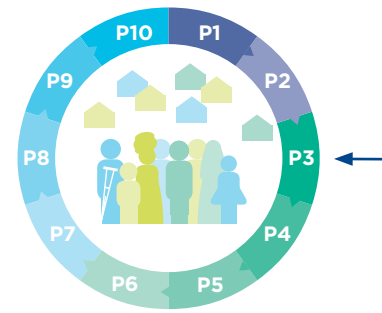
Estimated time

Preparation and meeting: Half-day

Materials

If you decide to use an annual calendar with 12 months, prepare a chart with 13 columns (one for the list of activities and one for each month of the year) starting with the month that they consider to be the beginning of the year or productive cycle. Otherwise prepare appropriate materials for the cycle or other type of calendar.

If community members are unable to read and write, use locally available materials to represent the process visually on the floor or on a flat piece of ground. Otherwise, have colored card, pens and tape or pins at hand.

Objective

To enable men and women in the community to understand how their well-being, vulnerability and exposure to hazards change over a calendar year, and how their lives are affected by the natural environment and social context in which they live.

Description

In separate groups of men and women, the core group and other participants chart the community's main daily activities and those that take place throughout the calendar year. Such activities include those related to livelihoods, domestic activities, fetching water, migration, access to goods and services, school attendance, and any other elements important in that area. During these discussions, they also identify what other external things happen or change through the calendar year (such as weather events, festivals, conflicts). Most importantly, during the discussions that follow, they examine relationships across the activities and events, in relation to their well-being, vulnerability and exposure to hazards.

Product

The product is a visual annual calendar showing the main activities, events and periods of increased risk that characterize life in the community. This is sometimes referred to as a **seasonal calendar**. The calendar also highlights when risk management actions could feasibly be carried out, once they have been decided by the community.

Steps

- **Before you start**, check how men, women, older and younger people interpret time: whether through a monthly calendar, seasons or other cycles. Make sure that participants from each sub-sector of the community are available to attend, and check that the most vulnerable members of the community (or their representatives) are present.

- **Welcome all participants** and remind them of the purpose of the CLDRM initiative. Together, briefly review what was done at the last meeting, discuss feedback obtained through the participation mechanism, and adapt the process accordingly.

- **Explain the purpose** of this meeting, describe how the activity will be carried out and what you will produce together. Ask for volunteers to help manage the discussion and tasks involved.

- **Ask participants, in separate groups for men and women, to list or depict on cards the main activities** that they undertake in their households and community on a daily and seasonal basis. Encourage them to mention activities that are specific to different livelihoods groups, younger or older people, etc. Continue until all present are satisfied that the cards or list contains the main daily activities for each key group.

- **Chart the activities** through the chosen calendar year. Ask participants to mark the months (or other unit) in which they do each activity, using words, symbols, colors or other markings. Discuss what is shown, to make sure everyone present understands and agrees with the chart. Adjust if necessary.

- **Ask (each person one by one) how weather, environmental conditions and social issues change** from month to month. If necessary, prompt for rains, winds, temperature peaks and their corresponding events such as drought, flood or illnesses (such as diarrhea), as well as crop disease, pests, pollution, social violence and other issues you know are prevalent. Chart them in the same way, marking the months in which they occur and when they are most intense or frequent. Discuss what is shown to make sure everyone understands and agrees with the chart. Adjust where necessary.

- **Facilitate discussion using the key questions for analysis** (below). Use colors, symbols or cards to note the key points on the chart. Continue the discussion until all participants have had the opportunity to give inputs and opinions.

- **Close the meeting** by thanking everyone for their time and contributions. Take photos of the calendar and produce a more legible replica to display in an accessible place in the community.

- **Remind core group members of their responsibility to share the results** of the meeting through the participation mechanism and provide feedback at the next meeting. If any groups were identified during the process whose activities were not well known by the participants, repeat the exercise with them and incorporate the results. Plan the next meeting.

💡 Tips

- <u>In a diverse core group</u>, the activity list may become very long. Consider breaking into smaller groups working simultaneously and bringing them together at the end of this discussion.

- <u>In an urban setting</u>, consider activities that follow seasonal trends, such as school attendance, tourism-related services, festivals, construction, migration of household members for temporary work, etc. If relevant to vulnerability, discuss the links between urban activities and rural inputs (such as food production).

- <u>After a disaster</u>, use this process to help plan the timing of recovery projects, to align with and protect peoples' seasonal activities.

Prompt for rains, winds, temperature peaks and their corresponding events such as drought, flood or illnesses (such as diarrhea), as well as crop disease, pests, pollution, social violence, and other issues you know are prevalent.

CONTENTS

RESOURCES

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- People may not want to mention sensitive or socially taboo activities. If relevant to the vulnerability of certain groups and/or the community, consider holding separate, confidential focus groups without recording the activities on a chart, so that participants feel less concerned about any negative consequences of the discussion.

- For a displaced or mobile community, whose normal activities have been disrupted, chart how households manage their days in camp settings or in transit, to get food, find water, access hygiene services, seek shelter, decide on the next destination, secure means of transportation, etc. Chart changes in environmental conditions over the same period and, for longer trends, ask key informants prior to the meeting or ask them to participate.

- Discuss how technology is used and how it is affected by, for example, power outages, energy price rises, etc.

- If the process has revealed any vulnerable people or groups, in the community who are not well-represented in the core group, invite them to the next meeting.

Analysis: Key questions to guide community-centered analysis

- Which activities do women do each day? Why? (Probe on livelihoods groups, age, etc.)

- How do women's (different groups of women, if relevant) activities change month by month through the year? Why?

- Which activities do men do each day? Are there significant differences among men? Why? (Probe on livelihoods groups, age, etc.)

- How do men's (different groups of men, if relevant) activities change month by month through the year? Why?

- Which activities do children and young people do each day? Are there significant differences among them? Why?

- How do children's or young people's (different groups, if relevant) activities change month by month through the year? Why?

- Are there any groups of men, women, children or young people whose activities are not shown? (Probe on people with disabilities and other minorities). Who are they and how can we include them in this process?

- Which months are the busiest for men and women? Older people? Children and young people? Others? Why?

- How does the weather change from month to month? Have you noticed any different patterns recently?

- What other events or situations happen frequently or most years? When do they happen? Have you noticed any different patterns recently?

- What do you notice when you look at the effect of the weather or other events and situations on community members' activities? For example, children attend school less during the rainy season (due to lack of accessibility), women spend more time collecting water in the dry months, or older people look after children more in the harvest season. Why?

- When do particular activities cause men, women, older people, young people or children to be more exposed to hazards, disease and other situations that affect their wellbeing? Why?

CONTENTS

RESOURCES

Consider holding separate, confidential focus groups on sensitive or socially taboo activities without recording these on a chart.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Resource I
Techniques to encourage deeper responses to questions should be used during all processes in this guide.

Examples

Men's and women's groups in a village in Timor-Leste come together to share and discuss the seasonal calendars they have produced. *Photo by Snigdha Chakraborty/CRS*

JAN	FEB	MAR	APRIL	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC

OFF-SEASON HARVEST · · · · · · · · · · · · · · · · · · · MAIN SEASON CULTIVATION · · · · · · · · · MAIN HARVEST

BETTER PASTORAL CONDITIONS

CEREAL PRICES INCREASE · · · · · · · · · · · · CEREAL PRICES DECREASE

LOW LIVESTOCK PRICES

INFLUX INTO BURKINA FASO INCREASES

MIGRATION TO CITIES · · · · · · · · · · · · MIGRATION TO CITIES

WEDDING PERIOD

LEAN SEASON
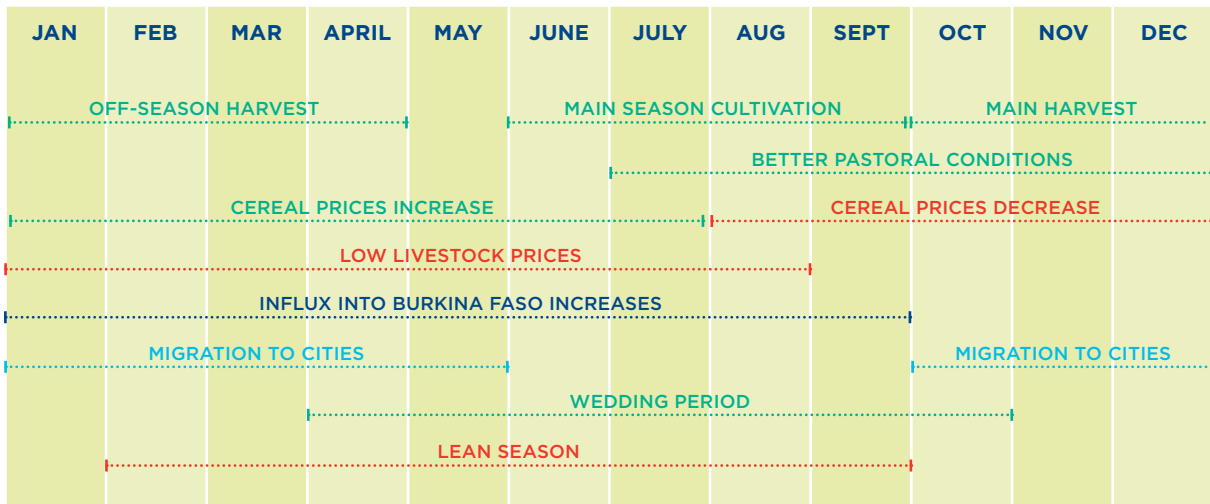
Regional seasonal food security calendar for Burkina Faso (West Africa Sahel region, 2012 projection).

CONTENTS

RESOURCES

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

P4 PROCESS 4
Understand our past, present and future

P10 P1
P9 P2
P8 P3
P7 P4
P6 P5

CONTENTS

RESOURCES
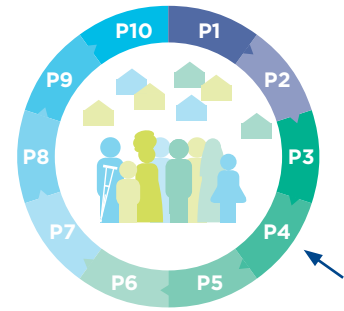
⏱ Estimated time

Preparation and meeting: Half-day

✂ Materials

- Using locally available materials, on a poster, board or other appropriate medium, draw a horizontal line (at least 2 meters long) and mark the midpoint and add an arrow on each end (or use another representation of time understood by the community).

- Have the products from previous processes (such as the seasonal calendar) on display, for reference during this meeting.

Objective

To create a shared understanding of how the community has changed and continues to change; to stress the need for planning to manage change; and to jointly establish the frequency of disasters and other stresses, motivating the community to reduce disaster and climate risk.

Description

The core group and other participants identify important changes and events (including, but not limited to, disasters) that have affected them, and those that they feel are likely to affect them in the future, marking them on a timeline and discussing their impact.

Product

The product is a **timeline or historical profile** showing the past, present and future.

👣 Steps

- **Find reliable sources of information**, such as meteorological institutes and universities, and think about how to convey that information in language and concepts the community will understand. Alternatively, or in addition, offer to invite an expert from a government department or NGO to do this.

- **Find out how the past, present and future tend to be visualized**, and set up the chart accordingly (E.g., in some cultures, future is at the top, past is below; in others, past is on the left and future on the right).

- **Welcome all participants** and remind them of the purpose of the CLDRM initiative. Together, briefly review what was done at the last meeting, discuss feedback obtained through the participation mechanism, and adapt the process accordingly.

- **Explain the purpose of this meeting**, describe how the activity will be performed and what you will produce together. Ask for volunteers to help manage the discussion and tasks involved.

- **Explain how the timeline is set up**. Point to the center saying, "this is today/now". The left is the past and the right is the future (or the appropriate ends of a continuum for the community).

> Find out how the past, present and future tend to be visualized by the community, and set up the chart accordingly.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- **Ask the group members to describe important events** that have shaped or affected the community within a certain timeframe (since the last major occurrence of all relevant hazards). Each can be written or drawn on a card, with the date, if known. Ask volunteers to place the cards on the timeline. If necessary, prompt for major disaster events, elections, installation of key infrastructure, access to electricity, visits from politicians, etc.

- **Ask if there are other types of changes** they have noted in the community that may or may not be related to the events listed. Provide a few examples you know are relevant, such as stronger or more frequent typhoons, more or less snow or rain, temperature changes, the shortening or displacing of the agricultural season, pest attacks, changing groundwater levels, contamination of groundwater or surface water, deforestation, sea-level rise, soil fertility changes, desertification, health issues such as diarrhea and waterborne disease, price increases and unemployment. Refer to the calendars from *Process 3* to probe, for example, changes in the sowing or planting season. Make and place cards for these changes on the timeline <u>and</u> note them on the seasonal calendar.

- **Ask about events and changes in the future** that the community expects to influence their well-being (i.e., planned infrastructure projects such as road construction, etc.).

- **Facilitate discussion using the *key questions* for analysis** (below). Use symbols to indicate the events and changes with greatest impact.

- **Bring in previously prepared data and knowledge from other sources** and encourage the community to think about how it compares with their own experience, particularly with regard to the climate.

- **Continue the discussion** until all participants have had the opportunity to give inputs and opinions.

- **Close the meeting** by thanking everyone for their time and contributions. Take photos of the timeline and, if necessary, produce a more legible replica to display in an accessible place in the community.

- **Remind core group members of their responsibility to share the results** of the meeting through the participation mechanism and provide feedback at the next meeting. Plan the next meeting.

💡 Tips

- <u>Include the oldest community members</u> in this process because they have lived through more of its history. If they prefer, ask volunteers to talk with them in their homes and then share their inputs at the meeting.

- <u>In contexts of seismic risk</u>, use a timeframe that includes the last major earthquake or tsunami, etc. (if in living memory). Otherwise, consider how long most community members have lived there before deciding the timeframe.

- <u>If necessary, hold separate meetings with men and women</u>, bringing the results together for analysis and agreement on next steps.

Ask about events and changes in the future that the community expects to influence their well-being.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- Do not focus immediately or solely on disaster events, because the other events are often important for explaining why the community is vulnerable, or why it has certain capacities. For example, recalling when a land rights dispute was settled may lead to a discussion of who has those rights (men or women or both) and who does not (people who are landless, undocumented, displaced, viewed as low caste, etc.).

- In a rapidly growing urban setting, many people may not know the history of the place where they are living. If older residents are able to participate, use this as a learning opportunity, but keep newer residents' attention by focusing on the recent past, present and future.

- After a disaster, people are likely to be fearful or skeptical of the future. During facilitation, allow sufficient time for them to express their feelings.

- In an insecure setting, follow the community's lead on how they may want (or not want) to include events such as violence. For example, they may prefer general statements such as "it became less safe for young people". Do not label events or phenomena in ways that make participants uncomfortable. Speaking about past violence can retraumatize people, and may even put community members or project staff in danger.

- For a displaced or mobile community, whose members come from different places, this process may not be useful. Discuss their plans and hopes for the future instead.

- Discuss the impacts of technology on the community, such as changes in women's lives after the installation of a tube well, and how devices to monitor river levels, rainfall or volcanic activity are used.

- If the process has revealed any vulnerable people or groups in the community who are not well-represented in the core group, invite them to the next meeting.

❓ Analysis: Key questions to guide the community-centered analysis

- What was (or will be, when talking about the future) the impact of each event or change on the community?

- Who was (or will be) most affected? Why?

- Which events or changes were the most destructive or concerning? Why?

- Which were (or will be) the most positive or helpful? Why?

- What can we do to keep progressing, to overcome problems related to weather, disasters and other changes, while reducing risk and damage caused by future disasters?

- How have families adapted to the changes or overcome the challenges in the past?

- Would it be helpful for the people and organizations in this community to work together on a plan to reduce disaster and climate risk? *This is an opportunity to link the discussion with community-led disaster risk management. Explain that the implementing agency is keen to help the community to do this, and that meetings such as this one help us to analyze the situation and create a plan, called a disaster risk management plan.*

CONTENTS

RESOURCES

Do not label events or phenomena in ways that make participants uncomfortable. Speaking about past violence can retraumatize people.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Resource I
Techniques to encourage deeper responses to questions should be used during all processes in this guide.

Example

Historical profile of Chaom village in Cambodia. *Photo courtesy of Chanthea Nou/Caritas Australia*

A drawing showing how villagers in Bangladesh see their village in the past, present and future. *Photo by Patrick Gallick/CRS*

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN
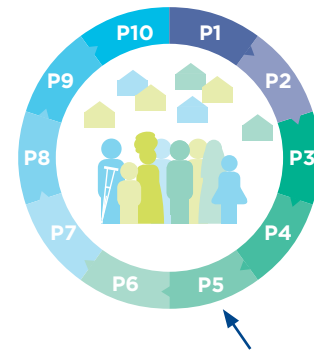
P5 **PROCESS 5**
Understand the geography of risk

⏱ Estimated time

Preparation and mapping: Half-day
Transect walks: Half-day
Discussion: Half-day

✂ Materials

- Collect existing maps and photos from a variety of sources, including paper and digital versions, to be converted into the format preferred by the community.

