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# Guidelines for Community Participation in Disaster Recovery



# Acknowledgements

The **Guidelines for Community Participation in Disaster Recovery** commissioned by the United Nations Development Programme (UNDP) aims to provide guidance to national and local governments, United Nations Agencies and its partners, International agencies and other stakeholders on the process to engage communities in every step of the recovery process.

These guidelines are drafted to inform and improve the quality of post-disaster recovery by promoting the active involvement of people and their communities, from the post-disaster needs assessment, to recovery planning, implementation, monitoring and evaluation.

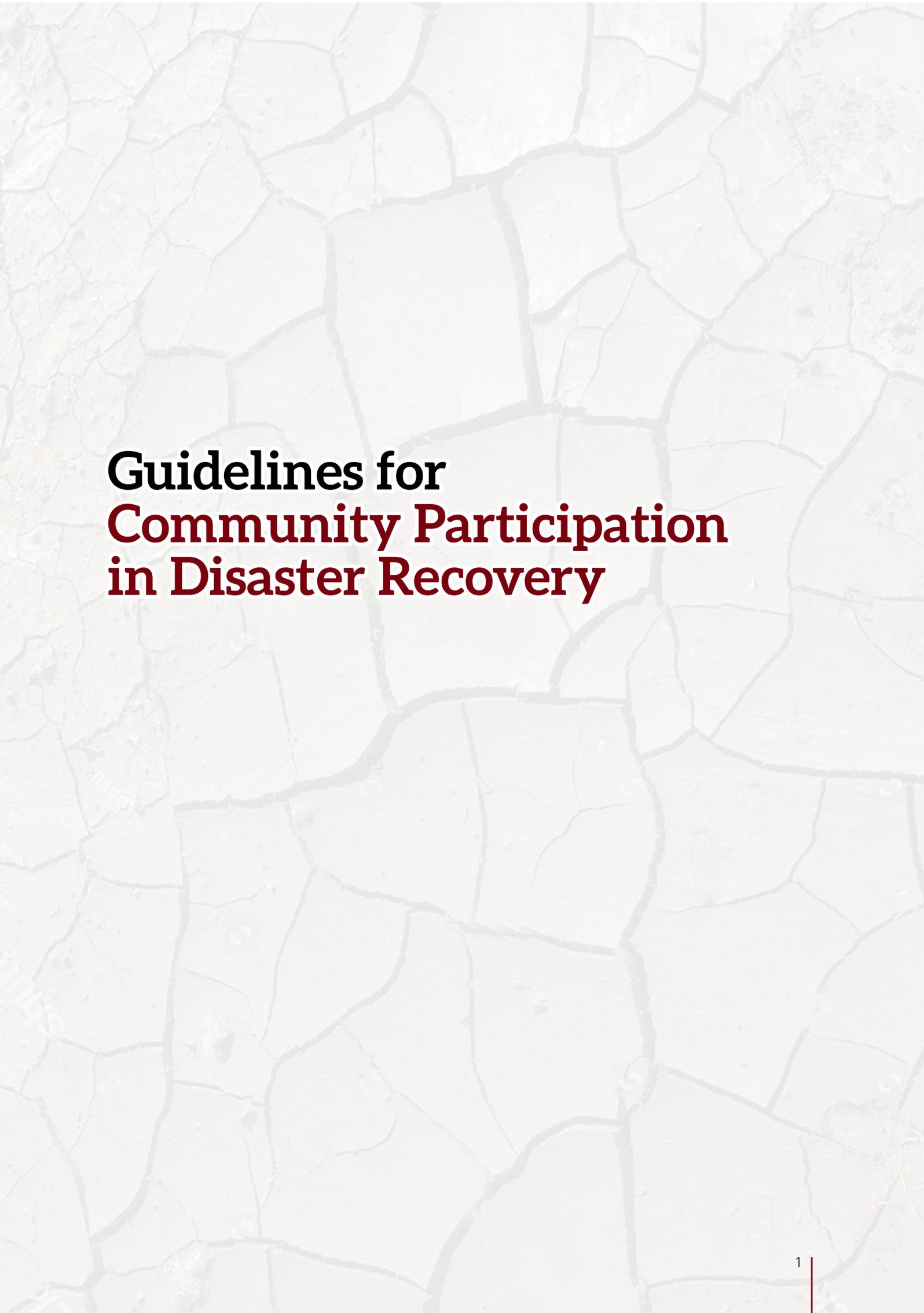
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# **Guidelines for Community Participation in Disaster Recovery**

## List of abbreviations

CBO	Community Based Organizations
CSO	Civil Society Organizations
DRF	Disaster Recovery Frameworks
DRR	Disaster Risk Reduction
HIV/AIDS	Human Immunodeficiency Virus /Acquired Immune Deficiency Syndrome
HRBA	Human Rights-based Approach
NGO	Non-governmental Organizations
PDNA	Post Disaster Needs Assessments
SDG	Sustainable Development Goals
UN	United Nations
UNDP	United Nations Development Programme
WB	World Bank

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# I. Introduction

## 1.1 Context and Rationale

Post-disaster recovery processes are often centrally planned and implemented, and they sometimes follow a top-down approach that does not engage affected communities in their own recovery process. Given that post-disaster contexts are particularly difficult environments that can cause large-scale damage and human suffering, demanding speed in the delivery of humanitarian aid and recovery services, community participation can be sometimes be perceived as an additional time-consuming process that adds even more to the challenge of dealing with a disaster. Experience shows, however, that recovery interventions can be inappropriate or ineffective when communities are not consulted and involved actively in the process.

Disaster recovery needs to ensure people's ability to participate in, negotiate with, influence, control and hold accountable the institutions that affect their lives during the recovery process. In this manner, people-centered recovery programmes respond to the needs and priorities of affected communities, build on their knowledge, skills and capacities, are more culturally appropriate, ensure ownership and empowerment, and have a much better prospect for success.

Participation can also enhance the effectiveness and results of post-disaster recovery. Engaging people and their communities helps to improve the delivery and quality of recovery services, enhances social inclusion, and brings greater transparency and accountability. Other important benefits of community participation in recovery and development processes that have been documented include:

- Brings diverse stakeholders together under a common goal and shared process

- Increases participation in decision-making
- Increases the inclusion of often marginalized population groups
- Increases the legitimacy of the recovery process itself
- Builds on local resources, both human and material
- Fosters partnerships between communities, local government, civil society organizations (CSOs)
- Project outcomes are better targeted to local needs and results are more sustainable.
- Improves the quality of service delivery
- Ensures local ownership of the recovery process and its outcomes
- Promotes a more active and informed citizenry
- Improves accountability of the public sector
- Reduces the dependence of communities on outside aid
- Prepares communities to better respond to future disasters because they have experience and relationships with decision-makers

A community may be understood as a group of people living in the same place or having a particular characteristic in common, such as a common culture, value system, interests, etc. In these Guidelines, community participation refers to the participation of people affected by the disaster who may be involved in post-disaster recovery processes at the most local community level, as well as at the parish, district, provincial or sub-regional levels.

One of the fundamental bases for community-driven participation in post-disaster recovery is the human right to participate. An essential principle within the international human rights framework is that each and every person has the right to participate in, contribute to and enjoy development in which human rights and fundamental freedoms can be realized. This is reflected in the United Nations Common Understanding on the Human

Rights-based Approach (HRBA), recognized in 2003 by the Agencies of the United Nations system.

The HRBA applied in disaster recovery implies that basic necessary conditions should be guaranteed to increase people's ability to make their own choices and to transform those choices into desired recovery actions and outcomes. Participation is an objective as well as a means of development. People's exposure and vulnerability to disasters and climate change relates to other inequalities rooted in uneven development and discrimination on the basis of gender, class, ethnicity, age, and disability. The following are the main principles of the HBRA:

- Universality and indivisibility of human rights
- Equality and non-discrimination
- Participation and inclusion
- Transparency
- Empowerment
- Accountability of duty-bearers
- Rights enforcement mechanisms

These Guidelines build on and promote the above principles, and they are in line with the same vision of community participation and citizen engagement that is recognized in the three landmark global agreements signed in 2015: 1) The Sendai Framework for Disaster Risk Reduction, 2) The Paris Climate Agreement, and 3) The Sustainable Development Goals (SDGs).

1. The Sendai Framework for Disaster Risk Reduction 2015-2030 calls for a whole-of society approach to disaster risk reduction (DRR). It encourages governments to seek the active contribution of relevant stakeholders including women, children and youth, persons with disabilities, poor people, migrants, indigenous peoples, volunteers, the community of practitioners, and older persons when shaping and implementing DRR policies, plans and standards.

2. The Paris Climate Agreement affirms "the importance of education, training, public awareness, public participation, public access to information and cooperation at all levels on the matters addressed in this Agreement". The

UNFCCC similarly calls for public participation in addressing climate change, and in developing adequate responses to ensure that people "are accorded a role in the activities and decision-making processes that directly impact on their lives and wellbeing".

3. The Sustainable Development Goals have as a recurring and overarching objective "leaving no one behind". Marginalized people and communities are understood as rights-holders who need to be involved and engaged in efforts to claim their rights. Women and girls, people in rural areas, indigenous peoples, ethnic and linguistic minorities, people with disabilities, migrants, gender and sexual minorities, the young and aged are often disproportionate among those left behind. With the adoption of the SDGs, 193 United Nations Member States pledged to "endeavor to reach the furthest behind first".

### 1.2 Purpose

The main purpose of these *Guidelines for Community Participation in Disaster Recovery* is to provide some guidance to Governments, United Nations agencies, International NGO's, the Private Sector and other stakeholders on how to engage communities in every step of the recovery process.

Ultimately the aim is to improve the quality of post-disaster recovery by promoting the active involvement of people and their communities, from the post-disaster needs assessment, to recovery planning, implementation, monitoring and evaluation.

To achieve this, the Guidelines are designed to be practical and action-oriented, providing a variety of case studies that exemplify how community-driven participatory approaches have been implemented across a number of countries facing disasters.

### 1.3 Target Audience

The Guidelines are intended primarily to assist practitioners who participate in assessments, planning and implementation of disaster

recovery programmes, including the national and international teams who engage in post disaster needs assessments (PDNAs) and who design Disaster Recovery Frameworks (DRFs).

It is intended for technical staff as well as managers who are responsible for steering and coordinating recovery processes, senior government officials and government ministries

responsible for recovery and reconstruction efforts, managers and technical staff from multilateral agencies at headquarters and in-country who may be required to support national recovery efforts. This includes the Humanitarian Coordinator (HC)/Resident Coordinator (RC), UN Country Teams, in-country Representatives of UN agencies, the World Bank and the European Union, as well as HQ units, departments, or services linked to disaster recovery.

# II. Mechanisms for Community Participation

This section presents a range of mechanisms that can be adopted to promote community participation in disaster recovery processes. The specific mechanisms used will always be context-specific, tailored to local circumstances and needs. The aim should be to use as many of the action strategies that can enhance participation and ultimately support the long-term sustainability of the recovery process in affected communities.

There are numerous mechanisms that can be used for community participation in disaster recovery processes. This section presents a set of six mechanisms that are strategic and effective in fostering, supporting and strengthening the participation of communities and their citizens.

1. Information and communication
2. Participatory consultations
3. Incentives to participation
4. Integrating communities into decision-making processes
5. Empowering local actors and civil society
6. The participation of disadvantaged groups

## 2.1 The Building Blocks of Participation

There is no single definition of participation or conceptual understanding within the international community. One useful definition of participation is provided in the ALNAP Participation Handbook: "Participation is understood as the engagement of crisis-affected people in one or more phases of a humanitarian project or programme: assessment, design, implementation, monitoring or evaluation."<sup>1</sup> In these Guidelines, participation is understood as a process of engaging communities through every step of the recovery process.

Informing, consulting, involving, collaborating and empowering communities are the core building blocks of participation. Participation is about meeting the interests of the whole community. When every member of a community has the chance, directly or through representation, to participate in the design, implementation and monitoring of community-level initiatives, there is a higher likelihood that the recovery program accurately reflects their real needs and interests.

Inform	Consult	Involve	Collaborate	Empower
To provide affected communities with balanced and objective information to assist them in understanding recovery alternatives, opportunities and/or solutions	To obtain community feedback on needs analysis, prioritize recovery alternatives and to influence decisions	To work directly with the communities throughout the recovery process to ensure that their concerns and aspirations are consistently understood and considered	To partner with communities and CSOs in each aspect of the decision-making process including recovery planning, implementation and monitoring.	To place final decision-making in the hands of communities.

Source: adapted from IAPP, 2014

<sup>1</sup> ALNAP, 2003A, PP.20

The approach takes into consideration the different experiences, needs and capabilities of various groups in a community.

Participation ensures that national and local stakeholders have genuine ownership and control over recovery processes in all phases of the programming cycle: assessment, planning, implementation, monitoring and evaluation.

Disaster recovery therefore requires a bottom-up, continuous and iterative learning and participatory process that is essential for sustained impact. Community level participatory recovery planning, monitoring and reporting processes can improve results while building on and strengthening local capacities, innovations, and ownership.

## 2.2 Information and Communication

Information and communication underpin all levels of participation. The more transparent the recovery process, the greater the levels of engagement and likelihood of success. This requires sharing information and knowledge on all aspects that are relevant to affected communities and in relation to every step in the recovery process: assessment, planning, implementation, outcomes and results, monitoring and evaluation.

