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   a. Session 1 – Core Group Building
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    c. Session 3 – Fund Generation
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Foreword

NRCS has marked more than thirty years of its humanitarian actions in the country. NRCS has come in current stage through the years of experience, transforming and expanding its organizational structure and developing and implementing series of plans for polices for different core areas.

NRCS has recognized disaster management as one the key core area and has built its structure, capacities at different levels of institution to carry out this key area forward in the days to come. NRCS has developed disaster management policy to guide its policy action which is carried forward through the development of disaster management strategy. We have placed system and structures to review its programme planning and implementation, through which we are updating our training manuals and guidelines. The manuals and guidelines reflect our commitments to work with communities together with our movement and non-movement partners. We have also realized that community based approaches are dynamic and we have to expand the number of volunteers and staffs working with community based approaches. As highlighted by our strategy for disaster management, CBDRR is one of the key processes to work with communities to implement CBDRR project and build the resiliency of communities for disaster risk. With the facts, we have just developed CBDRR training manual for our field practitioners. The scope of the document is not limited to the internal NRCS system; we also do hope that it will be useful for others who want to practice DRR and working with communities.

We sincerely thank to Danish Red Cross through Mr. Jorgen Kristensen for their technical and financial support in the training manual development process. We are also equally thankful to all PNS without their support and mutual agreement to work with us we would not have been able to move forward. Our special thanks are due to all the community members to whom we worked with, our volunteers and staffs working with the communities who are the big source of inspiration for us.

We are thankful to all contributors and editors whose substantial contribution assisted to shape CBDRR training manual. Our special thanks goes to Mr. Pitambar Aryal, Director, Disaster Management Department, Mr. Rajanish Raj Ojha, senior DRR coordinator, Disaster Management Department and Mr. Rene J. Jinon, Disaster Management Delegate of Danish Red Cross in Nepal for their contribution to initiate process and providing technical support for development of the CBDRR training manual.

We do hope that this document will be proven milestone of our joint efforts and action. Together with your efforts we can make change.

Mr. Sanjeev Thapa
Chairman
Nepal Red Cross Society

Mr. Dev Ratna Dhakwa
Secretary General
Nepal Red Cross Society
Message

NRCS has just developed its disaster management strategic framework that will guide NRCS disaster management priority area for 2010-2015. The strategy is a milestone to prove its commitments to translate into action through the four strategic directions of which disaster risk reduction comes as key priority area.

NRCS started implementing community based disaster preparedness in 1997 with the aim to build the capacity for the response preparedness in the community. The CBDP paradigm is now shifted to CBDRR - a wider perspective of disaster risk reduction actions by involving communities' as front player to transform vulnerabilities into capacities. NRCS has learnt numbers of lessons that led NRCS to change its approaches to work with community. NRCS since 1997 has worked in more than 700 communities to build their capacity but the challenges were there to sustain the amount of work done in the communities. Realizing the gaps and capturing lesson learned it started to work in the communities through the CBDRR process, through which it aims to organize the communities to assess the risk, developing plans for truing vulnerabilities into capacities and developing and strengthening organizational structure.

NRCS disaster management department has developed and tested many training curricula since it started to work with communities - some of them are working, some of them are being revised with changed perspectives to make it compatible with nuance of changed concepts and approaches.

Disaster management department has added on one more but critical training manual in its system. The CBDRR training manual will work as key document to train its volunteers and staffs for the CBDRR process - CBDRR process will be guiding direction to implement CBDRR projects. The CBDRR manual in the current shape is result of its lessons learned, efforts of volunteers in the chapter and communities, guidance of NRCS management and hard work of staffs that worked or has been working in disaster management department.

As director for disaster management department, I am proud to be part of the team and would like to present this manual to all internal and external DRR field practitioners. This document, as we consider is living document which will be reviewed, edited as per the feedback and comments received by its reader and practitioners.

Mr. Pitambar Aryal  
Director, Disaster Management Department  
Nepal Red Cross Society
Danish Red Cross (DRC) has been a partner to Nepal Red Cross Society (NRCS) for the past 22 years. Since the partnership was first started in 1988, DRC continues to support NRCS in community health care, community development programme, organizational development, disaster response and in disaster risk reduction.