- Materials to create the map with the community will depend greatly on the context. See *Tips* below. You may need large sheets of paper, tape to join them together, and pens of various colors, or natural markers such as stones and leaves; a black or white board and pens; or computers, tablets and phones with mapping software.

- **For the transect walks**, use notebooks (for sketches and/or notes), clipboards, pens and pencils, mobile phones with cameras, tablets with GPS functions. If these are not available, or other reasons (such as insecurity) prevent their use, memorise details to share afterwards.

Objective

To reinforce an understanding of why some areas of the community are more at risk than others, and what resources can be managed to reduce risk.

Description

The core group, and other participants, create or enhance maps of the community's natural and environmental features (rivers, water points and sources, hills, land use, etc.) and infrastructure (roads, markets, homes, settlements, schools, etc.). This is done by combining existing knowledge and reference materials (such as printed or digital maps) and guided "transect" walks. The map becomes a tool to identify hazards and other threats, vulnerable areas, and resources or capacities in the community.

Product

The result of this process is a user-friendly **risk map** of the community.

🔗 Steps

- **Collect maps of the community and surrounding area** from the best available sources. This may include the community itself, Google Earth, local authorities, private companies with operations in the area, NGOs currently or previously working in the area. Aerial photos can also be included, if available.

- **Welcome all participants** and remind them of the purpose of the CLDRM initiative. Together, briefly review what was done at the last meeting, discuss feedback obtained through the participation mechanism, and adapt the process accordingly.

CONTENTS

RESOURCES

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- **Explain the purpose of the meeting**, describe how the activity will be performed and what you will produce together. Ask for volunteers to help manage the discussion and tasks involved.
- **Share the maps you have collected**, allowing time for familiarization. Then ask for volunteers to help create a basic map that outlines the community and shows the surrounding area. Discuss and add the following features using appropriate symbols and/or materials:
  - Natural/physical landscape: Hills, lowlands, rivers, woods, mangroves, etc.
  - Land use: Residential, farming, pasture land, etc.
  - Built environment: Roads and other transport routes, bridges, pipelines, electricity networks, water and sanitation networks, embankments, drainage canals etc.).
  - Housing: Location, materials and type of construction (ensure you include the informal housing and shelter of the most vulnerable)
  - Other social infrastructure: Schools, places of worship, health centers, markets, groups or people who are best placed to help during disasters (e.g., the homes of teachers, nurses, traditional birth attendants), government offices.
  - Private enterprise: Factories, banks, etc.
  - DRM details: Sites of recent or historic disaster events, shelters and evacuation sites or places that can protect people, animals and assets.
- **Facilitate discussion on the map's features** using the *key questions* for analysis (below).
- **Explain that you will improve the map** by walking through certain areas, observing your surroundings and talking to people. Explain that these walks are called transect walks and are done in small groups following agreed routes through the community.
- **Decide how many transect walks the group can do**, working in twos or threes, then decide on the most important routes to take. These should include areas where there are identified hazards, where vulnerable groups and individuals live, where important resources are located, and the most populated areas of the community. Assign groups to the routes, ensuring participants' experience is used (e.g., a fisherperson should lead a route along a shoreline).
- **Agree on a set of questions that relate to the map**, both to explore any parts that you are uncertain of and to check what you have done. See questions for transect walks in the *key questions* for analysis (below).
- **Decide on the roles in each transect group**: Who will be the leader, responsible for returning on time, who will take notes or draw, and who will be largely responsible for identifying people to talk to? Remind participants that transect walks are for making conversation with local people to ask them the questions, not just observing and noting.
- **Set a time to meet back** (1-2 hours).
- **Bring the groups together** to share what they have verified or learned through the walks, and add important details to the map.
- **Repeat the key question: Who and what is most at risk**? Mark the parts of the community that are most at risk using a new symbol.

Transect walks should include areas where there are identified hazards, where vulnerable groups and individuals live, where important resources are located, and the most populated areas of the community.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- **Close the meeting** by thanking everyone for their time and contributions. Take photos of the map and, if necessary, produce a more legible replica to display in an accessible place in the community.
- **Remind core group members of their responsibility to share the results** of the meeting through the participation mechanism and provide feedback at the next meeting. Plan the next meeting.

Tips

- Make use of what maps, technology and photos are available and accessible (cost-wise), and remember the least literate and to what extent they will understand them. If necessary, go back to basics (drawings and symbols).
- If necessary, hold separate meetings with men and women, bringing the results together for analysis and agreement on next steps.
- In an urban setting, transect walks tend to take longer than in rural settings (due to distance or density) and be restricted by the built environment. Try transect walks in the form of spokes from a central hub, or another pattern that does not require people traveling long distances to starting points.
- After a disaster, use transect walks to witness damage, evacuation sites, etc., but do not focus solely on the hazard that triggered the disaster. Do not go near damaged areas that may still be hazardous.
- For a displaced or mobile community, in a relatively stable camp situation, consider the camp location to be the physical community. If the displaced community will be relocating or returning soon, focus on their next location.
- In an insecure setting, follow the community's guidance on which areas to avoid walking through, at what times, etc. Also follow their lead on which symbols to use on the map, to avoid creating additional insecurity.

Analysis: Key questions to guide the community-centered analysis

After all the inputs have been marked on the map, use the following questions to guide the discussion. You do not need to use the term in bold unless the community is familiar with these.

For each one, decide on a symbol and use it on the map, making note of what they mean (the legend/key).

- **Hazards or threats**: What and where is the source of the greatest hazards or threats? Are natural resources causing the risks or being affected by them?
- **Exposure**: Who and what is most exposed to those hazards or threats (in the location where the hazard occurs)? Why?
- **Vulnerability**: Of all the people and assets exposed (in the location where the hazard occurs), who and what is most affected when the hazard occurs? Why? Why are they living or located there?

> After a disaster, use transect walks to witness damage, evacuation sites, etc., but do not focus solely on the hazard that triggered the disaster.

CONTENTS

RESOURCES

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- **Capacity**: How do people cope/recover/compensate? What have people traditionally done in this community or area to cope/recover/compensate? What resources are available to help people cope/recover/compensate? In which ways does the natural landscape protect the community?

- **When you consider everything together**: Who is most at risk? Where? Why? Can we pinpoint areas of highest risk? Second highest?

- **Change over time:** If we had been here X (e.g. 10) years ago, would the risk map have looked the same? (Note/indicate what would have been different). Why those changes? Are there areas that are problematic now that weren't 10 years ago? Did the rivers change their paths? Are there areas that used to be forested, cultivated, inhabited or used for different purposes that aren't any more? Why? (Refer to discussions and products of previous processes, such as the timeline.)

Questions to guide the transect walk:

- What are the key risk areas on the map that we will be observing and checking? Are they the same as the ones already marked? If not, what is different?

- What other risk areas do we see that we have not marked on the map?

- What is happening that could present a risk in the future?

Before finalizing the process:

- Is the legend (symbols and colors) clear enough to help someone who was not present to understand the map?

Resource I

Techniques to encourage deeper responses to questions should be used during all processes in this guide.

Examples

Community members—young and old, men and women—take part in a transect walk in Uttar Sakuchia, Bangladesh. *Photo by CRS staff*

Above: Villagers use natural materials to create a social and resource map in Timor-Leste. *Photo by Snigdha Chakraborty/CRS*

Left: Community map, Afghanistan. *Photo by Abdullah Amani/CRS*

Below: A community risk and resources map, Bangladesh. *Photo by CRS staff*

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Risk mapping during a Cordaid resilience project in Nepal. *Photo courtesy Sharda Basyal/Cordaid*
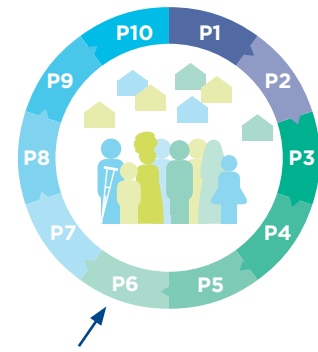
P6 PROCESS 6
Prioritize community challenges

Estimated time

Brainstorming and listing priorities: Half-day
Voting: Half-day (more in certain settings)

Materials

In addition to all products from *Processes 1 to 5*, you will need whiteboards/flipcharts and markers to record the challenges, and materials for voting such as jars/envelopes/pouches/boxes for people to cast votes into, and counters/stones/paper slips/beans for each vote.

Objective

To decide, as a community, which disaster and climate risks to address.

Description

The core group presents the processes they have carried out and the visual products they have created, and all community members have the opportunity to discuss and reflect on them. They reach a shared understanding and agreement on who and what in their community is most at risk from disasters and climate change, and why. On this basis, using an agreed and inclusive selection process, they decide which issues to address as a matter of priority.

Product

The product is a **list of agreed priorities** for community-led disaster risk management.

Steps

■ **Widely communicate the purpose, day, time and location of the meeting** and invite all community members to participate. Find out if there is anyone, such as people with disabilities, who cannot attend the meeting but who would like to participate, and make arrangements for them to contribute.

■ **Prepare for the meeting by displaying all the products** in a room or dedicated area, easily visible to all participants.

■ **Refresh participants' memory** at the start of the meeting, of how the CLDRM initiative has progressed, which processes have been undertaken, and how the participation mechanism has been used. Thank the core group and everyone who has contributed for their time and inputs. Ask if there are any questions, and encourage the core group and others to answer them, providing support as necessary.

■ **Explain the purpose of this meeting**, describe how the activity will be performed and what you will produce together.

- **Revisit each process and product.** Ask volunteers to remind the group how each product was created, one by one, and what they show. Invite as many as necessary until you are confident that the main features of each product have been explained. Ask for questions from other participants at the meeting, and encourage the core group to answer, again providing support as necessary.

- **Brainstorm the challenges.** Invite participants to work in small groups of three or four (self-selecting, by gender, or other reasons, depending on the context), to identify the challenges related to any disaster and climate risks that seem the greatest priority to resolve, based on the information they have heard or produced and their own experience. Use the *key questions* for analysis (below).

- **Ask each group to share one of the challenges with the wider group**. Ask a volunteer to record of them, either by noting them on a chart or using appropriate symbols and materials on the ground. Keep taking turns, collecting as many challenges as the community can provide. When no further challenges are mentioned, explain that it is time to decide which ones to address, through voting.

- **Explain the proposed voting procedure.** Every person (man and woman) will be able to vote <u>confidentially</u> for whichever three challenges they think should be addressed as a matter of priority. (It may be appropriate for the voting to take place separately for men and women, to give women more confidence that their voices will be heard.) The ones that receive most votes will be the ones that the community will address first. Explain the technique you will use, for example, *"There is a box for each challenge, and the challenge is marked on the box. In total, there are 15 boxes, representing the 15 challenges the community has mentioned. As voting is secret, select an area where it is not possible for the wider group to see which pocket the voter is placing their vote in. Each person has 3 votes, represented by 3 stones or seeds to use as counters. Each person places a counter in 3 boxes for the challenges they think should be addressed first. After everyone has placed their counters in the boxes, we will count them in front of all participants."*

- Demonstrate by acting out the voting process using role-plays, and remind participants that everyone should vote according to what they think, not to please or follow anyone else. If necessary and preferable, arrange separate locations or areas of the same location for men and women to vote.

- **Seek consensus on the procedure**. If there is significant disagreement with the proposed procedure, develop an alternative procedure with the community, ensuring it is inclusive, equitable and transparent.

- **Publicly count the votes and announce the results.** Once the voting is complete, count the votes immediately, in front of all participants. Use a visual method to note them, such as stars, dots, stick people, etc. Announce the results, highlighting which three got the most votes and are therefore the ones that the community has decided need to be addressed during the project as a matter of priority. Write or show the results on a chart so that they can be seen by everyone. Invite and answer any questions about the process or the prioritized challenges. Explain that the other challenges that were not prioritized can remain on the list for when the first priorities have been addressed or when resources become available.

This picture shows how voting was instantly recorded on a chart by the facilitators when women voters used stones to put their votes on the floor. It also illustrates an easy way of displaying the number of votes without using numerals, as the women in Afghanistan did not know how to read and write. *Photo by CRS staff*

R   **Resource R**
See *Resource R* for tips on pocket chart voting.

- **Share information about next steps.** Explain that the prioritized challenges need to be examined in more detail to find the best possible solutions. Explain that the implementing agency will support the community to implement some of the solutions in coordination with government and other stakeholders. Since its funds are intended for the most vulnerable, the implementing agency may be bound by funding restrictions, and will only be able to address those among the top three challenges that will reach the most vulnerable people. Funding parameters may mean that other challenges will need to be selected.

- **Close the meeting by thanking everyone** for their time and contributions. Take photos of the results and, if necessary, produce a more legible replica to display in an accessible place in the community.

- **Remind core group members of their responsibility to discuss the results** of the meeting through the participation mechanism and provide feedback at the next meeting. Plan the next meeting of the core group and all other interested participants.

Tips

- If there are many new participants, consider working first in smaller groups to help build ownership of the previous products. Divide into groups comprised of people who have participated in the processes to date, and new participants. In groups, help the new participants to relate to the products by making suggestions such as "let's find where you live on this map" and "what does this map show us about risks where you live and work?"

- If there are many different (ethnic, interest or other) groups in the community, all of which may have different priorities, encourage them to go through the process independently or in smaller sub-groups and then identify any common priorities. In such contexts, you may decide to have an overarching CLDRM plan that reflects their common priorities and then sub-plans of particular interest to each group.

- In a large community or an urban setting, you may need multiple voting stations to enable easy access to the process. If so, you will need to make arrangements to safely and transparently bring the results together for the overall count.

- After a disaster, while people's priorities may relate to the most recent event, remind the community about the need to address the causes and not just the symptoms of the event. Also, remind them of the need to consider the range of hazards that affect the community, not just the most recent hazard event.

- In an insecure setting, it may be important to ensure that other neighborhoods or groups do not feel that their priorities are being ignored. Consider using internal funds to ensure that all vulnerable areas or groups are benefitting from the set of solutions. Also, use contacts with leaders (formal and informal) to let other groups know what the initiative is about, to ensure that no participants are put in danger.

If there are many different groups in the community, all of which may have different priorities, encourage them to go through the process independently or in smaller sub-groups and then identify any common priorities.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- <u>For a displaced or mobile community</u>, challenges relating to violence may be prioritized if the community has been displaced by violence or is still affected by violence in its new location. These should be included, alongside other challenges more closely related to disaster and climate risk, as they are the community's real priorities.
- <u>Technology</u>: If you can ensure fair access to technology, consider enabling voting through an SMS poll. This is an effective way to involve large groups of people, particularly those that are unable to physically attend a meeting.

? Analysis: Key questions to guide the community-centered analysis

For reviewing the products:
- What did we learn about the community when we produced this map, chart, etc.?
- What types of hazards and other threats to the community are mentioned? Who/what is exposed to them (in the location where they occur)? Who is most affected by them when they occur, and why?
- What resources (knowledge, materials, money, support) do the community and households have to cope with/manage/recover from these hazards? Does everyone have access to the same resources? Have we considered traditional or indigenous knowledge?

For identifying priority challenges:
- Based on what we have heard today, and what we know, what are the biggest challenges (problems) we face?
- Do they affect many people or specific groups of people? Who? Do they cause great damage and losses? Do we know how to cope with/withstand/recover from them? Does everyone do that? If not, why not?

For individual reflection, before voting:
- Is this challenge the biggest or one of the biggest? Why? Is it getting worse or better?
- If we find ways to reduce or manage this challenge, how will our lives be improved?
- If we don't address this challenge, what will happen?

Resource I
Techniques to encourage deeper responses to questions should be used during all processes in this guide.

CONTENTS

RESOURCES

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Examples

Pocket voting in Timor-Leste. *Photos by Dena Lewerke/CRS*

COMMUNITY-LED DISASTER RISK MANAGEMENT IN PRACTICE

Using technology to understand the geographic dimensions of urban risks

When faced with the challenge of facilitating participatory risk mapping in 22 *barangays*, or districts, in the Philippine capital, Manila, CRS decided to use a method called Disaster Town Watching, originally developed in Japan, as an alternative to more structured transect walks.

The method involves organizing a wide cross section of people from the target community or district in small groups, equipping them with digital cameras (or mobile phones with cameras), and asking them to walk through the community and photograph as many "good" and "bad" parts as they can. After a given period, they come together, have the photos they have taken printed, and paste them onto a map of the community, creating a very large collage. Then, with facilitation, they discuss their photographic observations and identify common problems, including risks and threats, and determine those that are only experienced by certain households or sectors. Finally, they analyze the resulting collage and brainstorm possible mitigation measures, and who should be responsible for implementing them. When they have finished, they present the map to the local authorities, explaining the community's priorities for risk reduction and requesting their support.