Transparency through information and communication contributes important benefits to affected communities:

- Ensures that communities are in the know about the challenges faced, the planned recovery projects, and the institutions implementing them, and that they hold state and non-state actors accountable.
- Knowing their entitlements empowers communities.
- Informed communities can take advantage of recovery opportunities, access available services, voice their concerns, exercise their rights and negotiate for improvements.
- Disclosure of information on institutional performance promotes better performance by all stakeholders, including government, public service providers, and CSOs.

- Information disclosure also supports transparency which serves as a check against corruption or misuse of project resources and recovery services
- Project updates ensure accountability to disaster-affected communities.
- Increases the chances that everyone will have an equal opportunity to participate.

There are multiple channels for information exchange and communication with communities. Below are some methods that can be considered:

- Public forums or information meetings
- Community gatherings such as religious services or those of women's groups
- Distributing leaflets, posters, newsletters, etc. in areas where they have maximum visibility and reception
- Illustrated books to reach groups who are illiterate or speak different languages
- The media through briefings, press releases and press conferences
- Community radio stations and newspapers
- Presentations at formal meetings or workshops
- Films or videos
- The internet and social media
- Exhibitions

When selecting a method consider the importance of timely, accurate and relevant information in languages, formats and channels that are culturally appropriate and accessible to different socio-economic groups. The channels chosen should include those that are most widely used and trusted, as well as those which are more able to reach special audiences such as marginalized or disadvantaged groups. Consider methods that offer opportunities for feedback and response from communities. Documenting and reporting relevant feedback from communities facilitates accountability. Using multiple communication outlets, both traditional and modern, is likely to be most effective, as it ensures inclusiveness and access by all members of affected communities. Consider designing an information and communication strategy as part of the community recovery plan and implementation arrangement.

## 2.3 Participatory Consultations

A precondition for conducting participatory consultations is knowing and understanding the local context. The local context can support or constrain community participation, depending on how enabling an environment is for participation, the local culture, social norms, traditions, and other factors. Therefore, a natural first step in any participation process is to take stock of the local context, in particular the following elements:

1. Know the main local stakeholders
2. Know the resources and capacities of affected communities that can support participation
3. Prepare for participatory consultations
4. Participatory consultation techniques and tools

Integrating communities in decision-making processes also requires an understanding of how communities are involved in local decisions and understanding local power relationships, namely who owns and controls resources, sets the agenda and makes decisions. Guidance on how to assess these key factors can be found below in Section 2.5.

### Know the main local stakeholders

The institutional and organizational architecture of communities, such as civil society and community-based organizations and local authorities, form an important basis of participation processes. They offer multiple opportunities to build partnerships in post-disaster recovery because local actors are directly connected with communities and the affected population, and have a broad-based capacity to mobilize, organize communities and implement recovery interventions. They can also stand in the way of real participation if they are excluded. It is therefore necessary to identify, consult and engage with local actors in the process.

Below are the main stakeholder groups that can be identified:

- **Community leadership:** the structures and mechanisms of community leadership in the local area, and community representatives (e.g. chiefs, elders, religious leaders, etc.).
- **Civil society organizations:** these may include environmental groups, cooperatives, trade

unions, formal and informal associations, landless movements, women's organizations, peace movements and local development NGOs, think tanks, religious congregations, and grassroots and indigenous peoples' movements, among other district-level and community-based groups.

- **Local authorities:** these include government agencies and departments with local or district offices, such as sector line ministries, civil protection, mayor's office and union councils, among other organizations.
- **Interest groups:** these may include for example ethnic or religious groups and wealth groups such as the landless or farmers, users of specific services, among other groups.
- **Inter-institutional networks and partnerships:** for example academic or university networks, advocacy groups, cooperatives, kinship networks, and other formal or informal associations of actors or sectors with shared interests.

### Know the resources and capacities of affected communities that can support participation

It is necessary to understand the architecture of affected communities, their culture and traditions, resources and capacities and that their recovery needs are understood. This ensures that the recovery process builds on their knowledge, skills and other key forms of capital, and that recovery projects are responsive to the local context and to the priorities of affected communities. Typically, this understanding will come from consultations and field visits associated with the needs assessment or PDNA. However, it may also form part of the first step in recovery planning at community level. The following checklist can be used as a reference to identify the key resources and capacities of affected communities:<sup>2</sup>

**Human Capital:** the experience, work skills and the physical health of communities, which enable or hinder their participation in recovery programmes.

**Social Capital:** the social resources of communities, such as networks, associations and kinship groups, or memberships in organizations, committees, or in local administration councils. It includes groups receiving some form of assistance such as from safety net programs, as well as

<sup>2</sup> Adapted from the Sustainable Livelihoods Framework

norms or laws which positively or negatively impact community participation.

**Natural Capital:** natural resources available in affected communities, such as water, agricultural land, forests or genetic resources, which can support recovery.

**Physical Capital:** basic infrastructure and production inputs that support communities and livelihoods, such as schools, health centers, community centers, roads and similar infrastructure.

**Financial Capital:** financial resources such as vouchers, cash programs, credit, savings schemes, revolving funds, and remittances among other sources.

When considering the above, attention should focus on the resources, experience, knowledge and capacities of communities that can be mobilized to support participation in recovery projects. The aim should be to use and build on available resources, to empower established community groups and to make use of participatory mechanisms already in place, rather than introducing new schemes that ignore or undermine the capacities of affected communities. Below is an additional checklist of capacities to consider to successfully identify key opportunities for integrating community participation in the recovery process:

- Local service delivery mechanisms that support community participation
- Existing infrastructure and services for community participation, for example community centers, day-care centers, and information exchange and communication channels such as radio or newsletters, etc.
- Cultural or social norms, traditions, and religious beliefs that affect community participation, for example those that support collective community action and collaboration or that marginalize specific population groups
- Vulnerable population groups, such as the elderly, people with disabilities or HIV/AIDS, the landless or homeless, female-headed households, etc.
- Levels of participation and representation of vulnerable groups in CSOs, community organizations and other participatory processes

- Communities' perceptions needs and expectations
- Obstacles to community participation, such as distance, working hours, transport, economic constraints, etc., and potential solutions to overcome them

### Prepare for participatory consultations

Consultations are one of the key building blocks of community participation. They are critical throughout the recovery process beginning with needs assessments, continuing through recovery planning and implementation, and including monitoring and evaluation. Below are some of the main guiding principles for participatory consultations with affected communities:

- Use existing participatory structures and mechanisms already in place
- Engage a broad range of relevant stakeholders at local levels
- Invite national and municipal stakeholders, particularly government authorities, to gain leverage
- Be transparent and provide timely access to information for all participants
- Facilitate dialogue and exchange of information
- Build consensus reflecting the diversity of views among communities
- Engage women and disadvantaged groups, in broad consultations or in separate groups when needed using their own existing organizations or processes, such as councils of elders, headmen and tribal leaders, and women's groups.

In addition, time should be invested in carefully preparing consultations to ensure they are effective and appropriate, and to adhere to the 'do no harm' principle<sup>3</sup>. Below is a reference checklist of considerations when organizing a participatory consultation:

- Identify who should participate based on the stakeholder analysis
- State clear objectives, a list of the main issues to be addressed in the consultation, and the expected results
- Define the terms of the consultation, such as how participating stakeholders will contribute
- Select the most appropriate and effective

<sup>3</sup> The 'do no harm' principle refers to the prevention and mitigation of any action that may have a negative impact on affected populations.

method of consultation and prepare the required materials

- Clarify the rights and responsibilities of participants, e.g. local authorities, CSOs and community leaders
- Define clearly the process of the consultation (facilitation, work groups, open plenary discussions, etc.)
- Provide all the necessary information prior to the consultation (agenda, list of participants, practical arrangements)
- Remove any potential obstacles to people's participation and create incentives, such as accessible location, convenient timing and transport arrangements, safety, meals, etc.
- The resources available and the resources needed such as financial, material, services, infrastructure, etc.
- Decide how the outcomes of the consultation will be documented and made publicly available
- Report and disseminate the results of the consultation among participating stakeholders and communities

These terms should be understood and agreed upon by all stakeholders. Overall this process will be strategic in:

- Mobilizing public and political support for the process
- Enlisting and recruiting the support of all relevant stakeholders including community members
- Generating broad ownership for the participatory process
- Increasing transparency, legitimacy and leverage

Depending on the method chosen for the consultation, the process may be triggered through an outreach campaign targeting all affected communities using leaflets or flyers, through media channels such as radio broadcast, television, the internet and /or other platforms, or through a government announcement.

### Participatory consultation: Techniques and tools

There are multiple bottom-up participatory approaches and techniques that can be effectively applied to consult with communities. The technique which is adopted will always depend on the local context. Using a combination

of techniques is likely to yield better results, since they can facilitate a broader-based and more democratic consultative process with all key community members, and therefore more objective analysis. Below are examples of some of the most commonly used techniques. More details on these and other approaches can be found in Annex 1.

**Stakeholder analysis:** This typically involves three main steps: 1) identifying stakeholders, 2) specifying stakeholder interests, mapping power relations and influence, and 3) prioritizing engagement across different stakeholder groups. The ultimate goal of stakeholder analysis is to identify those entities, groups and persons that may be most impacted by the recovery process or who may best influence its success so that their engagement can be sought, prioritized, and tailored to ensure maximum benefits, minimal harms, and success.<sup>4</sup>

**Transect walks** and participant observation: During field visits transect walks allow for direct observation of conditions on the ground in disaster-affected communities.

**Community forum:** An open forum for all community members, can be a useful first consultation to get a general sense of the situation in affected communities and get everyone's views and inputs.

**Consultative meetings:** These can be effective for more formal discussions with key stakeholders (government authorities, religious leaders, civil society organizations, community leaders) to get an overview of the disaster's context, identify problem areas and locations, and to have a first discussion on the recovery approach and participation process.

**Focus group discussions:** This technique is effective for directly consulting members of affected communities, to obtain their views, identify their problems, capacities, recovery needs and priorities. Discussions may be organized with community members who represent a diversity of interests such as different wealth and ethnic groups, or they may be organized with specific interest groups to better understand their particular views and needs.

<sup>4</sup> Stakeholder Engagement: Guidance Note –UNDP Social and Environmental Standards. UNDP, 2017

**Structured and semi-structured interviews:**

These are particularly useful for more in-depth bilateral consultations with local authorities, community leaders, and civil society organizations such as cooperatives or women's groups.

**Online consultations:**

Social media is increasingly being used in post-disaster recovery for multiple purposes, including to consult the public and affected communities to help inform recovery plans and interventions.

**Workshops:** A series of working groups on specific sectors, themes or priority issues.

**Household surveys:** This method is effective for collecting and analyzing data to understand the

**CASE STUDY 1:**

**Community Participation in Post-Disaster Recovery Planning in the British Virgin Islands Recovery from 2017 Floods, Hurricane Irma and Hurricane Maria**

In 2017, the British Virgin Islands (BVI) were devastated by three successive disasters – Floods, Hurricane Irma and Hurricane Maria – all within a span of three months. These events left behind a trail of destruction in this small island Overseas Territory in the Caribbean, claiming four lives, injuring 125 people and causing an economic impact of around US\$2.6 billion, more than 200% of its Gross Domestic Product (DALA 2018).

In December 2017, within three months of the disasters, the Government of the Virgin Islands prepared a Preliminary Plan, which was published in the form of a document titled “Public Consultation on the Recovery and Development of the British Virgin Islands”. This document became the vehicle for seeking public and stakeholder inputs to the recovery planning process in the BVI.

During January and February 2018, the Disaster Recovery Coordinating Committee (DRCC) of the Premier's Office, with technical support from the United Nations Development Programme (UNDP), organised eight stakeholder and fifteen public consultations across nine electoral districts on the four major islands of the Territory – Tortola, Virgin Gorda, Jost van Dyke and Anegada. The Premier led the consultations supported by Ministers, Permanent Secretaries and other key Government officials and District Representatives.

Over 300 persons representing both the private and public sector attended the stakeholder consultations, while another 450 participated in the public consultations. Additionally, in response to the call to the public inviting comments on the Preliminary Plan, the DRCC received thirty-five written submissions via email and in-person delivery. Secondary school students also provided valuable feedback and their ideas for the Territory's recovery in a Recovery and Development Debate Competition hosted by the Ministry of Education and Culture.

The feedback from the consultations and other submissions were compiled, analysed and structured into six themes: Legislation, Policy and Planning; Employment, Labour and Markets; Education and Training; Environmental Protection and Conservation; Infrastructure and Technology. Community members while demanding resilient rebuilding of the Territory, using innovative and environmentally friendly techniques, called for an expanded focus of the Plan beyond recovery projects to developmental aspects.

The final report with recommendations served as a key input for the revision of the Preliminary Plan. In response to the public feedback, the revised Plan was structured as a Recovery to Development Plan, which while focusing on the recovery of the Territory, lays the foundation for a comprehensive National Development Plan to guide future growth of the Virgin Islands. This was approved by the House of Assembly in October 2018 and is now being implemented by the Government with the support of the Recovery and Development Agency, private sector, NGOs and development partners, including UNDP.

specific concerns, recovery needs and priorities of individual households in a manner that is representative of all affected households in a given geographical area.