Another milestone has been added to in honor of this long standing partnership with the development of the NRCS Community Based Disaster Risk Reduction Training Manual. This comes in an opportune time immediately after the completion of the NRCS Disaster Management Strategic Framework which clearly indicated the graduation of NRCS community based disaster preparedness approach into a more holistic disaster risk reduction concept in disaster management.

Danish Red Cross is honored to be part of the experience in the implementation of community based disaster risk reduction approach of NRCS. The path leading towards the development of the CBDRR Training Manual was not always easy; it had taken almost two and a half years to gradually shift the practice from the traditional CBDP into the DRR approach, implemented in ten districts covering seventy communities. It was also during these years that NRCS has leaped forward in the field of DRR practice, setting an example for other national societies in the region to emulate and leading the way forward.

In behalf of Danish Red Cross in Nepal, I congratulate NRCS for a work well done. I look forward to the coherent use of this CBDRR training manual among the various DRR programme in NRCS.

Jorgen Kristensen
Country Representative
Danish Red Cross
Kathmandu, Nepal
Message

The development of the Nepal Red Cross Society (NRCS) Community Based Disaster Risk Reduction (CBDRR) Training Manual is a concrete manifestation of the capacity of NRCS to absorb change and translate these changes into action. NRCS has yet again led the shift in paradigm in South Asia towards the practice of the conceptual framework of disaster risk reduction.

The hard work invested into the development of the NRCS CBDRR Training Manual highlights the ownership of NRCS, having translated into a functional document all the field experience in implementing the community based approach in disaster risk reduction. This also exemplifies the diversity of learning that can be derived from Nepal and packaged to be shared among the other national societies in the region.

Likewise, I also thank the DRC Country Office in Nepal for the technical guidance in the implementation of CBDRR and for nurturing an excellent partnership with NRCS.

In behalf of Danish Red Cross, I congratulate Nepal Red Cross Society for a job well done. I also hope to see that this initiative and the field experience Nepal Red Cross Society will be shared widely with other national societies in the region.

Mette Ulrich Petersen
Head of Region for South Asia
Danish Red Cross
New Delhi, India
Contributors

The CBDRR Training Manual is a product of the collective field experience of the Nepal Red Cross Society volunteers and staffs involved in the actual implementation of community based disaster risk reduction; from whose efforts paved the way in NRCS for the transition from Community Based Disaster Preparedness to Community Based Disaster Risk Reduction.

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Solukhumbu District Chapter
Guidance Note

The CBDRR Training Manual is developed for use by Nepal Red Cross Society in conducting CBDRR training courses among its staff and volunteers. This training manual is designed to be used by NRCS staff that have both implemented DRR programmes in the field and have undergone Training of Trainers courses. As the contents represent actual field experiences, this manual is not intended to be used by those who have no actual field experience of working in the communities or knowledge of disaster management concepts as the approach used in developing this training manual is purely practical and non-academic. The target participants are the staff and volunteers of NRCS who are involved or will be implementing CBDRR programmes.

There are 40 sessions grouped in 10 modules which follow a logical sequence of concepts and practices. This training manual is considered as a living document and will be updated regularly as NRCS becomes well-versed in CBDRR practice. As such, the training manual will not be packaged in a glossy book but rather will mostly be in electronic form with hard copies printed out and filed in a binder. This makes it practical for updating and is likewise cost-efficient.

Since it is in the best interest of NRCS to include livelihood, food security, social inclusion and early warning as programme components of DRR, it is recommended that NRCS should work closely with and learn from other partner organizations who possess the expertise in these specific fields. Until then, session's specific on livelihood, food security, social inclusion and early warning has not been included in this current version of the CBDRR training manual.