The CRS team that facilitated the Disaster Town Watching exercise in Manila found it very helpful for gathering the collective knowledge of large groups of people who were familiar with technology but who may have had low literacy levels and little or no understanding of risk concepts. They also noticed that when local authorities saw neighborhoods through the eyes of their residents, they felt very motivated to address the problems.

The Disaster Town Watching method is helpful for gathering the collective knowledge of large groups of people who are familiar with technology but who have low literacy levels and little or no understanding of risk concepts.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Seeing hazards and vulnerability from the community's perspective

In Gaza, CRS and Caritas Australia worked with communities in highly populated, urbanized and insecure border areas. Although these areas are exposed to natural hazards such as earthquakes, drought and flooding, people living in the communities do not regard them as such important threats to their lives and wellbeing as the day-to-day, recurring challenges related to the conflict they are facing.

During hazard prioritization exercises facilitated by CRS, both men and women identified military incursions, refuse accumulation in the streets, poor water quality and quantity, and power cuts as major problems affecting their entire communities. They drew up an action plan that included participating in first aid training offered by the Palestine Red Crescent Society, advocating the municipal authorities for refuse collections to restart, and negotiating with power and water companies to synchronize their schedules for water and electricity supplies.

At the same time, women cited the lack of employment opportunities as their key concern. When discussing potential solutions, many expressed an interest in starting small, home-based businesses, through which they could put to use their higher education, and skills such as sewing and cooking. They explained that it would help them to build up household resources to guard against economic shocks, bolster resilience and reduce the risk of falling deeper into poverty. They identified their lack of access to capital as the primary limitation.

CRS and Caritas Australia supported the action plan at both the community and household levels. Staff accompanied committee members to meetings with authorities to address the basic services issues, and established a small savings and loans program using the Savings and Internal Lending Communities, or SILC, methodology, adapted to comply with Islamic law, which prohibits interest being made on financial investments. The most important lesson they learned from the experience was to facilitate without preconceived ideas, in order for the community's perceptions, analysis and priorities to guide each process.

Men and women identified military incursions as one of the major problems affecting their entire communities. *Photo by Shareef Sarhan for CRS*

Women cited starting home industries, such as sewing, as a solution to the lack of employment opportunities. *Photo by CRS staff*

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

COMMUNITY-LED DISASTER RISK MANAGEMENT IN PRACTICE

Reducing illness by understanding and responding to flood trends

When CAFOD's local partners, Caritas Myanmar and Karuna Myanmar Social Services (KMSS), facilitated CLDRM in Thabaung Township in Ayeyarwady, they followed good practice by creating separate discussion groups for men and women. In these, women highlighted how the pond water that was their main water source, including for drinking, was causing children and the older members of the community to suffer from gastrointestinal infections.

When facilitators encouraged them to think about why this was happening, they explained that the ponds were inundated by flood waters when it rained heavily, particularly during the monsoon season, and that the infections were likely due to contamination by these waters. Older women also pointed out that the flood water level was much higher than when they were young.

This information was crucial when CAFOD's technical advisors were consulted on how to address the problem. Instead of installing a standard well, they designed one that was connected to a water tower, 10 feet above the ground and 2 feet higher than the water level in the worst floods the village had experienced. They explained to the community that they would be able to obtain water from a protected source even when flood waters were at their highest. The community agreed and helped to construct the well and tower. Their efforts and the discussions that led to them proved to be a worthwhile investment: the following year the people of Thabaung Township were able to access clean water even at the peak of the floods.

When CLDRM discussions highlighted clean water as a key challenge, community efforts enabled the construction of a protected water source.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Prioritizing migration challenges through transparent voting

CRS implemented a project in 63 communities in Afghanistan to mitigate the causes of migration. As the decision to migrate is usually made on a household or individual basis based on a wide range of issues that cause risk, the project aimed to strengthen household-level coping strategies alongside community-level actions to build resilience to hazards and shocks.

During the risk assessment, many problems were identified by men and women in the community. These included a lack of animal fodder, damage to a canal and flooding, no access to vegetables, lack of drinking water, impassable roads during winter, lack of nutrition knowledge, and plant and livestock disease. The CRS facilitators suggested using confidential "pocket chart" voting to select the problems that the community would address first. This involved making pockets for a list of the major problems identified by the community and arranging for men and women of the community—not just male heads of households—to place their votes, one by one, into the relevant pockets. Facilitators were not sure how the community members, particularly the male leaders, would react to this idea, but when they explained it at the meetings with men and women together, most people were interested in learning from the process.

Once the voting was done separately for men and women, and the votes were counted, the problems that ranked highest were pasture management, lack of certified seed, lack of drinking water, livestock disease, lack of vegetables and lack of nutrition knowledge. At meetings where the results were discussed, there was general agreement that these were serious issues that affected most households. All community members agreed that the pocket chart voting was an effective way of deciding which problems to address first. Women expressed satisfaction that their votes had been included and that they were able to influence the decisions. The lesson for CRS was that setting up voting requires an investment in preparation, but also the utmost transparency during the voting process.

> Women expressed satisfaction that their votes had been included and that they were able to influence the decisions.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Stage 3: Develop and track an action plan

The purpose of this stage is for the community members to identify solutions to the disaster and climate-related challenges they have prioritized, and to develop a plan of action with all stakeholders to implement and monitor them.

WHAT YOU SHOULD KNOW

To facilitate this process, you will need to remind yourself of the discussions that have taken place through the previous processes. You should also update your knowledge of the plans of other actors, particularly the government, so that you can suggest linkages between what the community wants to do and the plans and resources or others.

Be prepared for the solutions to the prioritized challenges to be diverse, from establishing an early warning system and securing a potable water supply to introducing new crops and agricultural practices. It may be difficult for the community to implement them all at once, so you may need to ask practical questions that help them to develop a feasible plan. You will also need to enable the community members to think about what is realistic with the resources and time available.

Be prepared for the solutions to the prioritized challenges to be diverse. Ask practical questions that help the community to develop a feasible plan.

HOW TO FACILITATE COMMUNITY-LED PLANNING

P7 *Process 7: Deepen understanding of challenges* enables the community to generate in-depth knowledge of the issues and possible solutions from experts within and outside of the community.

P8 *Process 8: Agree on solutions enables* the community to decide which solutions they can implement as individual households and collectively, using their current capacities, and for which solutions they will need to approach other stakeholders for support.

P9 *Process 9: Develop a CLDRM action plan* helps explore the cost, time and labor the community would require, and the number of households that would benefit. This process can also lead to agreements with external stakeholders about their role in the action plan.

P10 *Process 10: Track progress to learn*, the final process, enables the community to discuss the steps that need to be completed for each part of the plan, the results they would like to see and the indicators that will help them to monitor progress.

S **Resource S** *Reference documents* includes further sources of guidance on issues related to assessing risk.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

CONTENTS

RESOURCES

P7 PROCESS 7
Deepen understanding of challenges

Estimated time

Preparing for interviews or meetings: 1 day
Interviews and meetings: Depends on context
Sharing and agreeing on results: Depends on context. You might need to conduct more than one meeting to share this with all relevant stakeholders, including the most vulnerable people/groups.

Materials

- The institutional map from *Process 2*.
- The voting results (agreed priorities) from *Process 6*.
- Question guides (to be developed with the core group); recording devices such as smartphones, if appropriate.

Objective

To gain a deeper understanding of the prioritized challenges, existing capacities, mechanisms and potential solutions at the community and household levels.

Description

The core group and other participants seek supplemental or expert knowledge that will help the community develop a deeper understanding of the causes and effects of the prioritized challenges, and possible solutions to them. They do so through interviews with experienced and older people in the community, and technical support from local authorities and other stakeholders identified in *Process 2*.

Product

The products include written or mental **notes from interviews** and, if relevant, the **documented recommendations** of technical studies.

Steps

Note: This process begins and ends with a meeting but requires other actions in-between.

- **Welcome all participants** and ask if any issues have arisen that could change the results of the voting. If so, address these before continuing.

- **Explain the purpose of the next steps** and what they involve. Remind the group of the voting results, using the vote tallies.

- **Ask participants in the community who may know how to address each issue**. People to consult include those who have experienced and managed a similar challenge without significant losses, and older people (both men and women) who recall how similar challenges were successfully managed in the past and what good practices they had then to manage them. Note the names and contact details of the people mentioned, and decide which members of the core group or other community members would be best placed to interview them.

1 **INCLUSIVE FOUNDATIONS**

2 **REACH OUT FOR BUY-IN**

3 **UNDERSTAND CYCLES AND TRENDS**

4 **PAST, PRESENT AND FUTURE**

5 **UNDERSTAND GEOGRAPHY OF RISK**

6 **PRIORITIZE CHALLENGES**

7 **UNDERSTAND CHALLENGES**

8 **AGREE ON SOLUTIONS**

9 **DEVELOP ACTION PLAN**

10 **TRACK PROGRESS TO LEARN**

- **Ask participants which organizations in the community or institutions serving the community might be able to identify solutions for the issues.** Refer to the institutional map done in *Process 2* to find those with relevant technical profiles and mandates, such as the water authority for water supply issues, the agricultural department of the local authority for agricultural issues. Include the technical support team from the implementing agency. Note the names and contact details of the entities mentioned, and decide which members of the core group or other community members would be best placed to interview them. Offer to support and accompany them.

- **Support the community members who will carry out the interviews.** Use *Resources J, K, L, M and N* to identify relevant questions. Encourage them to do as many interviews as time permits, keeping the information gathered in ways that are most useful for them (mental notes, written notes, audio or video recordings, drawings, etc.)

- **Support the community members who will meet with relevant institutions and organizations.** If necessary, request an interview on their behalf. Using the products they have created (map, calendar, etc.), help them to prepare to explain the issue, why it is a priority for them, and what they need the entity's help for. Use *Resources J, K, L, M and N* to help explore what questions a technical study would need to answer. Encourage them to assign roles (who will lead, who will be notetakers or observers, etc.) and offer to support and accompany them.

- **Share results and come to shared conclusions.** Once the meetings and interviews have been held, hold a meeting to share results, including any testimonies, photos and studies that have come out of the interviews and meetings. Encourage all stakeholders to attend, including the local authorities, organizations and institutions met, the interviewees and the representatives from respective subgroups or clusters. Facilitate discussion, encouraging the community to triangulate (cross check) information from different sources. Agree on the best possible solutions: the ones that are most likely to resolve the problem *and* be funded and carried out in the short to medium term. Take note of these, on a chart or board or by other means.

- **Remind core group members of their responsibility to discuss the results** of the meeting through the participation mechanism and provide feedback at the next meeting. Plan the next meeting for the whole community.

Facilitate discussion, encouraging the community to triangulate (cross check) information from different sources.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

💡 Tips

- <u>If representatives of mandated authorities do not respond</u> to your request for technical support, continue to ask at regular intervals. Alternatively, ask them to come to the community for an interview; direct observation is always more powerful than verbal reports.

- <u>In an urban setting</u>, it is even more important to engage the local authorities from the beginning and at this stage. The local authorities need to be part of the discussion and consensus-building on prioritized solutions and the potential support that they could provide to accomplish these solutions.

- <u>After a disaster</u>, there is usually increased attention on the area and more funding available. Support the community to present their request in ways that relate it to the disaster event and preventing similar losses in the future.

- <u>In an insecure setting</u>, encourage the community to communicate widely, including with local authorities and any coordination forums about any technical assessments that will take place. The presence of outsiders may cause suspicion, but this can be mitigated by clear communications about the CLDRM process and its objectives.

- <u>For a displaced or mobile community</u>, interviews or meetings should include host community stakeholders.

- <u>Use appropriate technology</u> to record meetings, interviews and studies. Photos and sound recordings can complement or replace written notes.

- In addition to the technical questions suggested in *Resources J, K, L, M and N*, interviews and meetings should include the following questions:

  - <u>Government/technicians</u>: Are you aware of this problem in the community? What capacities (knowledge, skills, resources) do you have to deal with the challenge at the household or community level? Have you prepared budgets or made plans to address the issue? Who is responsible for implementing these plans?

  - <u>Experienced key informants</u>: How have people traditionally dealt with this? What attempts have been made in the past to tackle this problem? Have they succeeded or failed and why? How are the problem and possible solutions different for men and women?

❓ Analysis: Key questions to guide the community-centered analysis

- What did the people who have personal experience tell us? How has this helped us to better understand the challenge?

- What did the people or entities that have a mandate or technical expertise tell us? How has this helped us to better understand the challenge?

- Are the potential solutions similar and/or complementary?

- What information do we still need, and where can we look for it?

> **The presence of outsiders may cause suspicion, but this can be mitigated by clear communications about the CLDRM process and its objectives.**

I

Resource I
Techniques to encourage deeper responses to questions should be used during all processes in this guide.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Examples

A villager in Bangladesh is interviewed about the yields in her vegetable garden. Interviews with stakeholders can help the community gain a deeper understanding of the prioritized challenges and potential solutions.
Photo by Jennifer Hardy/CRS
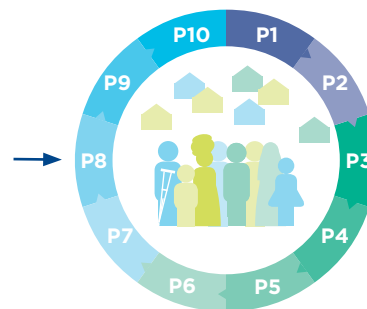
P8 PROCESS 8
Agree on solutions

Estimated time

Sorting solutions: Half-day

Materials

Prepare a list/chart/graphic of the best possible solutions agreed in *Process 7*. Make several copies of it for discussion in groups. Display the institutional map produced in *Process 2*, and the calendar produced in *Process 3*, for reference during the meeting.

Objective

To decide, as a community, which solutions can be implemented by households and collectively by the community, and for which to seek external support.

Description

The community members consider all of the proposed solutions and decide which ones they can implement as individual households and collectively using their current capacities, and for which they need to approach other stakeholders for support.

Product

Two complementary lists of solutions: One to be implemented by households and as a community with their current capacities, and one for which external support is required.

Steps

- **Widely communicate the purpose, day, time, and location of the meeting** and invite all community members, local authorities and organizations, and the interviewees. Find out if there is anyone, such as people with disabilities, who cannot attend but who would like to participate, and make arrangements for them to contribute.

- **Explain the purpose of the meeting.** Remind participants of the solutions that they agreed were preferred and feasible during the previous process. Ask if there has been any feedback from other community members; if so, discuss this and adapt the process accordingly.

- Divide participants into groups of up to eight people, separately for men and women. Encourage one core group member to sit in on each group to guide discussion. Ask each group to **sort the solutions** into two sets, using the key questions for analysis (below) and marking the results on the chart:

  - We can do it: Two sets, including solutions and changes that can be made by individual households and those that can be made by the community (including the organizations and institutions within it) with their current knowledge, skills and resources.

  - We need help: Solutions that require support (financial or technical or both) from the government and others. Share information here about what the implementing agency can contribute and refer to the institutional map to remind those present which entities outside the community could support the implementation of the solutions.

> The community will list both solutions they can carry out themselves and those for which they need help.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- **Bring the groups together to share their results**. Invite discussion until a consensus is reached.
- **Explain that the next meeting will be to make a community-led disaster risk management plan**, in which everyone in the community can play a role.
- **Remind core group members of their responsibility to discuss the results** of the meeting through the participation mechanism and provide feedback at the next meeting.
- **Close the meeting** by thanking everyone for their time and contributions. Take photos of the results and, if necessary, produce a more legible replica to display in an accessible place in the community. Plan the next meeting and invite all stakeholders.

💡 Tips

- <u>In an urban setting</u>, consider conducting this process in groups at different times, to enable all interested community members and other stakeholders to participate and take ownership of the results.

- <u>After a disaster</u>, there may be international organizations present, offering cash-for-work or other incentives for "we can do it" risk-reduction activities. Check the situation before making a plan (*Process 9*), either to connect the community with them or to avoid competition or duplication.

- <u>In an insecure setting</u>, community members may need to get permission from armed actors to take certain actions. Allow time if needed.

- <u>Use technology</u> to share the results of this process and to invite as many people as possible to the next meeting, to create the CLDRM action plan.