### 2.4 Incentives to participation

Incentives and rewards can motivate communities and civil society organizations to participate in and contribute to post-disaster recovery projects. There are innumerable types of incentives that can be effectively used, and the selection of these should be context-specific, culturally sensitive, and aligned with the goals of the recovery project. An important consideration is to apply incentives through grassroots organizations as this is more likely to be cost-effective, to generate greater community initiative and participation, and to promote collaboration. The incentives which are chosen should also consider disadvantaged groups and their particular motivations to participate as well as the obstacles that may hinder the engagement. Below is a list of different types of incentives followed by a table with examples to illustrate these.

**Financial incentives:** These are common incentives used in recovery projects, and may include cash, wages, subsidies, credit, revolving funds and cost-sharing arrangements.

**Material incentives:** These are also common incentives used in recovery projects. They include the provision of inputs that are critical to community recovery and may include a range of in-kind goods and services.

**Purpose-driven incentives:** These are rewards derived from the fulfillment of personal or collective goals, such as achieving a sense of group mission or civic duty, contributing to positive changes in the recovery of a community, or receiving skills training. Knowing that they can make a difference can strongly motivate individuals, groups or communities to become involved. These can be especially effective for specific interest groups, minorities or disadvantaged groups who can be mobilized to participate around a shared, purpose-driven objective.

**Social Incentives:** These are intrinsic rewards derived from socializing or a sense of camaraderie. They may include ceremonies and social gatherings to celebrate specific achievements.

**Status Incentives:** These incentives can offer appreciation, recognition or prestige to boost motivation and morale, and hence commitment, greater participation and performance. They can be valuable in sustaining the commitment of affected communities or specific individuals.

A critical consideration when selecting incentives is community access as it is a key pre-condition for participation. Individuals, groups and communities may face obstacles that need to be addressed to enable their participation. The following table elaborates on the various types of incentives

### 2.5 Integrating Communities in Decision-Making Processes

Integrating communities in decision-making processes during post-disaster recovery requires an understanding of existing local structures that support participation in decision-making, how communities are involved in local decisions and the extent of their participation. It also requires understanding local power relationships, namely who owns and controls resources, who sets the agenda and makes decisions.

Communities may or may not have access to power and influence over decisions that affect their well-being and community life. Thus, recovery processes need to be sensitive to local power structures and decision-making processes. The following is a reference checklist of key considerations that can assist in understanding local power dynamics:

- The local actors and institutions that hold power, have access to and control over key resources, and those who make decisions that affect communities consider local authorities, resource holders, wealthy groups, businesses, and CSOs
- Existing mechanisms or processes of community participation in local government decision-making
- Existing local organizations or intermediaries that facilitate community participation
- Existing mechanisms for accountability in local governance structures
- Decision-making linkages among local, district, regional and national government offices
- Ways in which communities are involved in decision making, their motivations to participate, the community structures or mechanisms they trust, and so on.

Type of incentive	Examples
Financial Incentives	<ul style="list-style-type: none"> <li>• Cash-for work schemes to promote participation in debris removal or planting for farmers.</li> <li>• Credit schemes with low interest rates to support the recovery of micro-enterprises</li> <li>• An un earmarked incentive fund that a community or village can utilize for any shared priority that benefits the majority of the community members.</li> <li>• A prize draw to award a gift voucher for the effective performance of a particular community leader or for a community as a whole.</li> </ul>
Material Incentives	<ul style="list-style-type: none"> <li>• Providing transportation, paying a daily allowance or providing meals to facilitate participation in meetings, public forums or workshops.</li> <li>• A prize for best practices in a recovery project or intervention, to promote participation, transparency or social accountability.</li> <li>• Provision of critical inputs lost during the disaster, such as seeds, tools, minor equipment or animal feed.</li> </ul>
Social Incentives	<ul style="list-style-type: none"> <li>• Organizing a social gathering, ceremony or a community lunch to celebrate the achievement of a particular task such as finalizing a recovery planning workshops or completing a recovery project.</li> </ul>
Purpose-driven incentives	<ul style="list-style-type: none"> <li>• Organizing capacity-building training that allows individuals or communities to acquire new practical skills that help to improve their well-being or livelihood while also contributing to the recovery process.</li> </ul>
Status Incentives	<ul style="list-style-type: none"> <li>• Providing an award to communities that successfully achieve a desired objective in a recovery project or intervention</li> <li>• Awarding a Community Leader for their leadership performance</li> <li>• Preparing a press release on the high quality delivery of a specific recovery service by a community. Public forms of recognition and praise are especially effective.</li> </ul>

- The challenges and obstacles that communities face in participating in decisions, and the opportunities that are available for the recovery process

Integrating communities in decision-making during recovery processes should build on mechanisms where they exist, or in their absence create new opportunities for communities to influence decisions about their recovery process.

There are strategies that can be used to facilitate effective and equitable participation in decision-making. This may include the following:

- Work through existing mechanisms and processes that communities already use to influence decisions
- Consider setting up a new structure if needed to ensure communities can influence recovery decisions, such as community or village level committees
- Promote dialogue between communities and foster networks that can strengthen their role in decision making
- Consult CSOs to find effective ways of organizing citizens to influence decision-making in the recovery process

- Ensure communities or their representatives are invited to participate in all relevant forums, consultations, workshops and meetings where decisions will be made on key elements or phases of the recovery process
- Allow space for the voice of communities to be heard during workshops and consultations, by fostering an environment that is more conducive to their expression or making time for them to share their views
- Organize separate working groups where communities can feel more free to voice their opinion and needs, and document these to later share in subsequent higher-level meetings.
- Create situations and facilitate processes that also give voice to marginal and disadvantaged groups.
- Integrate capacity building training in leadership, team building and community empowerment
- Set up advisory services and provide technical assistance to support community decision-making and empowerment
- Support mechanisms that facilitate dialogue between affected communities, local and national authorities to build stronger linkages and trust.

**CASE STUDY 2:  
Wide-Scale Online Consultations for Recovery Planning  
The 2010–11 Canterbury Earthquake in New Zealand<sup>5</sup>**

In late 2010, an earthquake shook the Canterbury region and again in early 2011, a second earthquake struck six kilometres from the Christchurch Central Business District (CBD). In response the Christchurch City Council (CCC) launched a recovery planning process for the CBD with a public engagement campaign known as “Share an Idea”, which aimed to involve and engage the people of Christchurch in the design of the city’s future. NV Interactive, a New Zealand digital marketing company, partnered with the CCC to create an approachable, engaging online crowd sourcing tool that delivered outstanding results: during the six-week consultation, 21% of Christchurch’s population participated, generating 106,000 ideas.

The campaign used a combination of on- and offline media. Participants were invited to submit ideas in person at the Community Expo, or online via a special website. Using Twitter and Facebook, as well as traditional means of information dissemination such as postcards, the Council tried to market the project as widely as possible.

Online consultation had two key benefits. Firstly, as movement was severely restricted in the devastated city, the Internet allowed people to access information without physically changing location. Secondly, community consultation stretched far outside the boundaries of Christchurch. Ideas came in from across Australia, the UK, the USA and Canada, Ireland, Hong Kong, Sweden, Italy, Netherlands, Berlin and Qatar.

The Share an Idea initiative has been awarded numerous international prizes for both its inventiveness and its openness in responding to a crisis situation. In 2011, Share an Idea was voted ‘unanimous overall winner’ of the Netherlands-based Co-creation Association’s Co-creation Award, particularly because it allowed people to put forward their views through a variety of media and because it fostered a sense of community in addition to forming aspirations for the city’s rebuilding. Share an Idea has thus been recognized for its originality and creativity, as well as for the extent of community consultation which it achieved.

The ideas put forward during the Share an Idea project formed the basis for the draft Central City Plan. Designed by the Christchurch City Council in partnership with Gehl Architects, this project has also won international acclaim. In June 2013, the Plan received one of four Winner prizes in the Virserum Art Museum’s triennial Architecture of Necessity Awards. Again, the awarding body explicitly referenced the centrality of community participation, and to the Central City Plan which was developed from it.

<sup>5</sup> Adapted from “New Zealand: Centralizing Governance and Transforming Cityscapes”, in *After Great Disasters: How Six Countries Managed*

## 2.6 Empowering Local Actors and Civil Society

### The Role of Civil Society

The role of civil society organizations in post-disaster recovery can be significant and often necessary to meet the challenges and overwhelming needs. They constitute a large and diverse group of thousands of organizations, small and large, formal and informal, that are outside infrastructure but complement the state and the market. Civil society organizations include, among other, the following:<sup>6</sup>

- Community-based organizations
- Grassroots and indigenous peoples' movements
- Landless movements
- Women's organizations
- Environmental groups
- Peace movements
- Kinship groups
- Neighborhood-based groups
- Development NGOs
- Think tanks
- Faith-based organizations and religious congregation
- Academia
- Trade unions and trade associations
- Communities and citizens acting individually and collectively

CSOs play many roles. They often complement the development efforts of governments, have an influential role in setting and implementing the development agenda in their countries and are involved in the delivery of social infrastructure and services such as education, health, reproductive services for women, agricultural support and food security, financial services and business support as well as humanitarian assistance in times of crises. They are a driving force in guiding development policies, act as a watchdog to make sure policies get implemented, act as a powerful advocacy force for social justice and equity and enhance the dialogue between the government and civil society.

Given the breadth and scope of their actions and critical role in national development, CSOs are natural partners in post-disaster situations. The role and contribution of CSOs in recovery and reconstruction has been increasing, partly because disasters overwhelm the capacity of governments who on their own cannot fulfill all the challenges and tasks required for recovery. More often than not, recovery requires strong partnerships with citizens and their organizations. Below are examples of what CSOs can contribute to recovery efforts<sup>7</sup>:

**Community mobilization:** Given their broad outreach capacity and support-base with communities, CSOs can be strategic partners for mobilizing and organizing disaster affected communities to support needs assessments, planning, implementation and monitoring recovery projects.

**Recovery planning:** Individual or collective groups of CSOs may be mandated to formulate the recovery policy, to decide on the criteria for selecting beneficiaries, or to reach an agreement on the most appropriate package of beneficiary assistance.

**Implementation:** CSOs can be strategic partners in implementing recovery interventions, contributing their on-the-ground development experience with local communities, bringing specialized knowledge and experience (e.g. in their specific sector of expertise or in participatory approaches), and providing manpower and resources to help communities respond to and recover from disasters. Since they work close to the ground, they are sensitive to the realities and needs of communities, grass-roots organizations and local governments.

**Sub-contracting:** CSOs can be sub-contracted by governments to deliver portions of recovery programmes, or specific recovery services, infrastructure and other responsibilities such as community-level needs assessments.

<sup>6</sup> 'Voice and Accountability for Human Development: A UNDP Global Strategy to Strengthen Civil Society and Civic Engagement', UNDP

<sup>7</sup> UNDP and Australian Aid. 2013. Working With Civil Society In Foreign Aid Possibilities For South-South Cooperation?

**Dialogue:** They can enhance dialogue among CSOs and between the government and civil society.

**Research:** They can undertake studies, assessments and household surveys to support recovery programming and advocacy.

**Capacity building:** They can share and transfer expertise and knowledge through training and capacity building, contributing facilitators and professionals, infrastructure and facilities, and other resources.

**Coordination:** They build or strengthen networks providing a common platform for partnership and coordinate the efforts of civil society.

**Advocacy:** They provide a powerful and legitimate avenue for a strong, cohesive and credible voice for affected communities around issues of concern in post-disaster recovery. They can be at the forefront of successful campaigns that can shape recovery policy and programmes. CSOs that are politically active and integrate communities can present their demands to government and advocate for changes required to improve recovery.

**Monitor and audit:** CSOs can participate in and facilitate monitoring processes in collaboration with communities, and act as a watchdog to audit and measure progress in the effective implementation of recovery policies and programmes.

The range of civil society organizations present in many countries offers multiple opportunities to build partnerships with local actors that are directly connected with the affected population, have strong and broad-based capacity to mobilize and organize communities, can bridge bottom-up and top-down approaches, deliver and monitor recovery projects, and overall help to maximize recovery impact with their established infrastructure, mechanisms, experience and outreach capacity. Indeed one of the powerful benefits of working with CSOs is that they can fast-track and scale-up recovery. Lessons learned show that community-based approaches driven

by civil society yield effective, efficient and sustainable results in post-disaster recovery.

### Empowering civil society

The capacities and resources of civil society organizations often determine their ability to participate in support of the recovery process of communities. Typically, in post-disaster situations some capacities are weakened or limited such as the infrastructure, facilities and equipment of community organizations. However, CSOs will retain their knowledge, skills, experience, and outreach capacity for community mobilization, wide networks, and advocacy capacity.

Supporting CSOs with material and financial resources and building their capacity takes on strategic importance in post-disaster contexts, to enable them to actively participate in the recovery process, and to empower them to perform at the highest level. The capacity-building support that is given should always respond to needs on the ground and be tailored to local circumstances. Below are some initiatives to consider:

**Training:** Training topics should be tailored to the existing skills and needs of CSOs or community groups and to the objectives of the recovery programme. Training needs vary but will often include some of the following thematic areas:

- Proposal writing for recovery projects
- Budgeting, financial tracking and accounting
- Project management
- Strategic leadership
- Monitoring, evaluation and reporting
- Public relations, networking and advocacy

**Technical Assistance:** CSOs will often require the support of professionals with different areas of expertise, which may or may not be locally available, who can support them as they plan and implement recovery interventions. Technical assistance may include public health advisors working with communities to implement a vaccination campaign, or civil engineers training communities on housing reconstruction, or urban planners helping rebuild a town or communities, among others.