The completion of the course does not guarantee expertise of the participants but rather the actual field practice in implementing CBDRR programmes.
# Glossary

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Full Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>CBDM</td>
<td>Community Based Disaster Management</td>
</tr>
<tr>
<td>CBDRR</td>
<td>Community Based Disaster Risk Reduction</td>
</tr>
<tr>
<td>CBDP</td>
<td>Community Based Disaster Preparedness</td>
</tr>
<tr>
<td>CBMHRR</td>
<td>Community Based Multi Hazard Risk Reduction</td>
</tr>
<tr>
<td>CDRM</td>
<td>Community Disaster Risk Management</td>
</tr>
<tr>
<td>CDRMO</td>
<td>Community Disaster Risk Management Organization</td>
</tr>
<tr>
<td>CSA</td>
<td>Community Situational Analysis</td>
</tr>
<tr>
<td>DANIDA</td>
<td>Danish International Development Agency</td>
</tr>
<tr>
<td>DC</td>
<td>District Chapter</td>
</tr>
<tr>
<td>DIPECHO</td>
<td>Disaster Preparedness ECHO</td>
</tr>
<tr>
<td>DM</td>
<td>Disaster Management</td>
</tr>
<tr>
<td>DMRD</td>
<td>Disaster Management in Rural Development</td>
</tr>
<tr>
<td>DRC</td>
<td>Danish Red Cross</td>
</tr>
<tr>
<td>DRM</td>
<td>Disaster Risk Management</td>
</tr>
<tr>
<td>DRR</td>
<td>Disaster Risk Reduction</td>
</tr>
<tr>
<td>EC</td>
<td>European Commission</td>
</tr>
<tr>
<td>ECHO</td>
<td>European Commission Humanitarian Office</td>
</tr>
<tr>
<td>EU</td>
<td>European Union</td>
</tr>
<tr>
<td>IFRC</td>
<td>International Federation of Red Cross and Red Crescent Societies</td>
</tr>
<tr>
<td>NHQ</td>
<td>National Headquarters</td>
</tr>
<tr>
<td>NRCS</td>
<td>Nepal Red Cross Society</td>
</tr>
<tr>
<td>NS</td>
<td>National Society</td>
</tr>
<tr>
<td>PHAST</td>
<td>Participatory Hygiene and Sanitation Transformation</td>
</tr>
<tr>
<td>PNS</td>
<td>Partner National Society</td>
</tr>
<tr>
<td>PRA</td>
<td>Participatory Risk Assessment</td>
</tr>
<tr>
<td>SC</td>
<td>Sub-Chapter</td>
</tr>
<tr>
<td>VCA</td>
<td>Vulnerability and Capacity Assessment</td>
</tr>
</tbody>
</table>
Module 0

Introductory Module

Content Areas:

1. Opening Ceremony
2. Introduction of Participants and Facilitators
3. Training Orientation, Expectations, Ground Rules and Task Team Formation

Introduction to the Module:

The module covers all the ceremonial and introductory part of the course, providing guidance for the facilitators on opening ceremonies, introduction of participants and facilitators, training orientation, expectation checking, training norms and the formation of the task teams.
Module 0: INTRODUCTORY MODULE

Session 1: Opening Ceremony

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the pre-course activity:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>▪ The CBDRR training programme is officially opened by the Chief Guest through an opening ceremony.</td>
</tr>
</tbody>
</table>

| Key Learning Points | ▪ Speakers must be briefed before the opening ceremony regarding the theme of the training programme and are expected to deliver relevant and concise speeches to boost the interest of the participants. |

<table>
<thead>
<tr>
<th>Suggested Methodologies</th>
<th>▪ Delivery of speeches</th>
</tr>
</thead>
<tbody>
<tr>
<td>Materials</td>
<td>▪ None required</td>
</tr>
<tr>
<td>Approximate Time</td>
<td>30 minutes</td>
</tr>
</tbody>
</table>

READ ME NOTES:

The opening ceremony is the pre-course activity to officially commence the training based on the standard methodology of the NRCS chapters and National HQ's. This can be scheduled in the afternoon, evening of the day prior to Day 1 or in the morning of the Day 1. The opening ceremony should not be of more than 30 minutes however more time can be added based on needs.

Introduction of the participants and facilitator can be integrated with the opening ceremony. However to make the introduction process more comprehensive and distinctive, it is advised that the introduction part may be done separately. Follow the standard NRCS protocol for Opening Ceremonies.

The protocol dictates that the most senior person available shall be the Chief Guest who shall be responsible to officially open the training programme. Other invited guests will be asked to deliver short messages that are of direct relevance to the theme of the training. The sequence of speeches shall start with the invited guests and will end with the official opening of the training to be delivered in a speech by the Chief Guest.