❓ Analysis: Key questions to guide community-centered analysis

- Do we have people or households in the community with the skills, knowledge or resources to implement this solution?
- Are they willing to help others (with advice or hands-on assistance) to do so, including the most vulnerable?
- What other skills, knowledge and resources are needed to implement the "We can do it" solutions? Where can we get these?
- Are there any solutions that do not seem to be of interest to the community? If so, which? Should we agree to remove them from the list or keep them for the future? *Note: A list of solutions for the future may be useful as the community might find stakeholders interested in supporting these at a later date.*

Resource I
Techniques to encourage deeper responses to questions should be used during all processes in this guide.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

CONTENTS

RESOURCES

Examples

Risk mapping in Akhta Khana village in Ghor province, Afghanistan. *Photo by Abdullah Amani/CRS*

Risk mapping in Laqak village in Ghor province, Afghanistan. *Photo by Abdullah Amani/CRS*

CONTENTS

RESOURCES

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN
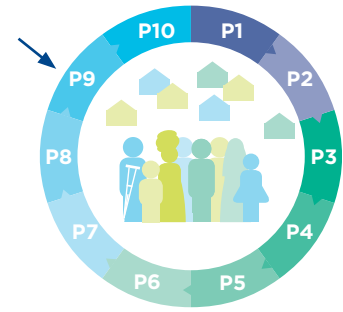
P9 **PROCESS 9**

Develop a community-led disaster risk management action plan

⏰ Estimated time

Making the plan: Half-day
Sharing the plan with stakeholders: Half-day per meeting

✂ Materials

- Sets of solutions from *Process 8*
- Cards, markers and tape or pins

Objective

To produce a community-owned and agreed disaster risk management plan.

Description

The community agrees on a plan, with assigned responsibilities and resources at the household and community levels, to implement and advocate for the solutions it has agreed upon. The community can also think about how to link their plan with the locally relevant government DRM plan, because the local authority may be an important stakeholder in this process.

Product

The product is a **documented plan** showing actions, responsibilities, resources and timing for the agreed solutions. Communities with limited reading and writing skills will need additional help to draw up this document.

👣 Steps

- **Widely communicate the purpose, day, time and location of the meeting** and invite all community members, local authorities and organizations. Find out if there is anyone, such as people with disabilities, who cannot attend but who would like to participate, and make arrangements for them to contribute.

- **Explain the purpose of this meeting to all participants.** Remind them of the two sets of solutions ("We can do it", and "We need help") that they compiled during the previous process. Ask if there has been any feedback from other community members; if so, discuss and adapt accordingly.

- **For each of the solutions, ask the key questions for planning** (below) one by one and record the answers separately on cards, so that they can be rearranged as necessary and displayed to show the plan.

- **Confirm agreement.** Check that the plan is understood by and acceptable to all present. Go over the plan, naming the people responsible and the deadline for each assigned activity. Ask if people feel they have over- or under-committed. Is the plan practical and achievable? Listen carefully to any feedback, and encourage the group to confirm, modify or reject each proposed solution.

🔲 Use *Resource O: Example community-based disaster risk management plan*

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- **Solicit wide feedback.** Use the participation mechanism to communicate the plan and invite feedback by a certain date. Ask for feedback on specific questions such as the following:

  - Is there anything in the plan that you disagree with? Why? (*Decide if this needs further discussion to keep or remove*).

  - What are you able to contribute to the plan (specifically)? It can be any resources or capacities that you have within your community.

  - Do you know anyone who wants to take part in the plan but who needs assistance to do so? Who?

- **Explain about a household-level DRM action plan**. Explain that the solutions or actions that households agreed to implement will be supported through the development of a household-level DRM action plan, to enable each household to implement their solutions, and to identify the support that they might need during the implementation. Also explain that household-level DRM action plans will undergo a follow-up process.

- **Linking and adapting the community DRM plan with a government DRM plan, where applicable**: Many countries have their own national and local DRM planning process that has stipulated or mandated actions, mostly, but not limited to, emergency responses, early recovery and early warning systems. Government DRM plans are likely to be less flexible than community DRM plans so the community will need to align their plans with them, without compromising their priorities.

Follow up and adjust the plan as necessary.

- **Share the final plan with the local authorities and other stakeholders**, and draw up MOUs or formal agreements as necessary.

- **Visit the households that will participate**, and use

  [P] *Resource P: Example household-level DRM action plan* as a guide to agree on commitments to activities and inputs. Ensure that participating households are aware of the follow-up process, such as the monitoring required for their own action plan.

- **Plan the next meeting.** Ask core group members to attend, and other community members and stakeholders who are interested in actively monitoring the progress of the CLDRM plan.

> Government DRM plans are likely to be less flexible than community DRM plans so the community will need to align their plans with them.

Tips

General

- <u>If it is more culturally appropriate</u> to carry out the activity separately with men and women, do so, and bring the results together afterwards. Similarly, if there is a need to carry it out with multiple groups to ensure wide participation, be ready to do so and to compile the results at the end.

- <u>If the detailed discussion reveals problems</u> associated with one of the proposed solutions, (e.g. legal complications, land disputes, state or federal jurisdictions), the item can be taken off the list or a different approach (advocacy, negotiation) can be considered. Emphasize that the plan can be adapted or changed as new information becomes available.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- If the discussion stalls at any point, remind the community that the aim is to come up with appropriate and practical changes that will improve the community's ability to cope with future disasters. If the number of proposed solutions is beyond the community's capacity, or exceeds the program timeframe, the list will be thinned out as people become more aware of their capacity to take on multiple commitments.

- There may also be a logical sequence to some actions, or an urgency to carry out specific actions, such as clearing drainage canals of refuse before the impending flood season. Some actions may need to be prioritized, while others are included in the plan but will start later once other solutions have been implemented, or when resources become available.

- Government DRM plans are likely to be less flexible, so the community will need to accommodate its plans to align with them. For example, a land-zoning process involves multiple government departments and private stakeholders, and can take months or years to complete, so the community might need to remove from their plan any solution that depends on land zoning or defer it. Nevertheless, the community might undertake actions to build community and household resilience to risks arising from land-zoning issues.

- Government DRM plans may require a certain process or format to be used by the community when they apply for assistance or for government approval to carry out community plans. The community should ensure it is aware of these and uses them to qualify for government assistance.

- Aligning community plans: The implementing organization needs to align community plans with those of neighboring communities so that larger issues can be addressed and to ensure that one community's plans are not detrimental to other areas. If there are common priorities across communities, this is a way in which additional resources can be gathered to achieve goals. For example, if a canal is blocked or silted in a neighboring community upstream, the communities downstream might not be getting sufficient water for irrigation. A meeting with the neighboring community is needed, along with other stakeholders who have an interest or influence. This dialogue will help communities arrive at a solution agreed by both communities.

- In an urban setting, people's livelihoods often involve long commutes. Encourage people, especially women whose domestic responsibilities further extend their working day, to be realistic about the time they have available to contribute to DRM activities.

- After a disaster, government actors and international donors may be more willing to invest in DRR. Invite them to the community to learn about the community's plan.

- For a displaced or mobile community, consider getting feedback from the host communities before finalizing the plan. Also, consider aligning the plan with the host community if it is engaged in any DRM planning process.

- Technology: The completed plan can be posted on a website and SMS reminders set up for the wider community to visit it, and "like" or "dislike" it, with space to register constructive comments.

> The implementing organization needs to align community plans with those of neighboring communities so that larger issues can be addressed and to ensure that one community's plans are not detrimental to other areas.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

❓ Analysis: Key questions to guide planning

- What <u>steps</u> (activities) are required for this solution?

- <u>Who</u> will do them? Which individuals? Which households? Which groups within the community? *If any targeting processes have been carried out by the implementing agency or others, share the results. Identify creative ways to support those who want to take part but have restrictions such as time, mobility, etc.*

- <u>What resources are required</u>? *Resources may include material inputs, technical support, labor and money.*

- <u>Where will the resources come from</u> – households, community or external? *Consider government, the implementing agency and its partners, the private sector and other entities who might be interested in supporting these.*

- Are there any solutions that require external support? If so, which? How can we ensure this support? Have we identified the external entities who could provide such support? Have they already committed this support? If not, how can we communicate to them? Who will take on this role?

- <u>When can each step be carried out</u>, and when will all steps have been completed? *Consider the need to put measures in place before the next disaster season and fix an appropriate deadline accordingly.*

- <u>Who will be responsible for checking each step is implemented?</u> *The community (core group or a special monitoring group) will be encouraged to take on this responsibility of monitoring, with oversight by the implementing organization.*

I

Resource I
Techniques to encourage deeper responses to questions should be used during all processes in this guide.

Example

A community planning process in Bangladesh. *Photo by Patrick Gallic/CRS*
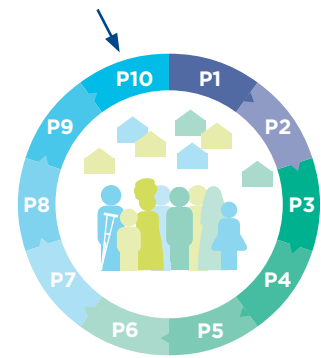
P10 **PROCESS 10**
Track progress to learn

Estimated time

Creating the monitoring system:
Half-day
Monitoring: Variable

Materials

- Display the community action plan (from *Process 9*)
- Flipchart paper and markers, or natural workspace and local materials.

Objective

To set up a simple system to identify and address obstacles, learn from mistakes, and to show to all stakeholders that commitments have been met.

Description

Core group members and other stakeholders, including the implementing agency, contribute to developing a monitoring system for the agreed actions. Volunteer monitors are identified to carry out this role for an agreed period of time.

Product

A **simple monitoring system** that can be managed by volunteer monitors selected by the community.

Steps

- **Display the community action plan developed in the previous process**, in a place easily visible to all participants.
- **Welcome all participants** and remind them of the purpose of the CLDRM initiative. Together, briefly review what was done at the last meeting, discuss feedback obtained through the participation mechanism, and adapt the process accordingly.
- **Explain the purpose of this meeting**, describe how the activity will be performed and what you will produce together. Ask for volunteers to help manage the discussion and tasks involved.
- **Establish the value of monitoring.** Explain the benefits of monitoring, documenting project progress and implementing corrective actions where needed. Stress that monitoring is for learning, and that we can learn as much from our mistakes as from our successes.
- **Establish the importance of accountability.** Explain that we have commitments to the whole community and not only to each other; we should let each other know how we are doing, and resolve any issues together.
- **Agree on what the community is aiming for.** For each solution, ask "If you take all these steps, what will be different next time [*the hazard they prioritized*] happens?' Note or represent pictorially these visions of success on the plan. These elements form the "outcomes" on a monitoring plan. Use the example in
  Q *Resource Q: Example participatory monitoring table* to guide you.

Explain the benefits of monitoring, documenting project progress and implementing corrective actions where needed.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

CONTENTS

RESOURCES

- **Identify volunteer monitors** (those who will conduct the monitoring) from within the core group or other stakeholders, including representatives of households or any subgroups or clusters that were formed at the first stage, to ensure participation. Explore with them whether they are able to monitor one step or a whole solution. Stress that monitoring does not have to take a lot of time, and can be done, for example, on the way home from another activity.

- **Develop a simple monitoring system.** Work together with the monitors to add the outcome (the significant change you expect to see), the indicators (what will tell you it has happened) the target (how many people/households or plots of land or other units will be changed) and the activities that will take place. Discuss how the monitors will actually notice changes (e.g. by simple observation), how often they will check (e.g. once a month), and how they will share this information with the community.

- **Share the plan** through the participation mechanism, and suggest that this can be used for feedback (and complaints, if necessary). Place a box for confidential feedback in an easily accessible place, and use the participation mechanism to explain how to use it. Close the meeting.

After the meeting:

- **Start to monitor.** With the monitors, make a record of the current situation in the participatory monitoring table (*Resource Q*): This will serve as a starting point (baseline) to compare with fresh checks. Agree with monitors how often they will update the table and how the information will be shared with the wider community.

- **Follow up with households that are participating in specific household-level activities**, by using the template in

  P *Resource P: Example household-level DRM action plan and monitoring table*.

At regular, community-wide meetings while the CLDRM plan is implemented:

- **Confirm the exit strategy.** Remind the community of the ways in which the implementing agency, or any other actors supporting the CLDRM process, will gradually transition out of the project. These should include:

  - The ongoing development of leadership capacities of the core group and others who have participated in the processes.

  - Through support for the action plan, strengthening capacities of the wider community to implement a range of solutions themselves.

  - The engagement of other stakeholders, particularly the government, in the CLDRM initiative and action plan.

  - Regular monitoring, with the community monitors, to check the effectiveness of the above strategies, and discussion with the community on how to adjust them if necessary.

> Stress that monitoring does not have to take a lot of time, and can be done, for example, on the way home from another activity.

CONTENTS

RESOURCES

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

💡 Tips

■ To help <u>explain why we monitor progress</u>, ask for examples of when it has been beneficial to notice problems early. Share examples, such as checking on bread in the oven or charting children's progress in school.

■ <u>Pilot the system</u> for a short period (e.g. 3 months) and then reassess. If it is time-consuming, find ways to simplify it. If monitors are not able to keep up with their commitments, consider changing or adding more monitors to share the work.

❓ Analysis: Key questions to guide community-centered analysis

■ <u>What</u> do we want this initiative to achieve? For participating individuals, households, groups and for the community as a whole?

■ How would we be able to <u>see</u> these achievements in participating individuals, households or groups, or in the community? What actions, behaviors and changes would be noticeable?

■ <u>When</u> would we expect to see these actions, behaviors and changes happening? How often should monitors look for them?

■ <u>How often</u> should we discuss what the monitors see, and decide if/what changes need to be made?

■ How can we make sure that anyone with a <u>suggestion, concern or complaint</u> about the project is listened to and feels that their input has been taken into account?

■ How should we share information about the project's progress and achievements with <u>the wider community</u>?

■ How should we share information about the project's progress and achievements with key stakeholders <u>outside the community</u>?

■ What will we do when actions are not proceeding on schedule, or are not successful in achieving the vision we set together?

■ What <u>indications</u> or <u>signs</u> (planned or unanticipated) are there that these changes will be sustained after the implementing agencies' funding/presence ends?

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📘 **ℹ**

Resource I
Techniques to encourage deeper responses to questions should be used during all processes in this guide.

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1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

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Example

Format for participatory monitoring table

	What do we want to achieve?	How will we know we are achieving it? Who is responsible for monitoring?	Progress Report 1 (Date)	Progress Report 2 (Date)	Progress Report 3 (Date)
Vision of success (outcome)					
Targets					
Activities					

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

COMMUNITY-LED DISASTER RISK MANAGEMENT IN PRACTICE

Deepening understanding of drought challenges

Hayu *kebele* (district) is an agro-pastoralist community in western Hararghe, Ethiopia. It frequently experiences drought and, in 2015, community members lost most of their crops and livestock in a more severe drought exacerbated by the El Nino phenomenon.

CRS provided humanitarian aid and obtained funding to enable the community to build its resilience to shocks and stresses such as droughts. As the situation stabilized, CRS facilitators explained the CLDRM approach, and the community decided to undertake a participatory risk assessment. The community reached consensus that erratic rainfall, combined with the agro-ecology of the region, was the main threat to their livelihoods and way of living. They also agreed that the floodwaters coming from the highlands and crossing their lands were as much an opportunity as a hazard.

CRS helped to link them with district water engineers to carry out a feasibility study for irrigation canals to capture the floodwaters. The results of the study were shared with the community and CRS, and they decided to go ahead with the project. The community provided stone and labor, CRS covered the cost of materials and skilled technical supervision, and the local authorities provided machinery. As a result, a 26-meter-long flood diversion canal was built across the *kebele*.

Thanks to the project, 320 hectares of land were irrigated using spate-irrigation techniques and more than 364 households benefited from the interventions. The following year, targeted farmers harvested more than 2,000 quintals of maize in the *Meher* season (mid-April to mid-July), and were even able to sell the surplus at the market and replace the livestock they had lost due to the severe drought.

The community provided stone and labor, CRS covered the cost of materials and skilled technical supervision, and the local authorities provided machinery.

A community in Ethiopia's Oromia state undertakes a village mapping exercise.
Photo by Kim Pozniak/CRS

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

COMMUNITY-LED DISASTER RISK MANAGEMENT IN PRACTICE

Deepening understanding of urban disaster risk reduction to counter flood risk

Due to frequent floods in Bamako, Mali's capital, CRS and Caritas Mali started a disaster risk reduction program. Ward 4 was targeted because it was ranked as the second most vulnerable in the city by the Disaster Management Authority of Mali. It had more than 300,000 inhabitants and no other INGOs were working there. It also contained some of the city's poorest and densest neighborhoods, as well as informal settlements in legislated no-build zones created due to the high risk of flooding.

Prior to CRS' involvement, a hydrological study was carried out in Ward 4, which found that most flooding resulted from human behavior and poor preparedness. The canals intended to alleviate flooding were used as refuse dumps and farming areas, or had homes built on them. The lack of other sanitation services, such as refuse collection, also contributed to flooding.

CRS and Caritas wanted to ensure the involvement of the General Directorate of Civil Protection (the Direction Générale de la Protection Civile, or DGPC) in the initiative, given the mandate of this entity and likely need for infrastructure development. The DGPC agreed, and a memorandum of understanding was signed for the project. CRS, the Disaster Management Authority, Caritas and the chief and leaders of Ward 4 then approached the local government to seek its support. The mayor agreed and instructed local government officials to provide assistance as needed.