**Resourcing:** Supporting CSOs and community groups is a common capacity building need in post-disaster situations, given the level of destruction of infrastructure and facilities. CSOs will often need support with office space to operate effectively, equipment such as vehicles, computers and cell phones, as well as an administrative budget and access to professional expertise (legal, financial, etc.).

Capacity building can be provided by government authorities, national or local civil society

organizations, regional bodies or international agencies. Consider training centers, learning networks, cooperatives, schools and universities, charitable trusts, local or international NGOs, voluntary sector organizations, faith-based groups, private businesses, and research institutions.

## 2.7 Participation of Disadvantaged Groups

As with the Sustainable Development Goals, post-disaster recovery must also follow the

### CASE STUDY 3:

#### The Role of Civil Society in Tamil Nadu's Recovery from the Asian Tsunami<sup>8</sup>

In the wake of the 2004 Asian tsunami, civil society in India rose to the occasion. To begin with, the general public and CSOs brought in substantial amounts of resources and expertise to help provide immediate relief to the affected people. One of the major contributions of CSOs was their ability to fill crucial gaps at the time of relief and rescue. Their engagement continued into the rehabilitation phase, where they were also extensively involved in planning, resourcing and implementing rehabilitation programs.

CSOs were proactive in highlighting the specific needs of communities through intervention, research and documentation, bringing to light instances of exclusion, and in advocating for the rights of vulnerable groups such as Dalits, and occupations others than fishing, women and the aged. They also played crucial roles in giving feedback to the administration regarding shortcomings and malpractice in various rehabilitation processes, and in bringing to the government's attention any negative implications of state policies.

In addition, there were a number of groups and collectives that focused entirely on independent analysis of policy and practice, using the media, the courts, and mobilizing affected communities to highlight key issues of concern.

Right from the start, the administration was open to working in tandem with a range of civil society groups. Co-ordination mechanisms were established at the District and state levels to better leverage the expertise of civil society and optimize the use of resources.

Co-ordination bodies that bring together a wide range of civil society organizations and the administration were established. The single most important feature of these co-ordination bodies was that they had a strong working relationship with the administration. They helped ensure a constant interface between the administration and civil society groups (and between civil society groups themselves). Coordination, dialogue and information sharing went a long way in enhancing the effectiveness and reach of the response.

<sup>8</sup> Krithika Srinivasan and Vijay K. Nagaraj. The State and Civil Society in Disaster Response Post-Tsunami Experiences in Tamil Nadu, *Journal of Social Work in Disability and Rehabilitation*, 2006, Vol 5, Nos.3/4, pp. 57-80.

overarching objective of “leaving no one behind”. In all societies, the furthest behind tend to endure multiple and intersecting disadvantages. Women and girls, people in rural areas, indigenous peoples, ethnic and linguistic minorities, people with disabilities, migrants, gender and sexual minorities, youth and older persons are disproportionately among those left behind. Marginalized people and communities are rights-holders who need to be equally involved and engaged in efforts to claim their rights during recovery.

Five key factors should be assessed to understand who is being left behind and why, and to shape effective recovery responses:<sup>9</sup>

- 1. Discrimination:** What biases, exclusion or mistreatment do people face based on one or more aspect of their identity, including prominently gender, ethnicity, age, class, disability, sexual orientation, religion, nationality, indigenous, migratory status and other factors?
- 2. Geography:** Who endures isolation, vulnerability, missing or inferior public services and transportation, internet or other infrastructure gaps due to their place of residence?
- 3. Governance:** Who is affected by inequitable, inadequate or unjust laws, policies, processes or budgets? Who is less able to gain influence or participate meaningfully in the decisions that impact them?
- 4. Socio-economic status:** Who faces deprivation or disadvantages in terms of income, life expectancy and educational attainment? Who has less opportunities to stay healthy, be nourished and educated, to compete in the labor market, to acquire wealth and/or benefit from quality health care, clean water, sanitation, energy, social protection and financial services?

- 5. Shocks and fragility:** Who is more exposed and/or vulnerable to setbacks due to the impacts of climate change, natural hazards, violence, conflict, displacement, health emergencies, economic downturns, price or other shocks?

Ensuring the participation of disadvantaged groups to ‘leave no one behind’ in the recovery process requires the adoption of measures that can overcome existing obstacles or constraints. The following are examples of concrete steps that can be taken to ensure that women and disadvantaged groups are included and actively participate in community-level meetings and decision-making bodies and processes linked to recovery.

**Reaching out:** Ensure that women and disadvantaged groups are informed of planned meetings and workshops where recovery decisions will be made, and that they are specifically invited to attend. Take steps to ensure that their involvement is meaningful, that their voices are heard, and their viewpoints taken into consideration.

**Location and timing of meetings, forums and workshops:** These should be selected to facilitate geographic access for all, and to avoid conflict with the work schedules, household responsibilities and school timetable of women, children, the elderly, people with disabilities and other disadvantaged groups. Childcare arrangements should be made for the care of young children.

**Facilitating access:** Disadvantaged groups may have special access constraints which may be physical, geographic, economic or security related. Covering expenses, providing transport and meals, ensuring safety and making alternative arrangements should be considered to ensure their participation. Selecting a location and venue where women and other groups normally congregate.

<sup>9</sup> UNDP. 2018. What Does It Mean To Leave No One Behind? A UNDP discussion paper and framework for implementation

**Cultural sensitivity:** Possible barriers related to language, literacy levels, ethnicity, gender discrimination and other socio-cultural factors should be addressed, for example by providing translation services or organizing separate meetings with women, people with disabilities, specific ethnic minorities and other groups to facilitate their participation and influence in decision-making.

Taking these measures ensures that the recovery process does not reinforce inequalities, that recovery interventions respond to the needs and priorities of women and disadvantaged groups, and that recovery benefits from their knowledge, skills, experience and other human capacities.

#### **CASE STUDY 4: Community led recovery in Dominica**

Hurricane Maria, a category 5 event, impacted the island of Dominica in the eastern Caribbean on 18th September 2017 resulting in island wide destruction. One of the successful initiatives that UNDP advanced in support of recovery in Dominica was an emergency employment program, which was undertaken in partnership with the Government's National Employment Programme (NEP) led by the Ministry of Trade, Energy and Employment and the affected communities.

The program aimed to provide gender-balanced temporary employment opportunities in 18 communities. Households participating in the programme benefited directly from the emergency employment programme, which restored economic activity through debris and waste management and transferred USD 660,000 to beneficiaries. That income enabled access to food, critical goods and services, as well as to the repair of homes.

Communities were invited to participate in this programme first through consultations with local leaders of the affected communities followed by organizing a training and planning session for selected beneficiaries. 30 NEP supervisors and village council members were training in community clean up activity and use of the safety equipment. In the process of implementation, a monitoring process was launched by establishing benchmarks of achievement. It was done through the engagement of NEP as well as through other partners such as the education and agricultural sectors. Site visits of teams to capturing their perspectives of the communities was held. The communities were informed of the results of the evaluation and future application of such a programme.

Many of the female workers due to their diligence and leadership became team leaders leading a group of people in community clean up and waste management. Jeanne Williams, a mother of two in the west coast community of Colihaut, who became a team leader notes that the opportunity to engage in rehabilitating their community and supporting their families was critical to their own recovery and given her a sense of independence.

The Programme benefitted the entire territory of the island and the different communities participated through their representatives in the whole programme management cycle, taking active part in the planning process, selecting the prioritized sites, distributing and storing the

safety equipment, organizing the teams on the field and monitoring the progress of works. Finally, six decentralized focus groups were held with the beneficiaries to identify the best practices and the weaknesses of the programme.

The existing NEP programme for community greening activities was expanded to a recovery initiative by the Government and UNDP resulting in transforming people from affected persons to actors for change. Communities active participation in the planning process resulted in very high levels of commitment to the rehabilitation process. This innovative partnership contributed to enhancing the ability and preparedness of the NEP to respond to future emergencies with a timely, effective, well-structured and community managed emergency employment programme.

#### **CASE STUDY 5: Overcoming Obstacles to the Participation of Women Tsunami Recovery in Indonesia<sup>10 11</sup>**

Thirty years of conflict had profoundly affected gender relations in Aceh, Indonesia. Pre-tsunami, an estimated 23 percent of households were headed by women, significantly higher than the national average for rest of the country. Conditions for women were harsh with low access to services, their mobility was restricted by curfew, roadblocks and fear, and the conflict exposed them to high levels of gender-based violence. Social networks were severed, trust within and between communities broke down and women's already traditionally limited public roles became even more restricted.

Work and care responsibilities increased dramatically for women survivors. They were already the primary support for sick children, the injured and elderly and kept the household functioning. All of these responsibilities left women little time to participate actively in recovery, especially the poorest women and those heading households.

Lack of mobility and security was an additional constraint to women's participation; it reduced their access to information and ability to attend community meetings, both of which can be major barriers to women's participation. Typically, more powerful members of communities-controlled information flows.

Recovery projects supported by the Multi Donor Fund for Aceh and Nias, established in 2005 in response to the 2004 tsunami and the subsequent 2005 earthquake that struck Indonesia, provide examples of practical ways to overcome the barriers to ensuring women's participation in post disaster recovery.

On Nias, for instance, to reach women and improve their access to recovery information the projects channeled information through the Sunday church services which are heavily attended

<sup>10</sup> Adapted from MDF-JRF Working Paper Series: Lessons Learned from Post-Disaster Reconstruction in Indonesia - Adapting Community Driven Approaches for Post-Disaster Recovery: Experiences from Indonesia, MDF - JRF Secretariat, World Bank, 2012

by women. Notices were read out in church and designated facilitators shared information with women about project opportunities in housing reconstruction. The lessons learned showed that projects which tapped into strong local networks, particularly those linking women, were most effective in helping women to rebuild their lives by supporting women's access to information and hence their participation in recovery.

Since women's agency was severely constrained and opportunities to facilitate women's empowerment compromised by weakened organizational capacities or limited resources, women-only meetings were an important mechanism for strengthening their agency. A number of practical innovations were introduced to encourage women to participate in decision meetings. These included a small travel stipend to cover attendance and incentives such as lottery tickets to women who spoke at meetings. The projects that institutionalized women-only meetings had higher levels of women's participation and provided a space for women to develop the skills and confidence to engage actively in mixed public fora.

The inclusion of women in leadership committees and setting targets for levels of women's participation led to higher levels of women's participation. The trend across all projects was towards greater gender equality in decision-making with approximately 25 percent of village management leaders being women. In Aceh and Nias, by 2007, more than 1.1 million women (over 65 percent of the total) had participated in community-level planning activities.

# III. Engaging Communities in Needs Assessment, Planning Implementation and Monitoring

Community participation is a process that engages disaster-affected communities actively in needs assessment, planning, implementation and monitoring. This section briefly highlights some of the main considerations for engaging communities in each of these phases.

It is worth noting that all the mechanisms outlined thus far in the present Guidelines are relevant and applicable to needs assessments, planning, implementation and monitoring. Table 1 below summarizes the main mechanisms as a quick reference.

## 3.1 Needs Assessments

As noted earlier, community participation should begin as early as possible, ideally during the need's assessment. As the first step in the recovery process needs assessments represent a critical moment for understanding local communities, their assets and resources, problems, incentives, capacities, the main community actors and stakeholders, local power dynamics, etc., and for involving the affected population in identifying their recovery needs and in setting their own priorities.