After the opening ceremony, a group photo may be taken and tea served while the room is rearranged to commence the training course.
### Module 0: INTRODUCTORY MODULE

**Session 2: Introduction of Participants and Facilitators**

| Learning Objectives | At the end of the pre-course activity:  
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>- The participants and facilitators have introduced themselves briefly to the whole group, highlighting their professional background and DRR experiences.</td>
</tr>
</tbody>
</table>

| Key Learning Points |  
|---------------------|----------------------------------------------------------------------------------|
|                     | - Introduction will provide a snapshot of each participants’ and facilitators’ background;  
|                     | - Different methods of introduction can be good “ice breakers” and creates a casual atmosphere among the group. |

| Suggested Methodologies | Various introduction techniques  
|-------------------------|-------------------------------|
| Materials               | None required  
| Approximate Time        | 30 minutes |

**READ ME NOTES:**

The introduction is the pre-course activity to know each other and build the comfort level of the participants. It helps the participants and facilitators to understand who is who, who is from where and what he/she has to share and learn.

This activity is done immediately after the opening ceremony and different ways can be used for the introduction. Some of them are mentioned as follows:

a) **Assigned Format Introduction** - The facilitator can ask participants to introduce him/her based on the given format for introduction, i.e., name, location, position, experiences, etc.

b) **Pair Wise Introduction** - The facilitator asks the participants to pair up with another participant of their choice, both share information related to each other and ask them to introduce on behalf of each other. The facilitator can also use different methods to allow the participants to select their pairs such as pairing a piece of picture or a puzzle.

c) **Propagation Introduction** - The facilitator asks all the participants to make circle. The facilitator also moves to the circle and introduces himself based on a set of introduction. The succeeding participant to the right side of the facilitator introduces him/herself and recalls the introduction information of the facilitator. The chain begins with succession and ends with the last participant.

d) **Symbolisms Introduction** – The facilitator ask everyone to pick a symbol which best represents themselves as individuals. The person introduces him/herself by picking a symbol (an animal, an object, an event, etc.) and describes this symbol as to how this relates to his / her individuality and traits.
Module 0: INTRODUCTORY MODULE

Session 3: Training Orientation, Expectation, Ground Rules and Task Team formation

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the pre-course activity:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>▪ Training orientation is provided to the participants;</td>
</tr>
<tr>
<td></td>
<td>▪ Expectations are collected and analyzed together with the participants;</td>
</tr>
<tr>
<td></td>
<td>▪ Ground rules and task teams are formed;</td>
</tr>
</tbody>
</table>

| Key Learning Points | ▪ Capturing the expectations of participants will provide guidance to the facilitator during the conduct of the training; |
|                    | ▪ Being familiar with apprehensions, level of Knowledge, Skills, Attitudes of the participants will help the facilitators focus on specific content areas and adopt appropriate methodologies; |
|                    | ▪ Ground rules and formation of task teams among the participants helps prevent misunderstanding during the training course. |

| Suggested Methodologies | ▪ Interactive Lecture |
|                        | ▪ Group works |
|                        | ▪ Group Discussions |

| Materials | ▪ Sample PowerPoint for the Session is attached |

| Approximate Time | 30 minutes |

READ ME NOTES:

This module also explains remaining steps of pre-course activity. This section composed of four key elements:

1. Course Orientation;
2. Expectation collection;
3. Formation of ground rules; and
4. Task Team formation

**Course orientation:** The facilitator will provide an overview of the training course through the course orientation. The following are the basics elements of the course orientation:

▪ Willingness to learn
▪ Participants as resources
▪ Participatory methods
▪ Skills practice
▪ Adaptable, flexible, and feedback dependent

**Expectation collection:** Collecting expectation is a way to understand the participants’ feelings, their apprehensions, motivation and levels of knowledge, skills and attitudes regarding the training curriculum and the training schedule. This process helps the team of facilitators to review the course
agenda, adopting the proper facilitation methodology and using proper IEC materials. The facilitator can use various methods to collect the expectation from the participants and can make an analysis of the expectations with the involvement of the participants. Some of the methods for collecting expectations are listed below:

1. Individual expectation collection- distribute meta cards and ask the participants to write down their individual expectations and asked them to these on the walls or on a prepared flip char. Analyze the information together with the participants.
2. Group expectation collection- asks the participants to move to one side of room (if space is available), ask them to form groups (informal or formal-facilitator assigned methodology for group formation). Ask the group member to write down individual expectation in a meta card, ask them to sort out duplicate or similar expectations. Ask them to sum up the expectations of individuals in a group and present in plenary the summarized expectations.