Using the data from a hydrological study and participatory risk assessment tools, the community and wider stakeholder group agreed to focus on 16 sectors in 8 quarters of Ward 4. They prioritized these actions:

- Clearing drainage canals that were clogged with solid waste
- Developing a contingency plan and community evacuation plan
- Installing flood-warning markers and rain meters as part of the early warning system
- Providing first aid training to young people
- Planting trees on the floodplains

Given the complexity of some of the issues, they commissioned technical studies to deepen their understanding of some aspects of the problems and to develop appropriate solutions. Based on the results of these studies, they developed a detailed plan. Caritas helped the communities to select representatives to participate in official ward-level planning meetings. Following several of these, at which they explained the problems in their communities and the plan they had created, the municipal government incorporated their plan into the official contingency plans for Ward 4.

Thanks to the community's efforts, the municipal government incorporated the community plan into the official contingency plans for the area.

The installation of flood-warning markers to help people judge flood risk was one of the community's prioritized actions. *Photo by CRS staff*

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

COMMUNITY-LED DISASTER RISK MANAGEMENT IN PRACTICE

Seeking community consensus on solutions to flash flooding

In the town of Martissant, Haiti, one of the community's priorities for disaster risk management was to prevent flash flooding caused by heavy rainfall on the steep hills above the town. When CRS began to help the community to investigate the feasibility of slope protection measures, the importance of consulting a wider range of stakeholders became clear.

CRS and the community's DRM committee held a meeting with the leader of a gang operating in that area, who had expressed suspicion of the initiative. After CRS and the community's leaders explained that they were exploring a solution that would help them all to protect their lives and assets, the gang leader was no longer opposed to the potential project.

When approached by the community's DRM committee and CRS, the National Housing Authority (Unité de Construction de Logements et de Bâtiments Publics, or ULCBP) presented an alternative solution—a plan to relocate the entire community to a safer area over the following 10 years. CRS and the committee members explained the need for more immediate measures to be taken to ensure their safety, for which international funding might be available, pending the results of a feasibility study. The Housing Authority agreed, and CRS contracted a local engineering company to carry out a topographical study and presented initial designs for a slope protection system. At the same time, CRS and other NGOs working with the community carried out a series of transect walks, interviews with key informants, and focus group discussions, to deepen their understanding of why flash flooding happened, how it could be prevented and how the community could be prepared for such hazards.

Based on the results of this consultation and assessment process, the community and CRS agreed to proceed with a pilot slope protection system and other activities to mitigate flood risk. Community members received technical training and worked on a rotational basis on the construction site, thereby also earning income and increasing their prospects for future work.

The pilot project and the consultative process were regarded by all stakeholders as a success, and a larger initiative to create a bridge, a canal, a market and other community infrastructure connecting three villages affected by flash floods was undertaken, with funding from the European Union.

> The community carried out transect walks, interviews with key informants, and focus group discussions to deepen their understanding of why flash flooding happened, how it could be prevented and how they could be prepared.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Persistently advocating for government support for piped water

The villagers of Badas in Puri district, Odisha state, India, had suffered from a lack of safe drinking water for years. The water from an open well was the only source of drinking water for more than 220 households (about 1,000 people). Every year, during floods, the open well was submerged for 10 to 15 days and villagers had no alternative but to drink contaminated water. Despite local government and health department efforts to disinfect the well after each flood event, many children fell sick with gastrointestinal infections caused by the contaminated water.

With support from CRS and its local partner, the Society for Welfare, Animation and Development (SWAD), the villagers of Badas carried out a community-led disaster risk assessment, through which they identified the issue of drinking water as their greatest problem. They made an action plan and decided to present a formal request to the Rural Water Supply and Sanitation Services (RWSS) unit of their local government, to include their village in the Swajaldhara scheme, a national initiative to extend piped water to rural communities. With CRS and SWAD's support, they wrote and submitted an application using the required government forms, and the RWSS agreed to fund the project. However, 5 months later, no work had started in the village.

Undeterred, the community leaders resubmitted their application and, with accompaniment from SWAD and CRS, regularly visited the authorities to ask about the scheme's progress. Each time, they explained the participatory process they had followed, their collective decision, and reiterated their formal request under the official scheme. Eventually their persistence and advocacy paid off, and installation of the water pipes began. Almost a year after they had made their action plan and submitted their application, the villagers were able to collect piped water for the first time from tap stands in their own community.

The community's persistence and advocacy paid off, and installation of the water pipes began.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Collaborative approaches to food insecurity and drought challenges

When the Tillaberi region of Niger was affected by a severe food crisis during the 2011/12 agricultural season, CRS and its partner Association pour le Bien-Être Collectif et l'Écologie (ABC Ecologie) decided to change the way they responded to such situations. In addition to providing humanitarian assistance, they grouped the communities into ecological zones and helped them to form community disaster management committees, including men and women.

Over the following weeks, they supported the committees to carry out participatory disaster risk mapping, and to prioritize the risks they wanted to address. Several communities identified the main problems as irregular rainfall, sand invasion and erosion of cropland. With CRS and ABC's support, community members discussed ideas on how to manage the problems using methods such as contour bunding, anti-erosion dykes, stone walling, and others. They categorized each idea either as a solution they could implement themselves, or one that required support from NGOs or the government. With CRS and ABC's facilitation, they also discussed the importance of early warning systems, and the need to connect community information systems with those managed by governments.

The local government and several international NGOs present in the area showed an interest in supporting the communities to become better prepared and mitigate future crises, so they jointly developed an action plan that became the Bonbatu ("I become stronger") project. NGOs and government extension workers provided training to community members on how and when to track key indicators related to drought and food security crises, such as crop prices, production and livestock health. The communities regularly provided the data they collected to government officials, so that the early warning system could detect an emerging crisis and take early action. NGOs also set up a cash-for-work system to enable community members to earn money while contributing to building dykes and other structures to manage climate risks and protect their livelihoods.

The participating communities were pleased to recover their degraded lands and to know that they were better prepared for future droughts. The government and NGOs were also satisfied with the results of this collaborative DRM experience and went on to replicate it in other regions.

> NGOs and government extension workers provided training to community members on how and when to track key indicators related to drought and food security crises, such as crop prices, production and livestock health.

NIGER

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Resources

RESOURCE A: OVERVIEW OF ALL STAGES AND PROCESSES IN THIS GUIDE

STAGE 1 ENGAGE

- **P1** PROCESS 1: BUILD INCLUSIVE FOUNDATIONS FOR CLDRM
- **P2** PROCESS 2: REACH OUT FOR BUY-IN

STAGE 2 ASSESS RISK

- **P3** PROCESS 3: UNDERSTAND CYCLES AND TRENDS
- **P4** PROCESS 4: UNDERSTAND OUR PAST, PRESENT AND FUTURE
- **P5** PROCESS 5: UNDERSTAND THE GEOGRAPHY OF RISK
- **P6** PROCESS 6: PRIORITIZE COMMUNITY CHALLENGES

STAGE 3 DEVELOP AND TRACK AN ACTION PLAN

- **P7** PROCESS 7: DEEPEN UNDERSTANDING OF CHALLENGES
- **P8** PROCESS 8: AGREE ON SOLUTIONS
- **P9** PROCESS 9: DEVELOP A CLDRM ACTION PLAN
- **P10** PROCESS 10: TRACK PROGRESS TO LEARN

1 INCLUSIVE FOUNDATIONS
2 REACH OUT FOR BUY-IN
3 UNDERSTAND CYCLES AND TRENDS
4 PAST, PRESENT AND FUTURE
5 UNDERSTAND GEOGRAPHY OF RISK
6 PRIORITIZE CHALLENGES
7 UNDERSTAND CHALLENGES
8 AGREE ON SOLUTIONS
9 DEVELOP ACTION PLAN
10 TRACK PROGRESS TO LEARN

RESOURCE A (CONT): OVERVIEW OF ALL STAGES AND PROCESSES IN THIS GUIDE

Stage	Process	Objective	Product
Stage 1: Engage	**Process 1:** Build inclusive foundations	To promote inclusive, transparent and sustainable community-led disaster risk management planning and implementation	A participation mechanism and agreement on roles, responsibilities and conduct.
	Process 2: Reach out for buy-in	To identify the institutions and organizations (including their roles and relationships) that could contribute to disaster risk management in the community.	A poster, chart or photo of the work area, showing the community at the center and the organizations discussed around it, with a clear legend/key. This is sometimes called a stakeholder or institutional map.
Stage 2: Assess risk	**Process 3:** Understand cycles and trends	To enable men and women in the community to understand how their well-being, vulnerability and exposure to hazards change over a calendar year, and how their lives are affected by the natural environment and social context in which they live.	A visual annual calendar showing the main activities, events and periods of increased risk that characterize life in the community. This is sometimes known as a seasonal calendar.
	Process 4: Understand the past, present and future	To create a shared understanding of how the community has changed and continues to change, and to stress the need for planning to manage change; to establish the frequency of disasters and other stresses, motivating the community to reduce disaster and climate risk.	A timeline showing past, present and future.
	Process 5: Understand the geography of risk	To reinforce an understanding of why some areas of the community are more at risk than others, and what resources can be managed to reduce risk.	A user-friendly risk and resource map of the community.
	Process 6: Prioritize challenges	To decide, as a community, which disaster and climate risks to address.	A list of agreed priorities for community-led disaster risk management.
Stage 3: Develop and track an action plan	**Process 7:** Deepen understanding of challenges	To gain a deeper understanding of the prioritized challenges, and the existing capacities, mechanisms and potential solutions at the community and household levels.	Written or mental notes from interviews and, if relevant, the documented recommendations of technical studies.
	Process 8: Agree on solutions	To decide, as a community, which solutions can be implemented by households and collectively by the community, and for which external support will need to be sought.	Two complementary lists of solutions: one to be implemented by households and as a community with their current capacities; and one for which external support will be required.
	Process 9: Develop a CLDRM action plan	To produce a community-owned and agreed disaster risk management plan.	A documented plan showing actions, responsibilities, resources and timing for the agreed solutions. Households will each implement agreed household-level solutions through their individual action plans.
	Process 10: Track progress to learn	To set up a simple system to identify and address obstacles, to learn from mistakes, and to show to all stakeholders that commitments have been met.	A simple monitoring system that can be managed by volunteer monitors selected by the community.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

RESOURCE B: RECRUITMENT AND INDUCTION OF CLDRM FACILITATORS

When recruiting facilitators for community-led disaster risk management, aim to identify suitable men and women from the area in which the target community is located. Facilitators may also be from the target community itself, as long as they fully understand the need to be impartial and are well-accepted by all sectors of the community. The advantages of recruiting locally are:

- ☑ A common language and culture will enable facilitators to quickly establish a good relationship with the community.
- ☑ Even if the implementing agency or the partner is not known in the community, community leaders and members may feel more confident that the initiative is intended to benefit them, and will be "owned" by them.
- ☑ The skills developed by the facilitators will contribute to the sustainability of the initiative and others in the community.

Each CLDRM initiative should have at least one female facilitator and one male facilitator, so that they can facilitate activities and meetings for women and men separately. In meetings with the entire community and when interacting with external stakeholders, they should be able to rotate the lead role.

Look for evidence of the following competencies and values when recruiting:

Key skills and competencies

- ☑ Self-awareness
- ☑ Good interpersonal and communication skills
- ☑ Active listening skills and the ability to respond appropriately
- ☑ Good planning, self-organization and time management skills
- ☑ Adequate literacy and numeracy skills
- ☑ Good problem-solving abilities
- ☑ The ability to motivate others
- ☑ Flexibility
- ☑ A positive, constructive attitude

Values

- ☑ Committed to principles of inclusion, leadership by the community, and accountability
- ☑ Honesty

Explain to potential and new recruits that facilitators of CLDRM do tasks such as:

- ☑ Arranging and holding meetings with government authorities
- ☑ Approaching community leaders and explaining CLDRM to them
- ☑ Finding out about target communities by reading reports, studying maps and talking to people
- ☑ Planning and publicizing community meetings
- ☑ Studying the guidance for facilitation (this document)

CONTENTS

B

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES
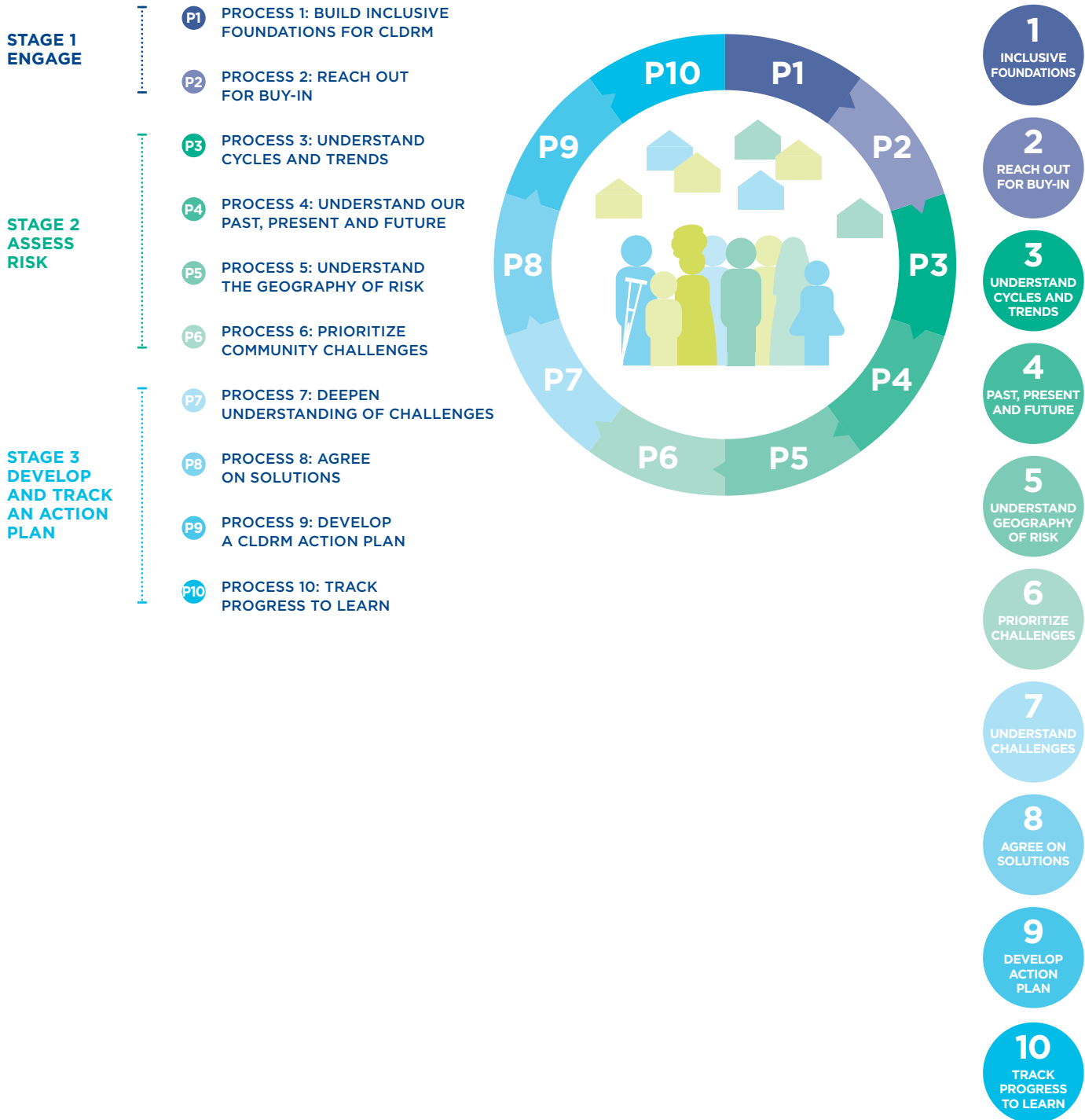
7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- ☑ Setting up the participation mechanism, which involves clustering households according to the community's preferences, and documenting it
- ☑ Coaching and supporting the core group of participants to use the participation mechanism
- ☑ Preparing materials for meetings
- ☑ Giving instructions
- ☑ Facilitating participatory meetings, within agreed times
- ☑ Generating respectful discussion
- ☑ Observing levels of participation and using appropriate techniques to encourage people to share their views, experiences and knowledge
- ☑ Organizing, and noting or drawing, people's inputs on posters, boards or the ground (as appropriate) in ways that make them clear and easy to understand
- ☑ Inviting and recording feedback on facilitation
- ☑ Visiting people in their homes to motivate them to join meetings or contribute in other ways
- ☑ Carrying out interviews
- ☑ Taking photos
- ☑ Recording and storing materials produced at meetings
- ☑ Maintaining a log of activities and results
- ☑ Helping community members to prepare for official meetings and accompanying them to such meetings
- ☑ Training other facilitators

All facilitators should be trained in the implementing agency's methodology for community-led disaster risk management (this guide), and should have the opportunity to observe more experienced facilitators before they begin to work alone.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

RESOURCE C: GOOD PRACTICES IN CLDRM FACILITATION

To improve your preparation for and implementation of CLDRM, use the following guidance on good practices from experienced facilitators:

Before starting to work with a community

☑ Familiarize yourself with the community's internal organization and cultural norms, so that all your interactions demonstrate respect for these.