**Table 1: summary of main mechanisms for community participation in disaster recovery**

Inform and Communicate	Provide Incentives for Participation	Consult Communities
<ul style="list-style-type: none"> <li>• Public fora or information meetings</li> <li>• Community gatherings such as religious services or those of women's groups</li> <li>• Distributing leaflets, posters, newsletters, etc. in areas where they have maximum visibility</li> <li>• Illustrated books to reach groups who are illiterate or speak different languages</li> <li>• The media through briefings, press releases and press conferences</li> <li>• Community radio stations and newspapers</li> <li>• Presentations at formal meetings or workshops</li> <li>• Films or videos</li> <li>• The internet and social media</li> <li>• Exhibitions</li> </ul>	<ul style="list-style-type: none"> <li>• Financial incentives</li> <li>• Material incentives</li> <li>• Purpose-driven incentives</li> <li>• Social Incentives</li> <li>• Status Incentives</li> </ul>	<ul style="list-style-type: none"> <li>• Know the main stakeholders</li> <li>• Know the resources and capacities of affected communities that can support participation</li> <li>• Prepare for participatory consultations</li> </ul> <p>Use participatory consultation techniques and tools</p> <ul style="list-style-type: none"> <li>• Stakeholder analysis</li> <li>• Transect walks and participant observation</li> <li>• Community forums</li> <li>• Consultative meetings</li> <li>• Focus group discussions</li> <li>• Workshops</li> <li>• Structured and semi-structured interviews</li> <li>• Household surveys</li> </ul>

Partner With Civil Society to Support Recovery	Integrate Communities in Decision-Making	Ensure the Participation of Disadvantaged Groups
<ul style="list-style-type: none"> <li>• Community mobilization</li> <li>• Implementation of recovery interventions</li> <li>• Enhance dialogue among CSOs and between the government and civil society</li> <li>• Research studies, assessments and household surveys to support assessments, recovery programming and advocacy</li> <li>• Capacity-building to share and transfer their expertise and knowledge</li> <li>• Build or strengthen networks of CSOs, provide a common platform for partnership and coordinate the efforts of civil society.</li> <li>• Provide a powerful and legitimate avenue for a strong, cohesive and credible voice for affected communities around issues of concern</li> <li>• Monitor and audit</li> </ul>	<ul style="list-style-type: none"> <li>• Work through existing mechanisms and processes that communities use to influence decisions</li> <li>• Consider setting up a new structure if needed to ensure communities can influence decisions</li> <li>• Promote dialogue between communities to strengthen their role in decision making</li> <li>• Consult CSOs to find effective ways of organizing citizens to influence decision-making</li> <li>• Ensure communities are invited to participate in all relevant forums where decisions will be made</li> <li>• Allow space for the voice of communities to be heard during workshops and consultations</li> <li>• Organize separate working groups where communities can voice their opinion and needs</li> <li>• Create situations and facilitate processes that also give voice to marginal and disadvantaged groups.</li> <li>• Integrate capacity building training on leadership, team building and community empowerment</li> <li>• Set up advisory services and provide technical assistance to support community decision-making</li> <li>• Support mechanisms that facilitate dialogue between local and national authorities</li> </ul>	<ul style="list-style-type: none"> <li>• Reaching out: ensure that women and disadvantaged groups are informed of planned meetings and workshops where recovery decisions will be made, and that they are specifically invited to attend.</li> <li>• Careful selection of location and timing of meetings, forums and workshops to facilitate participation</li> <li>• Facilitating access: remove access constraints facing disadvantaged groups which may be physical, geographic, economic or security related.</li> <li>• Cultural sensitivity: possible barriers related to language, literacy levels, ethnicity, gender discrimination and other socio-cultural factors should be addressed</li> </ul>

Source: adapted from IAPP, 2014

There are a number of needs assessment methodologies that may be used as a reference for further detailed guidance, such as the Multi-Cluster/Sector Initial Rapid Assessment (MIRA) developed by the Inter Agency Standing Committee, and the Post Disaster Needs Assessment Guidelines (PDNA) developed by the United Nations, World Bank and European Commission. Governments may also have their own assessment methodologies.

The key element is to ensure that the needs assessment follows a participatory approach. As

highlighted by Volume A of the PDNA Guidelines, the assessment is a process that “should involve the participation of the affected population, local authorities, civil society and the private sector in assessing recovery needs and priorities, and in designing the Recovery Strategy”.

Typically, a participatory assessment methodology such as the PDNA combines desk reviews, the collection of baseline data, broad-based consultations with national stakeholders and local actors, and field visits to affected areas to assess and validate disaster effects and impacts

on communities. Thus, community participation is embedded in the approach and practice of PDNAs although the levels of community participation vary.

A useful reference to consider during a need's assessment is the Guidelines for Assessing the Human Impact of Disasters which was developed as part of the PDNA Guide. These guidelines relate to community participation because they follow a human recovery approach – which is a people-centered approach. It is guided by the concept of human development, namely, measures to restore people's abilities to reach their full potential to lead productive, creative lives in accordance with their needs and interests.<sup>12</sup>

Partnership with civil society during assessments is a key strategy for promoting broad-based

partnerships with communities and bottom-up recovery processes. As noted earlier, CSOs organizations are directly connected with the local population, have the power to mobilize and organize communities. They can represent impartially the interests of different social groups.

Experience in conducting PDNAs over the past two decades illustrate that a variety of consultative processes and techniques can be applied to ensure the participation of affected communities in the assessment process. The technique adopted depends on the national and local context, the scale of the disaster, the level of access to disaster-affected districts, time, resources and other factors. Some of these consultative tools were noted above in Section 2.3, and Annex 1 provides additional information.

#### **CASE STUDY 6: Using Existing Community Networks for the Needs Assessment Aceh's Tsunami Recovery**

The assessment process in Aceh following the 2004 tsunami tapped on the vast outreach of the Kecamatan Development Project (KDP), a well-established and trusted large-scale community driven development program working throughout the region. Its "infrastructure" included senior team leaders, district-level consultants and nearly 200 sub-district level community facilitators working with thousands of voluntary village-level facilitators. Before the tsunami, KDP operated in 87 of Aceh's sub-districts including about half of those severely hit by the tsunami.

The network of facilitators proved to be a useful asset in collecting local level data and information to support the assessment and recovery process that was supported by the Multi Donor Fund for Aceh and Nias. When the tsunami struck, the existing KDP facilitator networks were leveraged to generate village level data that fed into the damage and needs assessment. This was then followed up with a village level survey conducted by the KDP program across more than 5,700 villages in 2006. This survey included information on infrastructure needs and gaps and social indicators related to displaced persons and new migrants.

This experience demonstrates the value of building on existing local capacities and networks as a strategic asset that can be leveraged to greatly enhance the effectiveness of assessments at the local level to ensure community participation.

<sup>12</sup> UNDP *Guidelines for Assessing the Human Impact of Disasters* May 2019

### 3.2 Participatory Recovery Planning

Following the needs assessment, community participation should also form part of recovery planning. While the assessment provides a good understanding of the local context, the key stakeholders, and the main concerns and needs of communities, participatory planning ensures that communities are involved in the decision-making process, selecting priority recovery projects and implementation mechanisms that involve them in the process.

At national level recovery planning will typically involve national and international stakeholders in a high level strategic process of recovery planning. For more informative and detailed guidance on national planning processes refer to the *Guide to Developing Disaster Recovery Frameworks*.<sup>13</sup>

At the local level the recovery plan is designed in collaboration with communities and local stakeholders. The planning process may take place at the level of a community, parish, or district or another administrative level. The participatory process allows communities to discuss options and design the strategy and specific recovery interventions that best respond to their particular circumstances. Participation in recovery planning is particularly critical as the planning process is the moment when decisions are made on all key aspects of recovery process. As such, it empowers communities, fosters ownership and ensures longer-term sustainability.

Any of the main mechanisms for community participation listed in Table 1 above may be used during the planning process. For ease of reference, the recovery planning process may consider the following two main stages, each with their set of activities:

#### 1. Preparation

The first step is to design the recovery planning process to set the stage and ensure success. Start preparations by setting up a planning

committee to help lead, design and implement the participatory planning process ensuring it is represented by a wide membership of key community members, including local authorities whose participation and endorsement is critical to the planning process. The aim is to mobilize the key actors, build a strong partnership, and involve them from the beginning to gain ownership.

Organize preparatory meetings with the planning committee to reach agreement on the following main elements of the participatory planning exercise:

- The aim and objectives of the planning process that will be adopted
- The bodies and / or forums that will be used, and their specific functions
- The roles and responsibilities of key stakeholders such as local authorities, CSOs and community leaders
- Facilitation and the appropriate participatory approaches and techniques that will be implemented, taking into account time scale, objectives, resources, openness of information sharing etc.
- The principles of participation, ground-rules and minimum standards
- The resources available and the resources needed (financial, material, services, infrastructure)
- The technical and administrative services available to support participation.
- The mechanisms for recording and disseminating the community recovery plan.

#### 2. Planning

The planning process may take time, resources and organization, particularly to ensure the participation of affected communities, and should therefore be allocated ample time. It may also be necessary to form a group to organize the planning process and distribute tasks and responsibilities, which could involve members within the community, CSOs already present in the community, and/or local authorities.

<sup>13</sup> World Bank, UNDP and European Union. 2015. *Guide to Developing Disaster Recovery Frameworks*

Participation in recovery planning can be done through workshops or informal meetings in a location, time and venue that is convenient for all participants including women and disadvantaged groups who may have distance or schedule constraints. It will be important to consider facilitation by external agents to ensure the process is objective and free of local power influences. It may be necessary to recruit a team of facilitators with expertise in participatory tools for planning and decision-making. The facilitators can share responsibilities and tasks, which may involve community members, a CSO or external professionals.

The community or district level recovery plan should consider the following key elements:

- Include all the core elements of a recovery plan: clear vision, objectives, the recovery strategy, the specific projects, intervention and activities. Organize by sector or main themes and outline the implementation and monitoring arrangements. Lastly, the plan should have a timetable, a budget and guidance on financing.
- Link the local plan to higher-level recovery plans, including district, municipal, provincial and national plans to ensure coherence.
- Outline the strategy or details of how community participation will be managed

and implemented, the participatory methods that will be followed, the organizations or community leaders that will be responsible and held accountable.

- Select a steering committee that will lead and oversee the implementation of the community recovery plan. This may be the same planning committee where appropriate, a new committee with different community actors, or an existing community-based organization. It may be necessary to create sub-project committees to oversee specific recovery interventions.
- Empower communities, CSOs and the steering committees as needed, by integrating the necessary capacity-building training and providing the materials, services, and equipment required for implementation. Consider skills training in project management, participatory approaches, social audits, budgeting, financial management and accounting, as well as project specific technical training such as for housing reconstruction, micro-enterprise development or sustainable resource management, etc.
- Inform and share the local recovery plan with key local stakeholders, and at all levels including national authorities.

### CASE STUDY 7:

#### Participatory Reconstruction Action Planning Recovery from the 2015 earthquake in Nepal

After the devastating earthquake in Nepal in 2015, the Government of Nepal (GoN) adopted Owner-Driven Reconstruction (ODR) approach for reconstruction of 800,000 damaged houses. The Government framed technical guidelines for earthquake safe construction and provided grant of 300,000 NPR (US\$ 3000) to each house owner. The Government of India (GOI) is supporting reconstruction of 50,000 houses and partnered with UNDP to provide socio-technical facilitation to 26,912 households in Gorkha district. UNDP is collaborating with ODR Collaborative of India in this process.

During the reconstruction process, it was observed that the official financial support is not adequate for vulnerable households to reconstruct resilient houses. The GOI-supported project initiated a Participatory Reconstruction Action Plan (PRAP) at the settlement (Tole) level encouraging the community to develop reconstruction action plan examining the locally available resources, financial sources and local support in monitoring the reconstruction process and improving the quality of the houses constructed.

The first step towards preparing a PRAP is social and resource mapping (human resources, material, financial resources, equipment, land). This process was facilitated by the project team, including the community facilitators and the local master masons and the engineers deployed by the project. The project team organized community meetings and focus group discussions, at sub-hamlet levels (tole), which ensured that all sections of the communities were represented, including the women, elderly, socially and economically disadvantaged amongst other.

After the mapping, consultative meetings held once again with the various community groups at the hamlet level, to identify the needs and gaps that need to be addressed. Armed with the information on available resources and critical gaps and needs, an action plan with key inputs for housing reconstruction elaborating source for land, labor, materials and technology is prepared with the timeline and identifying person/institution responsible for the same.

This community-based initiative helped to expedite and monitor the overall construction process. It also helped in identifying households without access to funds and linked them with the revolving funds created by the local governing units to provide short-term loans for reconstruction.

Committees were formed comprising of beneficiaries and elected representative of the local government to support implementation, such as purchasing the necessary materials, facilitating the process of making land available to the landless, linking households to revolving funds and expediting reconstruction.

The monitoring process involved transect walks to oversee ongoing construction and reconstruction of houses, engaging the house owners, masons, local contractors, community leaders and the project technical staff and social facilitators to identify any irregularities or issues in the adoption of safety measures in reconstruction. This process helped to educate all the local stakeholders about safe housing construction technology. Other development issues (water, sanitation, health, education, connectivity) were also discussed and shared with local municipalities.

This Owner Driven Reconstruction (ODR) approach in Nepal was truly participatory. The community, particularly the vulnerable house owners who used to feel left out, were empowered to reconstruct their houses. The project has revived the tradition of community initiative of housing reconstruction. It also helped to expedite implementation, and to monitor the overall construction process in a manner that enabled communities to identify obstacles and find solutions, such as making revolving funds accessible to those who were unable to rebuild due to a lack of financial resources.

### 3.3 Participatory Implementation

As noted in the preceding section, the implementation arrangements should be defined as part of the community recovery plan, as well as the details of how community participation will be managed and implemented throughout the recovery process. Below are additional considerations for implementing an effective community recovery plan.

- Selection of a steering committee that will lead and oversee the implementation
- Selection of a project implementation and monitoring body to manage the day-to-day operations
- Selection of project coordinators and / or project officers
- Recruitment of staff and technical experts
- Organization of capacity-building training
- Procurement of necessary materials, equipment and other resources for communities and CSOs

Consider the participatory monitoring techniques that will be used throughout the implementation phase, including social audits and grievance redress mechanisms. This should also include information and communication mechanisms that will ensure transparency and support accountability.

In addition to the participatory mechanisms summarized in Table 1 above, consider the three main levels of community participation that can be implemented:

#### 1) Involving communities in project delivery:

This is the most common form of community participation in the implementation of recovery projects, where communities are involved directly in the organization and delivery of projects. For example:

- Communities can be involved in housing projects to rebuild their homes, ensuring they receive the necessary materials and capacity-building training in design and building techniques.

- Communities can be organized in groups to jointly rebuild schools, health centers, and other community infrastructure.
- Farmers can be empowered with the necessary tools to repair irrigation systems, rural access roads to agricultural fields, and to clean debris and prepare land for sowing.