Note: The facilitator can also ask the participants or groups to come up with consolidated expectations using the tree analysis tool. The facilitator need to be aware of the expectation while facilitating sessions and should explain how the sessions addressed the expectations of the participants.

**Ground rules**: setting participatory learning environment is one of the key components of the facilitating a training course. It depends upon the facilitator to set basic grounds rules or how he wants to use participants to develop and implement basic conducts of the training course. The training course norms are generally developed by participants- facilitator can ask one participants to volunteer. The volunteer will ask suggestions from the participants and write these on the flip chart. The flip chart is then pasted on the wall as a reminder of the course norms which everyone has agreed on. However, the facilitator can also suggest or add some of the ground rules as given below;

- Respect diversity of opinion
- All are equal - outside roles / status do not apply
- Active participation
- Speak slowly and distinctly
- Training agenda as a guideline
- Questions at any time or use the “bin”
- Mobile phones on silent mode. STRICTLY!

**Task Team formation**: The group dynamics play vital role to conduct or mobilize training activities effectively. The facilitator will ask the participants to volunteer (at least five to six or depending upon the number of participants or number of the course running days) their time to accomplish some of the task to be done every day during the course. The task of the team includes;

- Recap of previous day session
- Arranging room at the start of the daily sessions
- Introducing resource persons
- Ice breakers
- Keeping time
- Daily course assessment

**Administration and logistics**: Inform all the participants about the administration and logistic of the training like;
- Breakfast, lunch, snacks and dinner provided during the course days
- Travel allowances will be provided by the NRCS
- Task teams to be organized to perform some tasks
- Contact Mr. XXX for administration and logistics requirements
Module 0: INTRODUCTORY MODULE

Session 4: Overview of the Training contents

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the pre-course activity:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>▪ The training curriculum is presented and its contents areas, learning objectives and key learning points explained to the participants;</td>
</tr>
</tbody>
</table>

| Key Learning Points | ▪ Presentation and explanation of the training curriculum will provide the participants with an overview of the whole training course and will be able to relate these to their expectations. |

<table>
<thead>
<tr>
<th>Suggested Methodologies</th>
<th>Interactive Presentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Materials</td>
<td>CBDRR Training Curriculum</td>
</tr>
<tr>
<td>Approximate Time</td>
<td>30 minutes</td>
</tr>
</tbody>
</table>

READ ME NOTES:

The overview of training contents will follow the CBDRR Training Curriculum. This will be presented to the participants along with the learning objectives and key learning points for each session. As follows:

11. Module 1: History, Concepts and Terminologies
   a. Session 1 – Historical Perspective of Disaster Risk Reduction
   b. Session 2 – Hazard, Vulnerability and Capacity
   c. Session 3 – Related Terminologies and Concepts
   d. Session 4 – Disaster Management, Disaster Risk Management and Disaster Risk Reduction

12. Module 2: Understanding Community and Community Based Approaches
   a. Session 1 – Defining Community
   b. Session 2 – Identifying Community Based Approaches
   c. Session 3 – Cross-Cutting Themes on Social Inclusion and Socio-Economic Structures
   d. Session 4 – Tools for Community Based Approaches

13. Module 3: Community Organizing and Community Based Disaster Risk Reduction Process
   a. Session 1 – The Community Organizing / Community Based DRR Process
   b. Session 2 – Roles of the Community Development Worker

14. Module 4: Site Selection
   a. Session 1 – Review of National Society Mandate, Policies and Strategies on Disaster Management
   b. Session 2 – Scope and Limitations of DRR Programmes
   c. Session 3 – Site Selection Process at National Headquarters Level
   d. Session 4 – Site Selection Process at District Chapters Level

15. Module 5: Rapport Building and Understanding the Community
   a. Session 1 – Rapport Building
   b. Session 2 – Understanding the Community