☑ Liaise with community leaders and highly regarded community members prior to your first visits (and subsequent ones, if required) to ensure they are informed of and in agreement with the planned initiative.

☑ Conduct a stakeholder analysis and establish contact with key stakeholders, including government authorities, to inform them of the initiative and find out about their current activities and plans.

During each visit

☑ Explain that the process to be carried out is part of a sequence; it builds on the previous one and is linked to the next one.

☑ Respect any community protocols, for example, by paying courtesy calls to local leaders and government officials before meeting with other community members.

Before and at meetings

☑ Have all the materials ready for each activity before starting. Make sure they are visible to all participants and correspond with their literacy levels.

☑ Start with an informal activity or discussion to break the ice.

☑ Hold separate meetings for men and women to facilitate genuine participation. In some cultures, women are actively discouraged from speaking in public; in others, they may be unaccustomed to doing so. If needed, hold separate meetings with older people, youth, marginalized ethnicities or tribes in the minority, and vulnerable groups.

☑ Use seating arrangements (such as in a circle) that demonstrate that all participants, including the facilitators, are on the same level and their opinions are of equal importance.

☑ Learn people's names and use them.

☑ Go through each activity one step at a time and be flexible to the group's needs. The estimated time is just that, an estimate.

☑ Use terms that are familiar (but respectful) to everyone—such as local words for houses and leaders—and locally used measures for time, weight, distance, etc.

☑ Create conditions for everyone to speak and listen. If leaders and other individuals tend to dominate discussions, encourage them to listen to others' suggestions. If they continue to dominate, consider giving them a separate task that will contribute to the process but gives other participants space and/or time for discussion, or suggest alternative ways for them to participate, such as through individual interviews.

☑ Encourage and welcome all inputs, and make clear that there are no wrong answers. Always congratulate and thank the whole group before closing the activity.

C

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

☑ At the end of each activity or meeting, ask participants what they liked and did not like, so you can adapt it for the next time.

☑ If some community members or households do not appear to be interested or willing to come to general meetings, suggest holding separate meetings with them.

For meetings with government institutions and other organizations

☑ Encourage community members to lead the government engagement meetings; help them prepare, and then provide support only when necessary during the meetings.

☑ Support community members to make consistent and continuous follow-up with government to access official schemes and services.

Remember:

☑ To "facilitate" means "to enable, to make easier and to help". Your role is therefore to help participants to express themselves, to analyze what they and others have said, to identify solutions and reach agreements.

☑ A facilitator is not the same as a teacher, advisor, mentor, leader or other authority. Your role is to help participants to better understand their own situation and to make their own decisions about how to improve that situation.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

D

RESOURCE D: HOW THE EXCLUSION OR INCLUSION OF FREQUENTLY MARGINALIZED SOCIAL GROUPS AFFECTS DISASTER RISK

Exclusion	Inclusion
Women and girls The gender roles assigned to women and girls may prevent them from participating in training and awareness-raising activities that could save their lives. For example, in a flood, women may die because they are less likely than men to be able to swim, or because they stay behind to help children or the elderly. Pregnant women in disaster-affected areas are among those at the highest risk, and need special assistance for safe evacuation and access to health services. Their participation in the CLDRM process is vital. As women bear much of the responsibility for the safety and health of children and other family members, and are often primarily responsible for the provision of food and water, their workload dramatically increases in disaster situations when these are scarce. Also, women often have less access to and control over resources, and less involvement in decision making than men, which can undermine their ability to resist and recover from a disaster. For example, women may not be able to access work opportunities because the sites are too far away, or they may not have a toilet or baby care facilities.	Women have multiple perspectives on risk, given their productive, reproductive, social, political and other roles. They are often the networkers and household managers, and have a good understanding of community dynamics. Their participation in analysis, prioritizing risks to address and creating solutions is therefore of great value to the entire community. Also, as they are predominantly caregivers, they can help to reduce risk for some of the most vulnerable people in the community.
People with disabilities Physical disabilities often limit mobility and, if suitable arrangements are not made, prevent people with those disabilities from attending meetings about community development issues. Also, attitudes toward disability can lead to people with disabilities being excluded from consultation processes, which prevents them from participating in decisions that could reduce their vulnerability to hazards. For example, in evacuation planning, routes may be agreed without considering whether they are accessible to people with disabilities. Evacuation sites also need to be accessible to those with disabilities.	Having a specific disability does not prevent a person from having skills that can be nurtured to reduce risk. It may even make that person more aware of the vulnerabilities and limited capacities of others, thus increasing the importance of their contribution to risk assessment. Also, some people living with a disability cannot participate in productive physical tasks in the community and may therefore be able to dedicate more time to other actions that will benefit the community.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Exclusion	Inclusion
Older people Reduced mobility may prevent the elderly from participating in activities and decisions. Young people may lack an awareness of the knowledge and skills of older members of the community, which may mean the older people are not consulted about issues that affect their community, homes and families. A lack of consideration of their specific needs makes them more vulnerable in a disaster and displacement situation.	Older people's life experiences and their knowledge of traditional coping mechanisms and risk reduction measures are valuable assets to bring into discussions and activities to build resilience. For example, in the past, in India and Bangladesh, older women would save rice on a regular basis to reduce the cost of food during disaster times.
Children and youth As with older people, a lack of awareness of children's and young people's valuable perspectives on risk can lead to them being overlooked in risk assessments and considerations of problems and solutions. Also, if children and young people have not been taught about disasters, they may not know what to do in the event of a warning or evacuation. In the Philippines, for example, many people, including children, died during Cyclone Haiyan because they did not understand the meaning of "storm surge" in the early warning communications.	Children and youth can be influential agents of change among their peers and in their households, and therefore catalyze behavior change on a much larger scale (as in community-oriented school safety initiatives where children learn preparedness measures and evacuation procedures at school and then teach their families). The knowledge and skills they acquire are strong foundations for future leadership.
Other marginalized groups Exclusion is also experienced by people because of their gender or race, or because they are considered to be of a lower caste. They may be discriminated against because they are migrants, members of an indigenous or displaced community, or similar marginalized group.	Groups that are marginalized in one society or community are sometimes culturally connected to others outside it, and therefore may have access to different sources of knowledge, resources and innovations.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

RESOURCE E: PUTTING PRINCIPLES INTO PRACTICE: FACILITATION CHECKLIST

Use the following checklist regularly to ensure your facilitation promotes a community-led, inclusive and accountable approach to disaster risk management.

Community-led disaster risk management

☑ Ensure you understand and agree with the concept of leadership by the community. If you are not sure, ask for training, support or resources to help you understand the reasons for and benefits of this approach.

☑ Discuss with the community what "community-led" means as early as possible in the process, and ask what skills and knowledge they need to lead the process.

☑ Identify people, especially women, who have natural leadership skills and encourage them to participate actively in the process. If necessary, facilitate separate discussion groups for women, and channel their ideas into the wider community discussion.

☑ Encourage and facilitate representatives of vulnerable groups to take on leadership roles in the community.

☑ Encourage and support community leaders and representatives to coordinate with government, other NGOs and community-based organizations (CBOs) on their DRR program and policies.

☑ Praise solutions that indicate the commitment of the community's own resources and skills.

☑ Be clear that the implementing agency's involvement is not permanent, and that the community will need initiative and commitment to take forward their DRM plans after the project ends.

Inclusion of all community members

☑ Ensure you understand and are trained on inclusion concepts and practices, including gender, and that you are able to train colleagues, volunteers and others.

☑ Find out about the demographic composition of the community before you start any formal activities or project planning, so that you can check if any groups are under-represented in the process.

☑ Get advice, support and/or training if there are groups that you are not sure how to include. Find out what barriers are preventing their participation. For example, you may need to find alternative ways to reach and involve groups that speak a different language, who are considered by the community to be of a lower caste, or people whose health does not enable them to attend public meetings.

☑ Always ask community members, especially women, about the most convenient times for their participation in meetings and other activities.

☑ Hold activities in places that are accessible to people with mobility restrictions or those considered by the community to be of a lower caste, and program activities at times when men and women can take time out from their ongoing responsibilities. Use project resources to remove or overcome barriers to participation, such as providing free transportation to meetings, if necessary.

☑ Find out what the power dynamics and governance arrangements are in the community before you start the DRM planning or implementation, so that you are prepared with mechanisms to ensure the less powerful participate as fully as those who hold power.

E

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

☑ Find out how different groups of people in the community like to receive information, so that you can incorporate those ways into the participation mechanism and communications materials.

☑ Find out how different groups of people would feel most comfortable giving feedback, and incorporate those ways into the participation mechanism and other feedback and complaints mechanisms.

☑ If any community structures (associations, organizations, unions, informal networks) already exist, try to engage them. Look for gaps, based on your knowledge of the composition of the community, so that you can also encourage participation from less-organized groups.

☑ Encourage communities to select male and female representatives, especially from the most vulnerable and/or marginalized groups, to attend meetings. If participation is predominantly by men, encourage more women to attend (and vice versa).

☑ During meetings where men and women are present, create specific opportunities for women to speak.

☑ Encourage men and women to represent the community when meeting with authorities and officials. Development of leadership skills among men and women is important.

☑ Encourage and check that all groups implement agreed plans. If they do not, discuss the barriers they may be facing and identify ways to overcome them.

☑ Seek advice from your MEAL advisor if you need further support.

Accountability

☑ Ensure you understand and are trained on accountability to program participants, and that you are able to train colleagues, volunteers and others.

☑ Tell the community about your agency background and your intentions and timeframe. Always communicate in languages, formats and media that are easily understood, respectful and culturally appropriate for different members of the community.

☑ Set realistic expectations with the community, government and other stakeholders, and be clear about the timeframe of your involvement. Establish a step-by-step plan that will enable them to sustain the DRM process and efforts when your involvement ends.

☑ Inform the community of their rights when participating in the program, and encourage them to request the same of other actors.

☑ Encourage and facilitate communities to provide feedback on the DRM process, using the participation mechanism and all other appropriate means.

☑ Repeatedly explain how to give feedback and make complaints via the participation mechanism and other means. Explain how feedback and complaints are managed. Address feedback and complaints in a timely, fair and appropriate manner that prioritizes the safety of the complainant and those affected at all stages.

☑ Support community members, including women, to participate in relevant coordination bodies so they receive information first-hand and can ask questions directly.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

A CRS staff member assesses needs after an earthquake in Nepal in 2015. If you are considering starting CLDRM after a recent disaster, consult post-disaster needs and risk assessments that have already been conducted.
Photo by Jennifer Hardy/CRS

RESOURCE F: DECIDING WHERE TO WORK

Use the following criteria to help you decide where to introduce CLDRM.

1. Focus of and restrictions on available and potential funding sources

Consider what funding sources for CLDRM exist or could exist in your country or region. Find out if the funds are limited to certain geographical areas and populations, and if any other conditions exist. It is better not to raise people's expectations until a realistic opportunity for funding is available.

2. Level and extent of disaster risk

Community-led disaster risk management is most effective when communities face a high probability of being impacted by a significant hazard in the following 1 to 2 years. To assess the level and extent of risk, you need to consider the frequency and impact of previous disasters, the current and projected effects of climate change, and the extent to which different demographic groups are vulnerable. To find this information, talk to local and national governments (particularly for climate change data, which may be difficult to obtain), health authorities, NGOs and civil society organizations in the area, and read existing studies, risk maps and assessments, including post-disaster needs and risk assessments if you are considering starting CLDRM after a recent disaster.

3. Security and access conditions

Local conditions (socio-political context) will affect your interaction with the community, what the community members are able to do, and even their continued presence in the area. They also directly affect your team's safety and wellbeing. Talk to NGO and CSO staff who know the community and regularly visit the area, Red Cross or Red Crescent volunteers and staff, and government officials, emergency services and the local police (or military authorities). Always consult your security advisor.

4. Potential coverage and impact

While all people and communities have the right to safety, we have a responsibility to use our funds efficiently and where they can make the greatest difference. For these reasons, we try to do CLDRM with communities where there are high numbers of vulnerable people. To find this information, consult demographic studies, census data and risk maps, and talk to local governments officials, health and education authorities, and NGOs and CSOs in the area. If this information is not readily available, we may consider doing our own assessment, to look at the incidence of poverty, malnutrition, disease, landlessness and other indicators of risk.

5. Community interest and motivation

As CLDRM depends on leadership by the community, it is very important to know how interested and motivated they are, or may become, in reducing disaster risk. The best way to find this out is by talking to people from different sectors of the community: leaders and people who are not in formal leadership positions, women and men, younger and older people, people from different ethnic groups, people considered by the community to be of different/lower castes, other marginalized groups, etc. Ask them if they have ever lost anyone or anything in a disaster, and if they would be willing to attend meetings, contribute to community initiatives, and make changes to the way they live and work in order to prevent more losses in the future. Find out what their priorities are. Also talk to other NGOs that have worked or work in the same communities, to find out what the level of participation was in their projects, and if they have plans for future projects that might compete for people's time.

6. CRS and partner presence, relationships and entry points

Many of the above considerations will be known if we do CLDRM in locations and with communities where we are already working, or where we have partners. Where possible, use existing programs, including development and emergency responses, as entry points for CLDRM. Talk to your colleagues to find out where disaster and climate risks are high, and where they see potential for CLDRM.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

RESOURCE G: HOW TO INTRODUCE YOUR ORGANIZATION

Use the following guidance when presenting your organization and plans to government authorities and other organizations.

Who are we?

Mention:

- ☑ Your organization's name and those of your partner organizations for this project
- ☑ Your organization's and any partners' mandate
- ☑ Your organization's and any partners' sectoral competencies
- ☑ Your organization's and any partners' history in the area, if relevant
- ☑ Your organization's values (assisting the most vulnerable, inclusion, gender equity and accountability) and what they mean
- ☑ Your main sources of funding

Why are we here?

Mention:

- ☑ Disaster risk (hazard occurrence, what makes people vulnerable)
- ☑ How disasters have impacted people in the area
- ☑ Any assessments that you have undertaken
- ☑ Any funding that has been obtained for the community

What is our objective and what activities are planned?

Mention:

- ☑ Areas where you plan to work
- ☑ How you decided to work there
- ☑ What you plan to achieve through your presence in the area
- ☑ What community-led disaster risk management is and what kind of activities you will be doing (explain that you will be holding a series of meetings to enable the community to better understand the disaster and climate risks it faces, and how to reduce and manage those risks. When this is done, you will be supporting the community in specific activities to build their resilience).
- ☑ How the type of project activities will be decided, and by whom
- ☑ How long the project will last

Who are the beneficiaries/participants?

Mention:

- ☑ How many people will benefit
- ☑ What they will receive
- ☑ What they are expected to contribute
- ☑ Why certain people or communities were selected
- ☑ Who was involved in deciding who the beneficiaries should be

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Who/which other organisations will be involved?

Mention:

- ☑ Existing agreements with other stakeholders
- ☑ Plans to engage government, civil society organizations, the private sector and others

How much will the project cost?

Mention:

- ☑ The value and volume of materials
- ☑ The number of staff who will be employed to provide training, facilitation etc

How to give feedback or register a complaint about any aspect of the project

Mention

- ☑ Who the project manager is and how to contact them
- ☑ Other confidential mechanisms and how they work, such as a complaints boxes or hotlines
- ☑ What to do if the feedback or complaint is about the project management

- ■ Adapted from *The Good Enough Guide: Impact measurement and accountability in emergencies*, Tool 1 (available in 14+ languages)

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

RESOURCE H: ROLES, RESPONSIBILITIES AND CONDUCT AGREEMENT

Adapt this sample format to discuss and develop an agreement with the core group (and local partners) on how you will work together. The implementing agency could share its Code of Conduct with the core group and ensure the group understands the broad themes of key humanitarian standards. A memorandum of understanding is not legally binding.

Date: _____

Name of community: _____

Location of community: _____

Representative(s) of community: _____

Contact details of representatives: _____

Name of implementing agency: _____

Representative(s) of implementing agency: _____

Contact details of representatives: _____

Name of partner organization: _____

Representative(s) of partner organization: _____

Contact details of representatives: _____

Agreement on roles, responsibilities and conduct for community-led disaster risk management planning and implementation in *(insert name)* community.