Communities may be organized in groups by area, project, sector or goal identified in the community recovery plan.

**2) Direct community management:** This is the most dynamic and empowering form of community participation in which communities own and control the recovery projects; they are actively involved in the processes of planning, decision making, and managing recovery activities. Direct community management includes empowering existing committees or groups to manage the project, or the formation of new community or village level committees when these do not exist.

#### 3) Management through representation:

Here communities participate through the representation of CSOs or CBOs (e.g. associations, cooperatives, user management committees, etc.).

Some of the benefits of the latter two forms of community management include:

- Empowers communities to manage local public goods such as water supply, sanitation, forests, roads, schools, and health clinics.
- Gives communities a direct stake in a local project as they are actively involved in the processes of planning, decision making, and managing recovery activities
- Promotes greater ownership
- Builds local capacities, helping communities to acquire new knowledge and develop practical skills
- Strengthens participation in decision-making and project management.
- Fosters collective responsibilities and collective action

**CASE STUDY 8:****Broad-Based Participatory Assessment and Planning Haiti's Urban Recovery<sup>14</sup>**

More than 400,000 buildings were damaged or destroyed by the earthquake that struck Haiti early in 2010. Within the framework of the Action Plan for National Recovery and Development of the Haitian Government, a massive debris removal programme was implemented in the immediate aftermath of the earthquake with pilot projects that followed a progressively integrated approach linked to the revitalization of the local economy through labor-intensive jobs, the promotion of micro and small enterprises, debris reuse and recycling, among others.

In spite of the massive scale of the disaster and reconstruction challenges, the Debris I and Debris II projects in Port-au-Prince adopted a "participatory urban planning" approach that directly involved the affected population in neighborhood recovery. The approach built on existing local capacities particularly the history of self-organization in beneficiary neighborhoods. Most neighborhoods had not previously benefited from planned development schemes by public authorities and instead had managed their own community initiatives. They therefore had developed a sense of individual and collective involvement in the development of their living environments and had well-established community organizations.

The neighborhood-level participatory assessment and planning process included a combination of consultative techniques, including the following:

- Community outreach and mobilization
- Development of an inventory of community-based organizations
- Visits to districts with representatives of community-based organizations to identify priority sites, problem areas, and to initiate exchanges with local residents.
- A survey to collect data from more than 4,000 households
- Preliminary meetings and "mental mapping" activities to allow participants to express their perceptions, needs and expectations of their neighborhood.
- Thematic meetings in the form of "focus groups" and "neighborhood stories" from "old timers" to discuss their recovery needs in education, health, youth, insecurity, among others. This included understanding of local recovery processes and identifying initiatives that could generate leverage.
- Meetings with key local stakeholders working within each sector
- Identification and prioritization of collective projects, based on their priority needs but also on opportunities for operational implementation (more easily financed projects, timely opportunities).
- Selection and approval of the proposed recovery plan and projects by community representatives.

Planning exercises included the participation of mayors, municipal technicians, the private sector (formal and informal), neighborhood organizations, urban planning professionals, academia and civil society (competent people, consumers or user associations that had worked in the general interest of the majority in planning development options and land use proposals), among others. It was fundamentally important to choose the most representative and recognized local authorities

<sup>14</sup> Adapted from Debris Management: the Door to Development, UNDP, 2013.

and community structures during the conceptualization and assessment phases, using a broad concept of neighborhood defined not by geographic data but by an important analysis of the interrelationships and dynamics existing at the local government level.

The projects were developed in partnership with the Ministry of Public Works and several key UN agencies including UN-Habitat which was responsible for social mobilization, community participation and the preparation of neighborhood restructuring plans. The ILO responsible for job creation through the reuse of recyclable debris and the reactivation of the local economy through the creation and support for small and micro-enterprises; UNDP was responsible for demolition, debris removal, neighborhood rehabilitation and the general coordination of the intervention, using a participatory approach and in partnership with UNOPS, central and local governments, local and international NGOs with longstanding experience in Haiti, the private sector, and more importantly, the Haitian population.

### 3.4 Participatory Monitoring and Audits

#### Participatory monitoring

Participatory monitoring refers to a collaborative process that involves stakeholders at different levels working together to assess progress made in recovery projects, identify bottlenecks and take any corrective action required.

A cornerstone of participatory monitoring is to involve the community in selecting indicators for measuring progress and achievements, and in collecting and gathering evidence. This ensures ownership, learning and sustainability of results. Participatory monitoring is increasingly recognized as an effective means of creating mutual accountability among communities, CSOs and the government.

A number of participatory methods can be adopted in monitoring processes to facilitate transparency and accountability in post-disaster recovery. They include but are not limited to the following:

Community networks of grassroots groups, volunteers, social workers, youth, women's groups, and other community-level social groups to help organize, implement, collect evidence and report progress.

Civil society organizations that can be tasked to plan and manage the monitoring process with community participation.

Community forums or public assemblies serve to gather direct feedback from communities and their organizations, as well as from local government officials involved in the operation, and field-level project staff.

High-level stakeholder workshops can bring together government officials, project management, CSOs, community representatives, and others involved at the level of project management.

Self-evaluations by communities or project staff to conduct their own assessments of the recovery project.

Citizen evaluations involve a meeting to evaluate a particular recovery policy or program.

Focus groups can bring together special interest groups or disadvantaged populations such as women, older people, people with disabilities, and others who may not feel comfortable discussing their concerns in stakeholder workshops.

House-to-house surveys to gain some insights into people's concerns, particularly for more in-depth qualitative feedback.

## Auditing

In disaster recovery processes, the purpose of social audits is to ensure that recovery interventions are reaching the most deserving community members, and that community recovery activities are carried out in a participatory manner. They also help communities to monitor the allocation and expenditure of recovery funds and ensure they adhere to project objectives.

Responsibility for social audits can be given to an independent CSO or to a local committee created for that specific purpose. Either way, the responsible party should meet regularly to

audit all actions performed by verifying records, interacting with communities and conducting field level verification. The results should be recorded and presented to communities and participating CSOs along with suggested measures for improvement when needed.

Social audits can be effective mechanisms for identifying and rectifying deficiencies in the implementation of recovery projects. In this sense, auditing plays an important role in supporting good governance and the administration of recovery projects by strengthening the accountability of responsible organizations.

### CASE STUDY 9: Participatory Monitoring and Auditing Post-Flood Recovery in Colombia<sup>15</sup>

The prolonged and intense rainy season in 2010-11 which was associated with the La Niña phenomenon has been one of the most devastating and costly disasters in Colombia. By 2011, 93 percent of all of the municipalities across Colombia had been affected to some degree by landslides and flooding. This event was unprecedented in its duration, the scale of its physical impact, the number of people affected, and the damage caused to Colombia's economy.

In order to carry out social monitoring and to audit the recovery process, a Visible Audit Strategy was developed to ensure community participation. The strategy was developed with the following explicit objectives:

- Promote and strengthen citizen participation in the monitoring of public resources.
- Prevent corruption and inefficiency in the management of public resources, by fostering transparency.
- Raise awareness among citizens about the importance of public goods and resources and their rights and duties in relation to the sustainability of the recovery projects.
- Ensure that the recovery projects are finished according to the initial agreements and timeframe.
- Inform the different responsible agencies and local authorities about alleged acts of corruption or mismanagement of public resources.
- Promote the interest and participation of local and regional government in the processes of accountability.

<sup>15</sup> Adapted from *Colombia La Niña 2010-11 Recovery: the Story of Gramalote and Jarillon de Cali*, World Bank GFDRR (forthcoming)

Monitoring and auditing strategy included the following key mechanisms:

- 1) **Forums:** Three forums were to be organized for each recovery project or intervention, the first at the start of the project, the second half way through implementation and the third at the end of project implementation.
- 2) **Participation:** The forums had to be attended by at least 30 people representing different sectors of the community, such as community leaders, farmers, presidents of Community Action Boards, parents, community agents, etc. Participants included the Mayor, First Lady and/or liaison of the municipality, Municipal representatives, representatives of the community directly benefiting from the intervention, representatives of governmental organizations present in the area, civil society organizations, presidents of Community Action Boards and the implementing agencies, among others.

In order to facilitate transparency and the auditing process, the first forum presented the recovery project to participants and the implementing organizations, highlighting the roles and responsibilities of all the key actors involved. The forum also served to form Local Monitoring Teams, to decide on communication mechanisms and information points, to set the schedule of regular monitoring meetings and define the workings of the Citizen Service Centers and of Citizen Satisfaction Surveys.

- 3) **Local Monitoring Teams:** Formed during the first forum, these teams represented the various sectors of communities, and were made responsible for disseminating information on the recovery project, for acting as the means of communication between communities, project management, and the government, for reporting back on the concerns of the communities, and for convening regular meetings to socialize progress, generate early warnings on bottlenecks, and follow up on corrective actions to improve recovery.
- 4) **The Citizen Satisfaction Survey:** Framed within the national public policy on accountability, the Survey was a tool designed to measure the perception of the community on the recovery process, to identify information needs and opportunities for improving recovery.

### Grievance redressal mechanisms

Impartial, accessible and fair mechanisms for grievance, conflict resolution and redressal should be established to operate throughout the implementation of recovery projects. Grievance mechanisms are a locally based, formalized way for communities to receive, assess, and resolve complaints about the performance of interventions or projects. They represent a vital form of community participation and empowerment.

A grievance mechanism should be a way for the community to hold those responsible for the recovery project accountable, to make sure it takes community inputs seriously, deals with them through a clear and transparent process,

follows through with actions, and communicates back with the community.

Examples of tools used for grievance mechanisms

- Community Help Desk
- Community logbook of grievances
- Comment / Feedback box installed in a location easily accessible e.g. schools
- Information booths
- Community liaisons who schedule regular visits to stakeholders
- Phone hotlines
- Open-door policies at the project site
- Toll-free mobile phone lines
- Radio programme with call-in service
- SMS-based feedback mechanism using cell phones

- Integrated voice response technology applied to mass SMS messaging

Although grievance mechanisms must be designed to suit the project context, they should generally have the following characteristics:

- An established procedure
- Systematically recording, tracking, analysis, and response.
- Known predictable procedures and timeframes for each stage
- Results from the grievance monitoring mechanism shared with stakeholders
- Appropriate staffing is for the volume and type of grievances.
- A way to account for specific cultural attributes as well as traditional mechanisms for raising and resolving issues, to ensure that the concerns of significantly different groups are addressed appropriately
- Clear and understandable mechanism
- Accessible and responsive to all segments of the affected communities
- No cost attached

A grievance mechanism is transparent when members of the affected community

- know who in the organization handles complaints and communicates outcomes, and who is in charge of the mechanism 's oversight;
- have provided input into its development;
- have enough information on how to access it; and
- have power to ensure that the process is adhered to by those directly responsible for managing it.
- are encouraged to share their concerns freely, with the understanding that no retribution will be exacted for participation. A mechanism free of retribution will consider potential dangers and risks to complainants and incorporate ways to prevent harm.

This section has shown how participation can be integrated in every phase of the recovery programme cycle. Table 2 below presents some examples of how community participation can manifest in each of the phases of post-disaster recovery, followed by case studies that further illustrate how it has been applied in previous disasters.

**Table 2: Examples of community participation in the recovery programme cycle**

Needs assessment	Recovery planning	Implementation	Monitoring, auditing
Consult communities directly on their main concerns, and on their recovery needs and top priorities	Involve all community stakeholders in the planning process, such as grassroots organisations, women's groups, faith-based organisations, cooperatives, local authorities among other.	Engage CSOs in mobilising and organising communities, in delivering recovery services, and managing recovery projects.	Engage communities in the selection of monitoring indicators and in the collection of data and evidence.
Involve CSOs in the needs assessments or to undertake a household survey.	Use community planning workshops with facilitators who have expertise in participatory tools.	Engage communities in direct management of recovery projects	Set-up two-way communication channels and grievance redress mechanisms.
Use participatory techniques such as focus group discussions, community mapping, interviews, household surveys, community forums, etc.	Ensure disadvantaged groups are involved in planning and decision-making.	Involve communities in implementing recovery interventions, such as debris removal, housing construction, repairing schools, etc.	Partner with CSOs to design and oversee monitoring alongside communities, or to undertake social audits.
		Empower communities and CSOs through skills training and the provision of resources.	

**CASE STUDY 10:  
Information System and Grievance Redress Mechanism  
Recovery from Floods in Uttarakhand, India<sup>16</sup>**

In response to the flash floods affecting Uttarakhand in 2013, the Owner Driven Construction of Houses project integrated a management information system and a grievance redressal mechanism to ensure transparency and accountability.

The grievance redressal mechanism used different communication channels, such as face-to-face communication at the district office, and remote complaints via phone calls. A grievance page was added to the website and a toll-free helpline number was also set up to function seven days of the week. These mechanisms were widely publicized.

In addition, the contact details of sub-district magistrates were communicated to all homeowners at district level. A three-tier Grievance Redressal Structure was introduced at local, district and state levels-, to ensure that grievances were resolved within three days of registration of a complaint.

Conclusion: *The Guidelines for Community Participation in Disaster Recovery* presented a series of case studies that illustrate how community participation has been effectively integrated into post-disaster recovery processes. The case studies provide practical guidance on the mechanisms that can be applied to strengthen the participation of affected communities. Experience throughout the world, over the course of the last two decades has proven that the active engagement of disaster affected communities significantly improves the success of recovery programmes.