16. Module 6: Community Situational Analysis
a. Session 1 – Definition, Process, Methods and Tools  
b. Session 2 – Planning and Preparation for Conducting Community Situational Analysis  
c. Session 3 – Usage and Sequence of Assessment Tools  
d. Session 3 – Conducting the Vulnerability and Capacity Assessment  
e. Session 4 – Conducting Participatory Hygiene and Sanitation Transformation  
f. Session 5 – Conducting Livelihood Assessments  
g. Session 6 – Conducting Food Security Assessments  
h. Session 7 - Analysis and Reporting

17. Module 7: Community Disaster Risk Management Planning  
a. Session 1 – Identification of Disaster Risk Management Measures  
b. Session 2 – Community Disaster Risk Management Planning Process

18. Module 8: Establishment of the Community Disaster Risk Management Organization  
a. Session 1 – Core Group Building  
b. Session 2 – Creating the General Assembly of Members  
c. Session 3 – Identifying the Organizational Structure  
d. Session 4 – Promulgating the Constitution of the Organization  
e. Session 5 – Legal Registration Process

19. Module 9: Community Led Disaster Risk Management Actions  
a. Session 1 - Organization Development  
b. Session 2 – Establishment and Maintenance of Revolving Funds  
c. Session 3 – Fund Generation  
d. Session 4 – Advocacy and Networking  
e. Session 5 – Implementation of the Community Disaster Risk Management Plan

Introduction to modules, learning objectives and key learning points can be found in each part of the modules and sessions page of the CBDRR Training Manual.
Module 1

History, Concepts and Terminologies

Content Areas:

1. History in the development of Disaster Risk Reduction;
2. Difference and similarities between Disaster Management, Disaster Risk Management and Disaster Risk Reduction;
3. Knowledge of the interrelationship between Hazards, Vulnerability and Capacity as the key to understanding the dynamics of disaster management;
4. Basic concepts of disaster management along with most commonly used terminologies

Introduction to the Module:

The module provides the foundation of understanding the community based disaster risk reduction approach. In this module, the participants are provided with the history of how disaster risk reduction evolved from a purely relief oriented disaster management approach into the integration of development practices. The module likewise provides an understanding of the basic
Module 1: HISTORY, BASIC CONCEPTS AND TERMINOLOGIES

Session 1: Historical Perspective of Disaster Risk Reduction

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>- Identified the early initiatives on disaster management;</td>
</tr>
<tr>
<td></td>
<td>- Graphed the development of the conceptual approach of disaster</td>
</tr>
<tr>
<td></td>
<td>risk reduction in a timeline;</td>
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<tr>
<td></td>
<td>- Enumerated the various approaches and explain the difference</td>
</tr>
<tr>
<td></td>
<td>between these approaches;</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Key Learning Points</th>
<th>Disaster Risk Reduction is based on decades of experience in different disaster management approaches;</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>- Academic approaches and relief alone do not end the vicious cycle</td>
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<td>of disasters;</td>
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<td>- The need for integrating disaster management into development is</td>
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<td>essential to address the major factors behind disaster risks.</td>
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<tr>
<th>Suggested Methodologies</th>
<th>Interactive Lecture</th>
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<td></td>
<td>Video presentation</td>
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<td>Group Discussion</td>
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<td>Timeline graph</td>
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<tr>
<th>Materials</th>
<th>Power point presentation for the Session is attached.</th>
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<th>Approximate Time</th>
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CONTENTS OF THE SESSION

1.1 Age of Evolution: Pioneering Efforts

Ages before written concepts of disaster management exist, people have been striving to respond and mitigate the impact of hazard events. Although it can be argued that occurrence of disasters where lesser before as compared to present times, Asia has always been affected by seasonal hazard events such as floods, volcanic eruptions, cyclones and earthquakes.

In response to these hazard events, pioneering efforts were started by the people in countries like China, Korea, Vietnam and India among others.

In China, flood data collection began as early as 206 BC and started building dikes as a response to the annual flooding of the Yangtze River. In 132 AD, a Chinese named Chang Han invented the first crude of a sesmiscope as an attempt for earthquake early warning.

In 15th Century kingdom of Korea, King Sejung invented the first rain gauge to measure the quantity of rainfall during the monsoon and to record rainfall patterns. In the Red River delta of the Annamese Kingdom of present day Vietnam, dykes and river bank establishment were started to mitigate against annual flooding of the flood plains where the center of agriculture production is located.
When a massive famine struck India of 1630 to 1632, the builder of Taj Mahal in Agra who ruled India – Shah Jahan initiated the first recorded relief operation by spending one eleventh of the total kingdom’s revenue to provide soup kitchens to the people affected by the famine.