The above-named representatives agree on the following:

Roles

- The implementing agency's role is to resource and support its partner organization *[insert name]* to coordinate the CLDRM planning and implement processes in this community.
- *[Insert partner organization name]*'s role is to coordinate the CLDRM planning and implement processes in this community.
- The role of *[insert name]* community is to participate in and gradually assume leadership of the CLDRM planning, and implement processes coordinated by *[insert partner organization's name]*.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Responsibilities

The implementing agency is responsible for:

- Providing information to the community about its mandate, activities and funding sources
- Providing sufficient funding to *[insert name of partner organization]* to coordinate the CLDRM processes in accordance with best practices and the implementing agency's principles and values
- Liaising with external stakeholders, including government, in support of the CLDRM initiative
- Maintaining regular, fluid and honest communication with the other parties to this agreement

The partner organization is responsible for:

- Providing information to the community about its mandate, activities and funding sources
- Recruiting sufficient and qualified human resources for CLDRM planning and implementation
- Facilitating all processes to the satisfaction of the community
- Ensuring the participation mechanism is established and functioning throughout the CLDRM
- Liaising with external stakeholders, including government, in support of the CLDRM initiative
- Maintaining regular, fluid and honest communication with the other parties to this agreement

The community is responsible for:

- Encouraging all the households within it to participate in CLDRM planning and implementation
- Putting forward a core group that will participate in all meetings and establish an effective participation mechanism
- Participating in all processes and producing the planned products
- Ensuring that men and women are proactively informed and welcomed into the CLDRM initiative
- Ensuring that vulnerable and marginalized groups are proactively informed and welcomed into the CLDRM initiative
- Producing and implementing an action plan (at the community level) that has been agreed to by all its members
- Monitoring the implementation of household action plans agreed to by all its members
- Reducing any conflict that arises between its members during the processes
- Maintaining regular, fluid and honest communication with the other parties to this agreement

Conduct

The implementing agency, *[insert name]* partner organization, and *[insert name]* community agree to:

- Adhere to and promote internationally recognized standards for quality and accountability in humanitarian action
- Promote and demonstrate inclusion, leadership by the community and accountability throughout the CLDRM initiative
- Act with professionalism and transparency toward each other and other stakeholders at all times.

Duration of this agreement: *[insert number of months]*

Signed by: _____

Representative(s) of the implementing agency: _____

Representative(s) of partner organization: _____

Representative(s) of community: _____

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

RESOURCE I: TECHNIQUES TO ENCOURAGE DEEPER RESPONSES TO QUESTIONS

To encourage participants in meetings, interviews and focus group discussions to speak openly and extensively about the points they want to share or explain:

☑ **Do show that you are listening attentively** by making comments such as "That's really interesting, can you tell me more about it?"

☑ **Do use positive body language** (nodding head, leaning forward or other culturally appropriate behavior) and verbal cues to show your interest in hearing more.

☑ **Do avoid closed-ended questions** (those that can be answered with "yes" or "no"). If you must use them, follow up with open-ended ones such as "Why?" or "What kind of …?"

☑ **Do gently express confusion if you hear contradictory views**. By explaining "Before I thought you were saying X but now I think I'm hearing you say Y", you encourage respondents to clarify similarities or differences.

☑ **Do occasionally echo what a respondent says** with a slight rise in your tone, to turn it into a question. If they have said "Refuse is a big problem around here", and you respond with "Refuse is a problem here?", they are more likely to provide more details or explain why it is a problem.

☑ **Do occasionally ask a respondent to repeat** what they have just said. They will probably include additional information or emphasize the aspects that they consider most important.

☒ **Don't be afraid of silence**. It gives respondent(s) time to think through what they want to say and add further details.

☒ **Don't show any judgement** about a respondent's point of view. Even if you do not agree with it, acknowledge what they have said and ask them to explain further (unless this will cause other people to feel offended or under attack).

☒ **Don't show surprise** or any reaction that will make people feel uncomfortable about divulging information if they are talking about something controversial or sensitive. Use one of the above techniques to encourage them to continue speaking.

☒ **Don't base your questions on assumptions**. By asking "Do you eat or sell your rice?", you are assuming that the person cultivates rice. They may not wish to contradict you and so may give you the answer they think will satisfy you.

☒ **Don't lead respondents** to answer in a certain fashion by showing your own opinions.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

RESOURCE J: DEEPENING UNDERSTANDING OF DISASTER RISK MANAGEMENT ARRANGEMENTS AND SOLUTIONS

Use of italics denotes information that is likely to have been generated through other processes but which should be cross-checked (triangulated) through this process.

General

- What disaster-related policy/act/law/standing order/strategy/budget exists at the national and local levels?
- What government-led initiatives to reduce or manage disaster risk (such as programs, drills or simulations) exist at the national and local levels?
- *Which national and local government bodies are legally mandated to reduce or manage disaster risk?*
- *Which other actors (nongovernmental, Red Cross, etc.) are involved in DRM in this area? What are they doing?*
- *Are communities aware of government and NGO DRM activities from which they may benefit?*
- *In the communities where we are working, which village/community-based organizations/task forces/other teams or structures are dedicated to or responsible for DRM? Are they functional? What do they do? How are women, people with disabilities, older people, youth and other social groups involved? How would they like to be involved? Do members change over time? If not, why not?*
- What type of capacity building (e.g. training, drills, etc.) initiatives have the communities, community organizations or households participated in?

Early warning systems

- *What early warning system, structures and equipment exist for each type of hazard/shock/ trend?*
- What information-dissemination channels or systems exist at the community, village and at local or higher government levels? Who collects? Who disseminates? Who receives? What time of year?
- How effective do stakeholders think the information-dissemination systems are?
- What actions are taken in response to warnings? Who orders the actions? Who takes the actions?
- How effective are these actions for protecting the lives, livelihoods and health of people in the community?
- What other actions do people in the community think should be taken?
- How are women included in this system? Do women have any responsibilities? What are their opinions on this?
- How are vulnerable groups included in the system? Do they have any responsibilities? What are vulnerable groups' opinions on this?
- In what ways did people traditionally know that a hazard was imminent/developing? Who still has this knowledge?

Evacuation

- *How many households are exposed and may need to be evacuated per hazard/shock?*
- *Where do you go if there is an evacuation instruction?*
- How is evacuation organized? How effective is it?
- During evacuations, what special support is provided to households with people with disabilities, pregnant women, nursing mothers, the elderly and sick? How effective is it?

J

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2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

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6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- What happens to livestock during evacuations? What arrangements are there for fodder, water, etc.? How effective are they?
- *How do people evacuate? What vehicles or equipment are used*? Do they meet the community's evacuation needs? What about people requiring special support?
- *Where do people evacuate to?* What is the capacity of these sites? What facilities (water and sanitation, beds, other) do these sites have? Do they meet the community's needs? What about people requiring special support?
- What do the exposed households with small business do? To what extent are their businesses protected and maintained?

Household preparedness

- Are there customary household-level preparedness activities such as storage of seed, food, water, medicine, cash, documents, fodder and fuel; livestock vaccination; portable stoves, etc. If so, what are they and who does them?
- Do households have an evacuation plan? If so, where do they go? Who decides?

DRM support

- *What kind of programs or initiatives does the community, especially the most vulnerable, think are needed to improve DRM structures, systems and procedures?*
- *What other opportunities to improve DRM structures, systems and procedures exist?*
- To what extent are these feasible, considering their cost, current skills and knowledge, market conditions, etc?
- Would any of the ways in which people want to improve DRM structures, systems and procedures negatively affect the environment? If so, how could such effects be avoided or mitigated?

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

RESOURCE K: DEEPENING UNDERSTANDING OF LIVELIHOODS ISSUES AND SOLUTIONS

Use of italics denotes information that is likely to have been generated through other processes but which should be cross-checked (triangulated) through this process.

General

- What policies/strategies/programs/budgets exist at the national and local levels for livelihoods protection and resilience?
- *Which national and local government bodies are responsible for implementing them?*
- *How is information about government resources for NRM provided to the communities?*
- What are other INGOs, national and local NGOs doing in relation to livelihoods protection and risk-informed recovery in the areas where we are working?
- In the communities where we are working, which groups or structures exist to strengthen/protect/recover livelihoods? What do they do? How are women, people with disabilities, older people, youth and other social groups involved? How would they like to be involved?
- *What kind of programs or initiatives to strengthen/protect/recover livelihoods have been/are being implemented or are planned in the community where we are working?*

Information systems

- What information exists from specialized agencies such as:
  - National government meteorological and geological agency on weather data (past and forecast), geological and hydrogeological data.
  - Independent agencies, institutes and specialized regional agencies such as FEWS-NET; Centre AGRHYMET in West Africa; the Permanent Interstate Committee for Drought Control in the Sahel (CILSS) in western and north-central Africa; NOAA for the Americas and the Pacific for information on weather data (satellite imaging, etc.); and the United States Geological Survey (USGS) for global geological and hydrogeological data from all over the world.

Livelihood strategies

- What types of livelihoods activities does the community have? Women? Men? Youth?
- What are the livelihoods zones? Where is each type of livelihood activity concentrated most? (near a river, on upland or lowland areas, in a coastal area, a town center or suburban area?)
- What are the trends or changes we observe related to livelihoods activities? (seasonal farming activities and food prices, livestock price changes between months, seasons, etc.)?
- How are these livelihoods affected by hazards/stresses, either directly or by the effects of hazards/stresses on the environment and natural resources?
- *Do disasters affect men's, women's, youths' livelihoods differently? How?*
- In what ways are markets and related infrastructure affected by hazards/stresses?
- How does the community manage/protect livelihoods assets from hazards/shocks/stresses? What traditional ways are there to do this, and who knows them? What coping mechanisms exist in the communities to recover from the loss of livelihoods and livelihood assets due to hazards/shocks/stresses?
- Are any current livelihoods activities negatively affecting the environment?

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2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Livelihoods support

- *What kind of programs or initiatives to strengthen/protect/recover livelihoods does the community, especially the most vulnerable people, think is needed?*
- *What other opportunities to strengthen/protect/recover livelihoods exist?*
- To what extent are these feasible (considering their cost, current skills and knowledge, and market conditions)?
- Would any of the ways in which people want to protect or recover their livelihoods negatively affect the environment? If so, how could such effects be avoided or mitigated?

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

RESOURCE L: DEEPENING UNDERSTANDING OF WATER, SANITATION AND HYGIENE ISSUES AND SOLUTIONS

Use of italics denotes information that is likely to have been generated through other processes but which should be cross-checked (triangulated) through this process.

General

- What policies/strategies/programs/budgets exist at the national and local levels for water, sanitation and hygiene (WASH)?
- *Which national and local government bodies are responsible for WASH?*
- What are other INGOs, national and local NGOs doing in relation to WASH in the areas where we are working?
- In the communities where we are working, are there any groups or structures that are responsible (formally or informally) for WASH? What do they do? How are women, people with disabilities, older people, youth and other social groups involved? How would they like to be involved?
- *What kind of programs or initiatives to improve WASH have been/are being implemented or are planned in the community where we are working?*

Water supply

- What laws (customary and formal) govern water supply and use in this community or area?
- What and where are the current water sources in the community and nearby? Who else uses them?
- Is the water from these sources used for human consumption, personal hygiene, irrigation, livestock, etc.? If not, what other sources are there for these uses?
- Are there any obstacles/conflicts related to water supply sources?
- Are the current water sources sufficient for all uses and users, and at all times throughout the year? If not, when is water most scarce? What happens when there is a water shortage?
- What is the quality of the water?
- How have these sources (quality and quantity) been affected or how would they be affected by hazards/stresses?
- Have users of these water sources perceived any changes over time? If so, what are they?
- How is water brought to households? (Piped system to household or public point(s), water kiosks selling treated water, water trucks, municipal water systems/points, other)
- If water is obtained from communal collection points, how far are these from the community/ individual homes?
- Who is normally responsible in a household for collecting water and what is the average time spent daily on this task?
- Does the community pay for water? If so, who does it pay?
- How do households store water in their home? How are these practices affected by hazards/ stresses?
- Do water supply practices have negative effects on natural resources and the environment? If so, how could such effects be avoided or mitigated?
- How are water supply structures and practices protected or adapted to resist the hazards that occur in this area? How effective are they? What other options exist?

Water treatment

- Is water for consumption treated? If so, in what way and does it happen at the household level, at community storage tanks before distribution or centrally (piped system)?
- How often is water treated? Who is responsible for treating it?
- Have any chemical or bacteriological analyses of water sources been carried out (by government, NGOs, water committee, other). What were the results? Who has them?
- Do water treatment practices have negative effects on natural resources and the environment? If so, how could such effects be avoided or mitigated?
- How are water treatment structures and practices adapted to resist the hazards that occur in this area? How effective are they? What other options exist?

Sanitation

- What are the current practices around defecation, bathing and washing in the community? How are these affected by hazards/stresses?
- Do households in the community have their own toilets, share toilets with other households, or use public toilets or latrines?
- What materials are available and/or used for constructing toilets (latrines, bathing and washing facilities?
- What are the constraints or opportunities for construction of toilets (latrines, bathing and washing facilities) in this area?
- What is the highest seasonal water table and flood level of the area?
- Are the current defecation practices a threat to water supplies (surface, groundwater) or living areas and to the environment in general?
- What are the current waste water, sludge disposal, solid waste and drainage systems and practices in the community? How are these affected by hazards/stresses?
- What are the constraints/opportunities for construction of facilities to manage waste in this area?
- How are sanitation structures and practices adapted to resist the hazards that occur in this area? How effective are they? What other options exist?

Hygiene, health and socio-cultural context

- What health issues are commonly experienced in the community? Are they related to water and sanitation?
- How is people's health affected by hazards/stresses? Who is most affected: children, youth, women, men, the elderly, other?
- Are there hand-washing facilities with water and soap outside toilets, and are they used?
- Is soap available in the local market? Can people afford to buy it regularly?
- Is handwashing done at critical times? (e.g. after using the toilet, before eating, before and after preparing food)
- Does any public health promotion take place in the community? By whom? How often?
- How are health and hygiene services and practices adapted to resist the hazards that occur in this area? How effective are they? What other options exist?
- Are there any socio-cultural customs that hinder or prevent hygiene practices?
- Are there any socio-cultural customs that hinder or prevent the use the hygiene facilities?
- Are there any specific challenges for women and girls in your community (*Note: This is a sensitive question that needs to be discussed separately with men and women.*)

1 INCLUSIVE FOUNDATIONS

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3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

WASH support

- *What kind of WASH protection/strengthening/recovery programs or initiatives does the community, especially the most vulnerable, think are needed? Are there any specific needs among women and girls that could protect their health and hygiene?*
- What other opportunities to strengthen/protect/recover WASH exist? To what extent are these feasible (considering their cost, current skills and knowledge, and market conditions)?
- Would any of the ways in which people want to strengthen/protect/recover WASH negatively affect the environment? If so, how could such effects be avoided or mitigated?

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

RESOURCE M: DEEPENING UNDERSTANDING OF HOUSING AND SHELTER ISSUES AND SOLUTIONS

Use of italics denotes information that is likely to have been generated through other processes but which should be cross-checked (triangulated) through this process.

General

- What policies, strategies, programs or budgets exist at the national and local levels for housing/shelter?
- *Which national and local government bodies are responsible for housing/shelter?*
- What are other INGOs, national and local NGOs doing in relation to housing/shelter in the areas where we are working?
- In the communities where we are working, are there any groups or structures that are responsible (formally or informally) for housing/shelter? What do they do? How are women, people with disabilities, older people, youth and other social groups involved? How would they like to be involved?
- *What kind of programs or initiatives to improve housing/shelter have been or are being implemented, or are planned in the community where we are working?*
- What are the current patterns of land tenure, usage and availability of vacant land for housing/shelter needs?
- *Which houses are located in high-risk zones (legally designated or known to be high-risk)?*
- *Which public facilities (e.g. schools) are located in high-risk zones (legally designated or known to be high-risk)?*
- Are people living in high-risk areas willing to relocate if land is available?
- What are the requirements and constraints of local authority regulations in developing housing/shelter solutions for households and communities?

Materials and design

- What are the housing/shelter customs, practices, materials and techniques for structural frame, roof, and external wall enclosures?
- How are these adapted to resist the hazards that occur in this area?
- What skills are required to construct housing in this way? Who has these skills? Are people interested in and able to learn them?
- What effects did recent disasters or stresses have on housing/shelter. Why was housing/shelter affected in this way?
- How is housing/shelter typically built and by whom?
- How are construction materials typically obtained and by whom?
- What alternative hazard-resistant design or materials solutions are used locally?
- What are the material, financial, and human resources constraints and opportunities for hazard/stress-resistant housing/shelter?
- What are the topographical (landscape) and environmental constraints and opportunities for hazard/stress-resistant housing/shelter? (Consider fuel, drainage, uphill hazards—such as a dam that might overflow—and landslides, sanitation, waste disposal, grazing for animals.)
- What livelihoods are connected to housing/shelter?