Bottom-up and people-centered approaches are more culturally appropriate, respond better to the needs and priorities of affected communities. It enhances social inclusion. Disaster affected communities benefit from such processes and improve knowledge, skills and capacities. It empowers them to be part of decision-making and project management, ensure ownership, bring greater transparency and accountability, and ultimately make recovery more sustainable over the long term.

The annexes that follow present additional resources that provide more detailed guidance.

<sup>16</sup> Adapted from Disaster to Relief: Owner Driven Construction of Houses, Uttarakhand Disaster Recovery Project, 2017.

# Annex 1:

## Techniques for Participatory Consultations

For more than 20 years, development agencies and civil society organizations throughout the world have been using participatory tools to enable communities to become the primary architects of their own development. These tools use multiple participatory approaches referenced by different names, including among others:

- Participatory Development
- Participatory Rural Appraisal (PRA)
- Participatory Learning and Action (PLA)
- Participatory Action Research (PAR)
- Policy Analysis for Participatory Poverty Alleviation (PAPPA)

There are numerous resources that can be found online providing guidance on these and other participatory approaches. Below are two examples.

**80 Participatory Tools for Community Development:** A handbook with numerous participatory approaches including SWOT analysis, problem tree, the decision-making analysis matrix and other methods.  
<http://repiica.iica.int/docs/B10131/B10131.pdf>

**Website by the Institute of Development Studies:** Uses a number of resources on participatory methods.  
<https://www.participatorymethods.org/methods>

Below is a brief description of some of the participatory approaches that can be used.

### Stakeholder Analysis

Resources:

DFID's Tools for Development handbook which includes other participatory methods as well.  
<https://webarchive.nationalarchives.gov.uk/+http://www.dfid.gov.uk/Documents/publications/toolsfordevelopment.pdf>

The Community Tool Box  
<https://ctb.ku.edu/en/table-of-contents/participation/encouraging-involvement/identify-stakeholders/main>

Stakeholder analysis typically involves three main steps: identifying stakeholders, specifying stakeholder interests, mapping power relations and influence, and prioritizing engagement across different stakeholder groups. These steps are outlined below. Of course, the ultimate goal of stakeholder analysis is to identify those entities, groups and persons that may be most impacted by a given project or who may influence its success so that their engagement in the project can be sought, prioritized, and tailored to ensure maximum benefits, minimal harms, and project success.

#### Step 1 – Stakeholder identification

The first step of stakeholder analysis is to identify relevant stakeholder groups. Key questions to ask are:

- Who are the project's targeted beneficiaries?
- Who might be adversely impacted (directly or indirectly)?
- Will the project impact (positively or negatively) any marginalized groups?
- How will the project affect women and men stakeholders?
- Who are the project's main supporters and opponents?
- Who is responsible for carrying out planned activities?

Projects will typically involve a broad range of stakeholders. General categories of stakeholders include those listed below, noting, however sub-categories and specific stakeholder groups which will need to be identified:

- Affected communities and intended beneficiaries
- Project workers and their representatives
- Government ministries, implementing agencies, regulators and consultants
- Local authorities
- Community and traditional leaders
- Civil society groups
- Women's organizations
- Organized interest groups (business associations, trade unions, others)
- Project-related private sector companies
- Academia and research institutions
- Donors and financing institutions

Special care must be taken to ensure that the stakeholder identification exercise is an expansive one so that relevant groups are not inadvertently excluded. The initial list of identified stakeholders should be verified, modified, and enhanced through interviews with key informants, consultations/workshops with already identified stakeholders, and site visits.

Gender responsive analysis: Gender is often a key factor in determining access to project benefits and vulnerability to potential adverse impacts. It is vital that the stakeholder identification and analysis process be gender responsive in order to determine how and when women and men stakeholders should be involved and to address potential existing gender gaps in participation and decision-making.

## Step 2 – Identify stakeholder interests in the project

Once relevant stakeholder groups have been identified, the next step is to discern their interests in the recovery project and how their interests may be affected. Identification of stakeholder interests can help illuminate the motivations of different actors and how they may influence the project, including potential project opponents. Key questions to be answered include, at a minimum:

- How does each group of stakeholders perceive the disaster and propose solutions?
- What are stakeholders' expectations of the recovery project?
- What does each group of stakeholders stand to gain/lose as a result of the recovery project?
- Would the rights of some stakeholders be adversely affected?
- Do some stakeholders face greater risks than others?
- What stakeholder interests conflict with project goals?
- What resources might the stakeholder be able and willing to mobilize?

Some stakeholder interests are less obvious than others and may be difficult to define, especially if they are "hidden," multiple, or in contradiction with the stated aims or objectives of their own stakeholder group, organization or representative. Interests may be quite diverse and extend far beyond potential material project benefits, such as maintenance of cultural practices and livelihoods. The above questions can help guide an inquiry into the interests of each key stakeholder or group.

It is critical to understand potential perceptual differences among women and men regarding the project and its potential benefits and impacts. To increase consensus and ownership, these questions are best answered by stakeholders themselves, typically in the context of a stakeholder workshop (and/or through focus groups and interviews).

## Step 3 - Stakeholder Prioritization

A group of potential stakeholders and their interests can naturally, be quite diverse. It is

neither practical nor warranted that the same level of engagement be sustained for each stakeholder group throughout the recovery project. Prioritization between stakeholders will likely be necessary. Prioritization facilitates identifying appropriate forms of engagement for different stakeholder groups. Key questions to address include:

- What is the degree of influence of each stakeholder group to affect project outcomes?
- What is the importance of each stakeholder group to the success of the project?
- What type of stakeholder engagement is mandated by national law, international obligations?
- Who are the project's targeted primary beneficiaries?
- Who may be adversely impacted by the project?
- Who is it critical to engage with first, and why?
- Are special measures needed to protect the interests of marginalized stakeholder groups?
- Does opposition from any of the stakeholders or stakeholder groups put the project at risk? If so, are there ways to engage with them to ensure that their concerns are being addressed?

A common tool to assist in prioritization is creation of a matrix that organizes stakeholders according to their "importance" and "influence". Importance in this respect relates to who the recovery project is most likely to affect (adversely or positively), which may be different from the level of influence they may have to affect project outcomes.

## Community Mapping

Resources:

Community Mapping: A Tool for Community Organizing, WaterAid  
<https://www.alnap.org/system/files/content/resource/files/main/community-mapping-programme-partner-guidelines.pdf>

Community mapping involves making a physical map of a given community jointly with its members that identifies the resources available in it. This can be used to start a discussion about existing resources and gaps.

Participatory mapping allows a group to share information about a geographic location. It allows groups to create shared knowledge. Because it is a visual and verbal process, it encourages all members of the community – men and women; the rich and the poor; the young and the old; the educated and the illiterate to be part of the process.

When preparing a Community Map, participants draw a map of their community, its infrastructure, schools, key agricultural institutions, fields, water supplies, etc. During this process, the discussion invariably turns to their accomplishments, but may also point out things that aren't working well for them. The facilitators and scribes listen and quietly record these accomplishments and needs. When groups work together to create a map, they create more than just a map ;the mapping process creates an open forum for discussion and sharing information.

Community Maps may be used for multiple purposes including:

- Identify infrastructure and basic services.
- Identify existing resources.
- Show boundaries, distances, and neighboring communities.
- Identify subgroup differences in perceptions, needs, and access to resources and power centers.
- Show places of importance, places where they like to be, and places they dislike.
- Identify places that are safe and those that are unsafe.
- Show where people gather daily, weekly, and rarely.
- Identify what they would like to have (land, school, clinic, store, transport, employment opportunities, etc.).

## Community Profiles

Information from assessments and mapping can be assembled into a community profile listing general categories of relevant information, such as the community's:

- Main sources of income
- Major problems
- Resources
- Relationship with local government

- Existing socio-economic infrastructure (e.g. schools)
- Any ongoing projects
- Active and inactive community organizations

Community profiles should be created with community members and shared with the wider community before being used.

## **Venn Diagrams**

Venn diagrams can help facilitators and community members identify the institutions that are the best organized and most likely to successfully implement large projects.

Simple Venn Diagrams can provide a lot of information about community institutions. To create one, break residents into teams and ask them to visually draw all the organizations that exist in their village. Larger circles indicate the strongest and most influential community institutions. Smaller circles show less influential or smaller institutions. Then show linkages between organizations that work well together by drawing them closer together.

A more complex Venn Diagram includes the outside groups and individuals that impact the community. The largest circle indicates the boundary of the community. Organizations, groups, and people from the community are placed within this circle. Managed carefully, a good facilitator can ask the group to indicate the quality of the relationships and links that each entity has with the community (very good, neutral, not so good) on the diagram. This process can bring up issues, so be prepared to negotiate conflict. Participants can also create a "wish list" by adding to the map the organizations they wish existed.

## **Relationship Mapping**

In addition to mapping actors, the same approach is useful in working with communities in the assessment and planning phase. Relationship Mapping helps engage communities in analyzing the groups and influential individuals within and outside the community and identify constructive relationships and possible tensions among actors. It is also a useful tool for starting to discuss interests shared by several groups or how some

segments of the community are disconnected from the rest of the community.

## **Focus Group Discussions**

Resources:

Practical Guide on Focus Group Discussions  
[https://www.crs.org/sites/default/files/tools-research/fgds\\_april\\_24\\_final\\_lo\\_res\\_.pdf](https://www.crs.org/sites/default/files/tools-research/fgds_april_24_final_lo_res_.pdf)

A focus group discussion (FGD) is a good way to gather together people from similar backgrounds or experiences to discuss a specific topic of interest. The group of participants is guided by a moderator (or group facilitator) who introduces topics for discussion and helps the group to participate in a lively and natural discussion amongst themselves.

The strength of FGD relies on allowing the participants to agree or disagree with each other so that it provides an insight into how a group thinks about an issue, about the range of opinion and ideas, and the inconsistencies and variation that exists in a particular community in terms of beliefs and their experiences and practices.

Focus Group Discussions can be conducted with various groups from the community, such as a group of young people or women, a farmers' cooperative or trade union, etc. in order to collect information from people whose perspective might not be expressed in gatherings of the whole community.

FGD sessions need to be prepared carefully through identifying the main objective(s) of the meeting, developing key questions, developing an agenda, and planning how to record the session. The next step is to identify and invite suitable discussion participants; the ideal number for FGD session is between six and eight.

The crucial element of FGD is the facilitation. Some important points to bear in mind in facilitating FGDs are ensuring even participation, careful wording of the key questions, maintaining a neutral attitude and appearance, and summarizing the session to reflect the opinions evenly and fairly. A detailed report should be prepared after the session is finished.

# Annex 2:

## Additional Case Studies

### **CASE STUDY 11: The Philippines's Recovery from Typhoon Yolanda<sup>17</sup>**

The Philippines has a long history of participatory development, community empowerment and community-driven initiatives, which was given official recognition under the 1991 Local Government Code (LGC). A key objective of the LGC is to increase the voice and participation of citizens in development planning, budgeting and service delivery. Community-driven development was already a core pillar of the Government's poverty reduction strategy previously with a successful track record.

In response to the devastation left by Typhoon Yolanda in 2013, the Government of the Philippines mobilized and scaled-up the KALAHI-CIDDS National Community-Driven Development Project (KC-NCDDP) which had 11 years of experience and already had a presence in the whole archipelago, reaching 63 provinces and 900 municipalities.

The scaling up included the allocation of an increased budget to priority areas heavily affected by the typhoon. In addition to supporting the recovery of affected communities the initiative also aimed to prevent them from falling further into poverty by restoring their access to basic social services.

Under the community-driven strategy of the KC-NCDDP, poor communities organized themselves, analyzed their own situation, prepared project proposals to address their common problems, competed for block grants to finance their projects, and implemented them. Projects ranged from local infrastructure such as water systems, school buildings, day care centers and health stations, to roads and bridges. With their well-established experience and capacities, communities were well placed to drive their own recovery process.

The government's response also included partnerships with the private sector and NGOs to fill critical gaps on the ground. Local government units were extremely overwhelmed by demands to restore services, and the participation of private sector and NGOs helped to build their implementation capacity. Many NGOs received direct funding from the government to scale up their projects and large private companies were encouraged to adopt communities as recipients of programs/projects that they would fund. This enabled authorities to focus on communities that did not have support. NGOs were able to implement recovery programs relatively faster because of less bureaucratic restrictions, more flexible procurement policies, and adaptive delivery mechanisms.

<sup>17</sup> Adapted from *Recovery Framework Case Study: Typhoon Yolanda Ongoing Recovery PHILIPPINES*, WB GFDRR, EU and UNDP, 2015

## **CASE STUDY 12: The Philippines's Recovery from Typhoon Yolanda<sup>18</sup>**

The Philippines has a long history of participatory development, community empowerment and community-driven initiatives, which was given official recognition under the 1991 Local Government Code (LGC). A key objective of the LGC is to increase the voice and participation of citizens in development planning, budgeting and service delivery. Community-driven development was already a core pillar of the Government's poverty reduction strategy with a successful track record.