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

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4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

RESOURCE N: DEEPENING UNDERSTANDING OF NATURAL RESOURCE MANAGEMENT ISSUES AND SOLUTIONS

Use of italics denotes information that is likely to have been generated through other processes but which should be cross-checked (triangulated) through this process.

General

- What natural resources or environmental management policies, strategies, programs or budgets exist at the national and local levels?
- What government-led initiatives to manage natural resources and the environment exist at the national and local levels?
- *Which national and local government bodies are legally mandated to manage natural resources and the environment?*
- *Which other actors (nongovernmental, Red Cross, etc.) are involved in natural resource management and environmental management in this area? What are they doing?*
- *In the communities where we are working, which village- or community-based organizations, task forces or other teams or structures are dedicated to, or responsible for, NRM and the environment? What do they do? How are women, people with disabilities, older people, youth and other social groups involved? How would they like to be involved?*

Understanding natural resource management problems

- What NRM issues is the community facing? Since when? Which resources are affected?
- How is the community being affected (including livelihoods)? Who is most affected?
- Does this problem occur suddenly or gradually?
- Does it occur repeatedly? How frequently does it occur?
- Has there been any change in the intensity, magnitude and frequency of NRM issues?
- Why is this happening? Are the causes natural, internal to the community, or external to the community?
    - **Natural causes:** Earthquakes, avalanches, disease, weather events, fire
    - **Internal:** Check for agricultural (e.g. changes to more input-intensive crops like maize or tobacco) and mining practices, or other livelihood activities (e.g. livestock, charcoal burning), and lack of organization (lack of by-laws or lack of compliance with them) leading to degradation of natural resources
    - **External:** Check for mining, logging, seawater intrusion (sea-level rise), settlements, government subsidies for certain crops or agricultural inputs, market-driven changes, etc.

Appropriate technologies and practices

- Have there been any attempts to address these problems in the past?
- Are there existing locally appropriate technologies and practices that could be used or changed (innovation) to mitigate or solve the problem?
- Are local materials and knowledge available for developing the solution (e.g. access to seeds, pastoralist systems, local institutions and traditional practices)?
- What new technologies and practices could be useful? (e.g. some successful models or practices from a neighboring village.)

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

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7 UNDERSTAND CHALLENGES

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9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- Who is going to benefit and who is not? Will the solution increase the labor burden on certain groups (e.g. women)?
- Will there be any negative impact on certain groups and/or the environment/climate?
- To what extent can new technologies be maintained?
- Is training required for adaptation of new technologies and practices, and who will do that?
- Do new technologies and practices consider changes in weather and variability?
- Are there any technical experts available to ensure consistent support to the community and households?
- What would be the communal change of behavior necessary for the success of the project (e.g. not cutting trees or planting trees, pasture land development, keeping out livestock, controlled grazing)?
- What existing organizational structures can be built upon? Will a new organization be required?
- Can this solution be addressed by the community (e.g. watershed management) and/or individual households/families (e.g. agricultural practices on farms, controlled grazing?)

NRM support

- *What kinds of natural resources protection, strengthening and management programs or initiatives does the community, especially the most vulnerable people, think are needed?*
- What other opportunities to strengthen/protect/manage natural resources exist? To what extent are these feasible (considering their cost, current skills and knowledge, and market conditions)?
- Would any of the ways in which people want to strengthen/protect/recover natural resources negatively affect the environment? If so, how could such effects be avoided or mitigated?

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

Solution 1: Pastureland management

Activities	Person/s responsible	Start date	End date	Material resources provided by			Financial resources provided by			Comment
				Community/ households	Implementing agency	Other sources	Community/ households	Implementing agency	Other sources	
Land clearing/ development				Labor, tools, seeds	Tools, seeds, training		Landowners contribute cash			
Seeds										
Sawing										
Maintenance of the seeds and saplings										
Pastureland management guide development and endorsement by working group committee										

Solution 2: Tree planting on the canal side

Activities	Person/s responsible	Start date	End date	Material resources provided by			Financial resources provided by			Comment
				Community/ households	Implementing agency	Other sources	Community/ households	Implementing agency	Other sources	
Seed/sapling selection				Labor, tools, seeds	Tools, seeds, training		Landowners contribute cash			
Seed/sapling planting										
Maintenance of the seeds and saplings										
Maintenance plan developed and endorsed by the working group and CMDRR committee										

NOTE: Each activity will need detailed budgeting.

Seek advice from your DRR technical advisor on the content, development and monitoring of household-level DRM action plans. Below is sample action plan by households, and a sample monitoring table

	Name	Occupation	Sex	Age on (date)
Household members	1. 2. 3. 4. 5. 6.			
Village				
District				
Province				

Disaster and climate risks	Activities	Target	By when?	Resources in the household	Financial/material/training support by the project	Observations of progress (date)	Observations of progress (date)
Flooding Drought	Keyhole garden	1 garden	January 2017	Labor Some vegetable seeds	Timber, training, technical visits		
	Fodder storage	For 2 cows for 3 months	May 2017	Labor, area under roof	None		
	Raise floor of house	By 1 foot	January 2017	Labor	Earth and transport costs		

Activities	Target	By when?	Observations of progress (date)	Observations of progress (date)	Observations of progress (date)
Keyhole garden	1 garden	January 2017			
Fodder storage	For 2 cows for 3 months	May 2017			
Raise floor of house	By 1 foot	January 2017			
Voluntary savings	$/week (amount decided by household based on its capacity)	All 2017			

RESOURCE Q: EXAMPLE PARTICIPATORY MONITORING TABLE

	What do we want to achieve?	How will we know we are achieving it? Who is responsible for monitoring?	Progress Report 1 (Date)	Progress Report 2 (Date)
Vision of success (outcome)	No deaths when typhoons strike	■ Loss and damage assessment after typhoons (mayor)		
Targets	All community members (800 people) evacuate to the shelter in time when there is a storm warning	■ For warnings of Category X or higher, EWS communications will be transmitted to all sectors of the community by *[name of person/people responsible for issuing warning]* ■ All community members present at time of early warning evacuate to shelter within 1 hour of receiving the message		
Activities	Consult community on experience and make improvements	■ Open meeting held to discuss results and make recommendations ■ Separate meetings with vulnerable groups held to discuss results and make recommendations ■ All community members say their opinions were sought		
	Conduct a simulation of an early warning and evacuation	■ Community and local authorities hold a simulation exercise as appropriate to their local context ■ Ninety-five percent of community members participate		
	Educate community on typhoon warning protocols	■ Four open community meetings to explain terms and required actions by X date ■ Posters on early warning system, evacuation routes and people responsible displayed in the community by X date ■ Group guided visits to storm shelter for a representative of each household by X date ■ Lesson on evacuation for children in school by X date ■ Follow-up visits at the household level, to ensure their understanding of EWS and evacuation protocols		
	Equip and train the committee in early warning and shelter	■ Training course provided to committee by X date ■ All committee members feel confident that they have the knowledge and skills to fulfill their responsibilities by X date ■ Radio, mobile phone, and electricity generator provided to community by X date		
	Establish communications protocols with other levels (municipal and national) for EWS	■ Documented agreement on content and time limits for information flows including three levels (national, municipal, community) by X date		
	Create a community-level EW committee	■ Committee of six (three men and three women), or as needed, selected by community vote; responsibilities assigned and documented by X date		
	Equip the shelter with WASH facilities	■ Water tank installed and connected to water supply by X date ■ Two blocks (one for men, one for women) of six toilets constructed by X date		
	Equip the shelter with basic items (sleeping mats, cooking utensils, food stocks etc.) for use after evacuation	■ Eighty sleeping mats bought/made and stored for the elderly, people with disabilities, pregnant women, and children by X date ■ Four stoves built and four sets of pans bought for communal cooking by X date ■ 180 bowls bought by X date		
	Enlarge the existing shelter and create a lockable store	■ Extension of X square meters built by X date ■ Storeroom of X square meters created ■ Padlock installed and key protocol established by X date		

RESOURCE R: POCKET CHART VOTING

Pocket charts can be made from cloth with pockets to hold the voting tokens (pieces of paper, seeds, shells, small stones etc., so it is possible to count the number of individuals who voted for a particular choice). The "pockets" could also be made from locally available materials (for example, a cone of paper or jar) or drawn on the ground.

1. Prepare simple, locally recognisable pictures of the challenges to be voted on.
2. Create "pockets" and label each with the appropriate picture. Or place the pictures in squares drawn on the ground, each representing one challenge; voters will place their vote into the square next to their chosen challenge.
3. Go through all of the pictures first with the group so they know what they represent.
4. It may also be useful to carry out a trial run to check that everyone understands the process.
5. For the actual voting activity, women and men from the community each get three votes.
6. It can be helpful for women and men to use voting paper, seeds or shells that are a different color or shape, so it is possible to see if women's and men's priorities differed markedly. Or the voting can take place separately for men and women.
7. After voting is complete, lay the contents of the pockets out for counting, analysis and discussion.
8. Facilitate a discussion with participants about the results.

■ Adapted from *Violence, gender and WASH: A practitioner's toolkit* (WaterAid)

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7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

RESOURCE S: REFERENCE DOCUMENTS

Disaster risk reduction, disaster risk management and climate change adaptation

External

- *Sendai framework for disaster risk reduction 2015 - 2030*
  (available in English, Spanish, French, Arabic, Chinese and Russian)
  A 15-year voluntary agreement between states and other stakeholders on targets and priorities for action on DRR, endorsed by the UN General Assembly following the 2015 Third UN World Conference on Disaster Risk Reduction.

- *UNISDR terminology*
  (available in English, Spanish, French, Arabic, Chinese and Russian)
  Basic definitions of disaster risk reduction terms to promote a common understanding of the subject for use by the public, authorities and practitioners.

- *The Grand Bargain*
  An agreement between major donors and aid providers, which aims to get more means into the hands of people in need, including by providing 25 percent of global humanitarian funding to local and national responders by 2020.

- *The Core Humanitarian Standard on Quality and Accountability*
  (available in 20+ languages)
  A voluntary standard comprised of nine commitments that organizations and individuals involved in humanitarian response can use to improve the quality and effectiveness of the assistance they provide.

- *The Sphere Handbook: Humanitarian charter and minimum standards in humanitarian response*
  (Sphere Project, 2011)
  (available in English, Spanish, French, Arabic, Russian and 27 other languages)
  One of the most widely known and internationally recognized sets of common principles and universal minimum standards in lifesaving areas of humanitarian response.

- *Global assessment report on disaster risk reduction* (UNISDR, produced annually)
  An initiative that contributes to the achievement of the Sendai Framework for Action (and previously the Hyogo Framework for Action) through monitoring risk patterns, trends and progress in disaster risk reduction.

- *Process for integrating local and indigenous knowledge with science for hydro-meteorological disaster risk reduction and climate change adaptation in coastal and small island communities*
  Hiwasaki, L., Luna, E., Syamsidik and Shaw, R. *International Journal of Disaster Risk Reduction* 10 (2014) 15–27.
  A process for integrating local and indigenous knowledge related to hydro-meteorological hazards and climate change with science, developed through a project implemented among coastal and small island communities in Indonesia, the Philippines and Timor-Leste.

- *Indigenous knowledge for disaster risk reduction: An African perspective*
  Iloka, N.G. *Jamba Journal of Disaster Risk Studies*, 29 July 2016.
  Using wide-ranging material from the fields of disaster risk reduction and climate change, this paper highlights indigenous knowledge and adaptation in the developing country context, with a view to enhancing project strategies at the community level.

1 INCLUSIVE FOUNDATIONS

2 REACH OUT FOR BUY-IN

3 UNDERSTAND CYCLES AND TRENDS

4 PAST, PRESENT AND FUTURE

5 UNDERSTAND GEOGRAPHY OF RISK

6 PRIORITIZE CHALLENGES

7 UNDERSTAND CHALLENGES

8 AGREE ON SOLUTIONS

9 DEVELOP ACTION PLAN

10 TRACK PROGRESS TO LEARN

- *Indigenous knowledge for disaster risk reduction: Good practices and lessons learned from experiences in the Asia-Pacific Region* (UNISDR, 2008)
  The UN considers indigenous knowledge within Priority 3 of the Hyogo Framework for Action. This publication aims to build awareness of indigenous knowledge as an effective tool in mainstream DRR policies and practice to build the longer-term sustainability of interventions.

- *Community-based disaster risk management: Field practitioners' handbook*
  (Asia Disaster Preparedness Centre, 2004) Abarquez, I. and Murshed, Z.
  This handbook aims to help equip CBDM and CBDRM practitioners with theories and practical tools that can be applied in community work. It is divided into four parts: A framework for reducing risk in CBDRM; essential tools for implementing various stages of the CBDRM process; major considerations when undertaking CBDRM; and disaster risks in Southeast Asia.

Internal

- *Towards resilient and sustainable communities: A CAFOD toolkit to support integrated programme design* (CAFOD, 2017)

- *Guidance for training of trainers: Disaster risk reduction CAFOD* (CAFOD, 2013)

- *Disaster risk reduction guidelines: DRR working group publication* (CAFOD, 2012)

- *Toward resilience: A guide to disaster risk reduction and climate change adaptation*
  (Emergency Capacity Building Project, 2013) Turnbull, M., Sterrett, C. L. and Hilleboe, A.
  (available in English, Spanish, French, Mandarin and Korean)
  An introductory resource for staff of development and humanitarian organizations working with people whose live and rights are threatened by disasters and climate change.

- *CAFOD disaster risk reduction (DRR) framework* (CAFOD, no date)
  Guidance on disaster risk reduction for CAFOD program and management staff.

- *Disaster risk reduction & climate change adaptation e-learning manual* (CAFOD, 2014)
  An introduction to disaster risk reduction and climate change adaptation for CAFOD staff.

- *Climate change: From concepts to action: A guide for development practitioners* (CRS, 2012)
  Provides an overview of the evidence, strategies for mitigation and adaptation, and community-level risk analysis and adaptation.

Project assessment, design and management

External

- *Good Practice Review 9: Disaster risk reduction* (Commissioned by the Humanitarian Practice Network)(Overseas Development Institute, 2015) Twigg, J.
  A comprehensive guide on how to plan, implement and monitor risk reduction initiatives, including in urban settings and contexts of social crisis and conflict. It includes chapters on community leadership and participation, inclusion, indigenous knowledge, technology, partnerships, accountability and advocacy, preparing for disasters, and risk-informed recovery from disasters.

- *Humanitarian needs assessment: The Good Enough Guide* (Norwegian Refugee Council, 2014)
  Needs assessment is essential for program planning, monitoring and evaluation, and accountability, but is still a critical weakness in humanitarian response. This guide is written for field staff carrying out assessments in the early days and weeks following a disaster, especially national project managers and their teams. The steps and tools are useful for initial and rapid assessments, but the principles and practices apply at any stage in the response.

- *The Good Enough Guide: Impact measurement and accountability in emergencies* (ALNAP, 2007)
  A simple, succinct guide to methods for putting impact measurement and accountability into practice throughout the life of a project.

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- *Holistic Organizational Capacity Assessment Instrument* *(HOCAI)*(CRS, 2011)
  A tool designed to assist CRS and its partners to conduct a self-analysis of their strengths and challenges, develop an action plan and improve organizational functions through capacity strengthening.

- *ProPack I: The CRS Project Package; Guidance on project design for CRS project and program managers* (CRS, 2015)
  Chapter II: Cross-cutting issues in project design (partner collaboration and support, gender integration, peace-building and governance integration, beneficiary accountability and learning.
  Chapter III: Planning project design, Section 2: Conduct a stakeholder analysis.
  Chapter IV: Assessment, analysis and interpretation, Section 4.5: Do a gap analysis.

- *Propack II: The CRS Project Package; Project management and implementation guidance for CRS project and program managers* (CRS, 2015)
  This guidance was written to respond to field requests for more support on project management. It builds on the simple concepts and methodologies introduced in *ProPack I: Project design and proposal guidance*. Together, these two manuals provide CRS staff with basic project information and tools from the early design stage through the close of the project. ProPack II also includes detailed sections on monitoring and evaluation.

- *Briefing Note: Protection mainstreaming / Safe & dignified programming protection* (CRS)
  Guidance on the process of incorporating protection principles and promoting meaningful access, safety and dignity in humanitarian aid.

- *CRS' global gender strategy* (CRS)
  CRS' global strategy for gender-responsive programming to be used in emergency and development work.

- *Managing natural resources: A smart skills manual* (CRS, 2016)
  One of a set of manuals for use by development facilitators, extension agents and community leaders working with poor rural communities to improve the production and marketing of their crops and livestock products.

- *Building resilient livelihoods towards local economic development: A CAFOD guide to enterprise development* (CAFOD, 2005)
  Guidelines and tools for program staff working with partners on resilient livelihoods through small and medium enterprise development.

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7 UNDERSTAND CHALLENGES

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9 DEVELOP ACTION PLAN

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