In response to the devastation left by Typhoon Yolanda in 2013, the Government of the Philippines mobilized and scaled-up the KALAHI-CIDDS National Community-Driven Development Project (KC-NCDDP) which had 11 years of experience and already had a presence in the whole archipelago, reaching 63 provinces and 900 municipalities.

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**CASE STUDY 13:**  
**Empowering CBOs Through Capacity Building**  
**Sri Lanka's Recovery from the Asian Tsunami<sup>19</sup>**

In Sri Lanka, an assessment undertaken after the 2004 tsunami found that smaller Community Based Organizations (CBO) frequently failed to obtain donor funding due to limited organizational capacity. Many CBOs did not know the process for submitting proposals or the compliance requirements for donor reporting. Consequently, they fell short of requirements and were left out of the 'donor net.'

The assessment also indicated that CBOs had insufficient human resource capacity given the increased workload brought by the tsunami and that local talent had been recruited by new International Non-Government Organizations (INGO) and National Non-Governmental Organizations (NGOs) that paid higher salaries and offered greater job security. The assessment further confirmed that the power differential between CBOs and stakeholders such as government representatives, donors, INGOs and NGOs led to unequal "partnerships" where the CBOs had little or no bargaining power.

Strong Places, UNDP's flagship project was developed to strengthen the capacity of CBOs to support the recovery of their communities. To achieve this aim, the project helped to build-up their institutional and human resource capabilities through training on common capacity shortfalls such as project cycle management, organizational management, accounting, monitoring and reporting, human resource development and proposal writing. The project also established a small grant facility that provided financial resources to CBOs to support other capacity building activities not generally covered by tsunami funds.

This initiative benefited more than 700 CBOs in eight tsunami-affected districts, empowering them to take leadership, have greater outreach, and improve their governance practices. The process also served to incorporate CBOs into the institutionalized recovery processes traditionally dominated by national and international NGOs.

<sup>19</sup> Adapted from *Civil Society and UNDP in Sri Lanka: Partnerships in Crisis Situations*

**CASE STUDY 14:**  
**Building on Pre-Existing Community-Driven Approaches**  
**Indonesia Recovery from Tsunami<sup>20</sup>**

Indonesia's experience with a series of devastating natural disasters between 2004 and 2010 demonstrated many benefits of using existing large-scale community driven development programs to deliver reconstruction at the village level.

After the 2004 tsunami struck the provinces of Aceh and North Sumatra, the Government of Indonesia scaled up and adapted its two ongoing national community-driven development programs, the Kecamatan Development Program (KDP) and the Urban Poverty Program (UPP), to meet post-disaster recovery needs. The community-based approach of these programs was also extended to large-scale housing reconstruction.

The KDP and UPP had established networks in Aceh before the tsunami. The KDP program, for example, was already operating in 45 percent of all the sub districts prior to the tsunami and at government's request it was scaled up to support the reconstruction of Aceh and North Sumatra.

In 2005, the Multi Donor Fund for Aceh and Nias (MDF) approved a package of projects for community recovery that included a dramatic scale up of KDP and UPP and the development of a large-scale housing reconstruction program based on the same community driven model. This decision recognized the potential of the community-driven approach to channel funds directly to communities, leveraging pre-existing networks of facilitators, program architecture and the hard-earned trust of communities in these projects. With the expansion of these programs the community-driven development model became a key vehicle for the reconstruction of Aceh and Nias at local level.

These community recovery projects demonstrated that disaster-affected communities are able to manage reconstruction resources and projects to high-levels of quality and satisfaction while benefitting from increased confidence and capacities brought by the consultative and participatory approaches. Another key lesson was that building on pre-existing projects and institutional mechanisms it was possible to adapt easily and begin operations quickly. They provided a readily available structure to channel funds and expertise, provided a framework for communities to manage their own recovery and served as a platform to negotiate with external reconstruction actors.

Over the next few years the success of the community driven model used for reconstruction in Aceh was adapted and implemented for other recovery processes following subsequent disasters that hit Indonesia between 2004 and 2010.

<sup>20</sup> Adapted from *MDF/JRF Working Paper Series: Lessons Learned from Post-Disaster Reconstruction in Indonesia - Adapting Community Driven Approaches for Post-Disaster Recovery: Experiences from Indonesia*, MDF - JRF Secretariat, World Bank, 2012

### **CASE STUDY 15: Mainstreaming Gender Equality and Social Inclusion in Recovery Nepal's Earthquake Recovery<sup>21</sup>**

Following the two devastating earthquakes that hit Nepal in 2015, displacing some three million people and destroying or damaging around 800,000 houses, the Government developed its Post Disaster Recovery Framework (PDRF) in partnership with civil society, the private sector, international bilateral and multilateral partners.

Given the impact of the earthquake on women and specific vulnerable groups the PDRF made explicit policy decisions to address their needs. This was particularly vital considering the high numbers of disadvantaged groups. Of the total damaged houses, 41 percent belonged to Dalits and indigenous communities, 23 percent to senior citizens, and about 26 percent to female-headed households. People living with disabilities were also particularly vulnerable. Even prior to the earthquake it was estimated that about two percent of the country's population had some form of disability.

One of the areas which given priority attention was the promotion, adoption and expansion of social protection where there was no coverage and levels of benefits were low through social assistance, social insurance and work-related measures. Initiatives included, in the short term, the provision of cash injections through the existing cash transfer programmes to assist vulnerable groups in affected districts and improve social protection service delivery.

One of the key elements of the reconstruction and rehabilitation policy was the priority given to vulnerable social groups, including women, children, people with disabilities and senior citizens. The PDRF called for a coordinated and coherent approach for effectively mainstreaming Gender Equity and Social Inclusion throughout recovery and reconstruction activities. The budget included the allocation of US\$46 million to gender equity and social inclusion.

The approach was envisioned to include the meaningful participation of women, vulnerable and marginalized groups; towards ending all forms of violence against women and children; offering targeted, protective, service-oriented programming for women, vulnerable and marginalized groups. It also considered initiatives to close the gender-based and social group development gaps, as well as those driven by geographic location or isolation.

The recovery monitoring system was likewise designed to incorporate indicators on gender and social inclusion such as:

- 1) The percentage of women, vulnerable and marginalized groups who:
  - Engage in designing, planning, implementation and monitoring of the reconstruction and recovery programme
  - Receive information about recovery and reconstruction programmes
  - Have equitable access to recovery and reconstruction services
  - Consider that their recovery needs are being addressed
  - Use the grievance redressal mechanisms, and of those whose grievances have been addressed
- 2) The percentage of district, village development committees and municipalities where:
  - Disaggregated data is collected, analyzed and utilized to inform recovery planning and monitoring
  - Gender and social inclusion are standing agenda items at coordination meetings.

<sup>21</sup> Nepal Post Disaster Recovery Framework 2016-2020, Government of Nepal

**CASE STUDY 16:  
Using Existing Community Networks for the Needs Assessment  
Aceh's Tsunami Recovery**

The assessment process in Aceh following the 2004 tsunami tapped on the vast outreach of the Kecamatan Development Project (KDP), a well-established and trusted large-scale community driven development program working throughout the region. Its "infrastructure" included senior team leaders, district-level consultants and nearly 200 sub-district level community facilitators working with thousands of voluntary village-level facilitators. Before the tsunami, KDP operated in 87 of Aceh's sub-districts including about half of those severely hit by the tsunami.

The network of facilitators proved to be a useful asset in collecting local level data and information to support the assessment and recovery process that was supported by the Multi Donor Fund for Aceh and Nias. When the tsunami struck, the existing KDP facilitator networks were leveraged to generate village level data that fed into the damage and needs assessment. This was then followed up with a village level survey conducted by the KDP program across more than 5,700 villages in 2006. This survey included information on infrastructure needs and gaps and social indicators related to displaced persons and new migrants.

This experience demonstrates the value of building on existing local capacities and networks as a strategic asset that can be leveraged to greatly enhance the effectiveness of assessments at the local level to ensure community participation.

**CASE STUDY 17:  
Community Networks rehabilitate Irrigation channel in FATA, Pakistan**

The people of village Murghiband found the two-kilometre-long irrigation system completely damaged and filled with silt upon their return to South Waziristan Agency. The livelihoods of habitants were gravely affected having agriculture, livestock and labour as their main source of income.

The community network in the affected villages approached the UNDP and Federally Administered Tribal Areas (FATA) Secretariat through its implementing partner - Poverty Alliance and Welfare Trust (PAWT) to support the rehabilitation of irrigation channel through community engagement.

The community network selected 35 male participants from the most vulnerable families to join the cash for work activity for desilting and rehabilitating the irrigation channel. The participants were identified by the already established Community Networks, thus, ensuring transparency and community participation.

The irrigation channel, after being restored, now plays a vital role in revitalizing livelihoods of 130 households of Murghiband. The benefits are not limited to one village, the residents of village Kamachi and Tangiwam in the South Waziristan agency of Pakistan are also benefitting from this irrigation channel.

"The irrigation channel of our village is now working much better than before. It properly irrigates the whole land, even the area which had become completely barren before." Said Noor Ali, member of the community network who took the initiative to start the rehabilitation of the irrigation channel.

# Annex 3:

## Useful Resources

In addition to the resources noted above in Annex 1, the following is a sample list of other resources for further guidance on participatory approaches to community mobilization, planning, implementation and monitoring.

World Bank. Community-Driven Development Toolkit: Governance and Accountability Dimensions  
<http://www.worldbank.org/en/topic/communitydrivendevelopment/publication/community-driven-development-toolkit-governance-and-accountability-dimensions>

World Bank, UNDP and European Union. 2015. Guide to Developing Disaster Recovery Frameworks  
<https://www.gfdrr.org/sites/default/files/publication/DRF-Guide.pdf>

Eileen T. Higgins and Anna Tones. 2010. Participatory Planning and Action.  
[https://uupcc.org/sites/uupcc.org/files/partner/ccb\\_resources/print/handbook.pdf](https://uupcc.org/sites/uupcc.org/files/partner/ccb_resources/print/handbook.pdf)

International Institute for Environment and Development (IIED). 2004. PLA Notes participatory learning and action -Decentralization and community-based planning.  
<http://pubs.iied.org/pdfs/9312IIED.pdf>

FAO. 2006. Participatory Rural Appraisal Manual.  
[https://himachal.nic.in/WriteReadData/l892s/15\\_l892s/1499233403.pdf](https://himachal.nic.in/WriteReadData/l892s/15_l892s/1499233403.pdf)

Somesh Kumar. Methods for Community Participation: A Complete Guide for Practitioners. Robert Chambers (Introduction).  
<https://www.alnap.org/help-library/methods-for-community-participation-a-complete-guide-for-practitioners>

ALNAP, 2003, Participation by Crisis-Affected Populations in Humanitarian Action: A Handbook for Practitioners (Overseas Development Institute).  
[https://reliefweb.int/sites/reliefweb.int/files/resources/0094715B400BCA63C1256DEA004796FE-alnap\\_civilians\\_2003.pdf](https://reliefweb.int/sites/reliefweb.int/files/resources/0094715B400BCA63C1256DEA004796FE-alnap_civilians_2003.pdf)

ALNAP 2014. Engagement of crisis-affected people in humanitarian action.  
<https://www.alnap.org/system/files/content/resource/files/main/background-paper-29th-meeting.pdf>

WB and GFDRR. 2010. Chapter 12: “Community Organizing And Participation”, In Safer Homes, Stronger Communities: A Handbook For Reconstructing After Natural Disasters.  
[http://ec.europa.eu/echo/files/evaluation/watsan2005/annex\\_files/WEDC/es/ES12CD.pdf](http://ec.europa.eu/echo/files/evaluation/watsan2005/annex_files/WEDC/es/ES12CD.pdf)

ALNAP, 2003. Participation Handbook for humanitarian field workers Involving crisis-affected people in a humanitarian response  
<https://www.alnap.org/help-library/participation-handbook-for-humanitarian-field-workers>

ALNAP. 2014. Closing the Loop: Effective feedback in humanitarian contexts -Practitioner Guidance  
<https://www.alnap.org/system/files/content/resource/files/main/closing-the-loop-alnap-cda-guidance.pdf>

ALNAP AND CDA. 2014. "Investing in Listening" International Organization for Migration's experience with humanitarian feedback mechanisms in Sindh Province, Pakistan.  
[https://www.iom.int/sites/default/files/our\\_work/Shelter/documents/Investing-in-Listening-case-study-pakistan-jpg\\_0.pdf](https://www.iom.int/sites/default/files/our_work/Shelter/documents/Investing-in-Listening-case-study-pakistan-jpg_0.pdf)

Ichsan Ichsan . 2011. Community Participation in Post-tsunami Redevelopment in ACEH: The Process and Community Members' Perceptions and Preferences  
<https://scholarworks.uark.edu/etd/190/>

Krithika Srinivasan and Vijay K. Nagaraj. The State and Civil Society in Disaster Response Post-Tsunami Experiences in Tamil Nadu, *Journal of Social Work in Disability and Rehabilitation*, 2006, Vol 5, Nos.3/4, pp. 57-80.  
<https://pdfs.semanticscholar.org/2f6f/857a541ccb3c75785d4dd5bdc6aafef77949.pdf>

World Bank. 1996. Participation Sourcebook.  
<http://documents.worldbank.org/curated/en/289471468741587739/pdf/multi-page.pdf>

UNDP (forthcoming). Guidelines for Assessing the Human Impact of Disasters