These initiatives came into being as Asia has been and is continuing to be the most hazards - affected region of the world for the several thousand of years prior to the onset of the modern world.

1.2 Age of Sciences: Theories and Research

In the advent of modernity, various theories on how to approach disaster management where developed and practiced. Along with these, research was conducted to control the occurrence and impact of hazard events. In the age of sciences, three main approaches emerged: the natural science approach, the applied science approach and the conventional approach.

The natural science approach theorized that disasters are caused by hazard events and is very much part of the natural world. This approach does not consider how hazards are perceived by those people that are affected nor does this approach offer any solution to the occurrence of disaster events. By negating the socio-economic-political factors which contribute to the occurrence of disasters, this approach remained passive to the dynamic factors that cause disasters.

The applied science approach focused heavily at the impact of natural hazard events which led to over-emphasis on scientific and technical research. These scientific and technical researches where aimed at predicting and modifying the impact of hazard events. However, the approach has become very clinical and technical that it created issues of adaptability at the community level. Like the natural science approach, the applied science approach failed to recognize the participation of the people and consider the factors behind the occurrence of disaster events.

With the predominance of the natural and applied science approaches, the conventional approach towards disaster events was massively practiced up to the 1990’s. The conventional approach considers disaster events as accidents and circumstances and an inevitable occurrence in the natural world and of which people have little or no control. The approach is reactive by means of responding only to the aftermath of disaster events by distributing relief materials.

1.3 Age of Realization: Applying Lessons of Development Practice

Development practice and the three previous approaches mentioned had always run a parallel course. During the late 1990’s to the new millennium, efforts were made to integrate development practice into disaster management and vice versa. It was a realization that both development and disaster management have to work in synergy. Development gains established for years can be wiped out in a single disaster event and disaster management activities which do not factor in development principles only provide post traumatic relief to disaster events.
These realizations providing an opportunity for disaster management practitioners to review the approaches based on development principles which resulted to the following lessons learnt:

- Failure to involve the people. Because of their reliance on specialized technologies and professional skills, many programs are carried out without the involvement of local people and their organizations in planning and decision-making.

- Failure to address vulnerability. Many programs respond to a particular hazard type in a specific and limited time period. As such, they cannot address vulnerability, which is a complex relationship between people and their social, physical and economic environment.

- Susceptibility to manipulation. Because of the concentration of power and knowledge within a centralized management, many programs are particularly susceptible to political manipulation by powerful groups.

However, the advances in sciences and better understanding of the natural environment and the relief distribution systems developed through the years were factored into the development a new approach but linking this to people’s participation, addressing root causes of vulnerability, capacity building and partnership with target beneficiaries. These became a practice known as disaster risk management.

The conceptual approach which considers a holistic approach on addressing both development and disaster management issues was to be known as disaster risk reduction which considers that it is not only hazards which cause disaster but also the political, economic and social environment and the way these factors structure the lives of different groups of people.
Module 1: HISTORY, BASIC CONCEPTS AND TERMINOLOGIES

Session 2: Hazard, Vulnerability and Capacity

Learning Objectives
At the end of the session, the participants will have:
- Explained the meaning of hazard, vulnerability and capacity;
- Identified the different factors that influence vulnerability and capacity;
- Explained the relationship between hazard, vulnerability and capacity.

Key Learning Points
- Hazards are always present but these do not mean disasters.
- The relationship between hazard, vulnerability and capacity determines the magnitude of disasters.
- Vulnerability and capacity are interlinked and opposite to one another. The lower the capacity, the higher the vulnerability.

Suggested Methodologies
- Interactive Lecture
- Mix and Match
- Group Discussion

Materials
- Power point presentation for the Session is attached.

Approximate Time
2 hours

CONTENTS OF THE SESSION

1.1 Hazards

Hazards are events or occurrences that have the potential for causing death and injuries to life, damage and destruction of property and the environment. Hazards may occur naturally as part of the natural world and may also be caused by human activities. As such, hazards have two main classifications: natural hazards and human-induced hazards.

Natural hazards can be categorized into four different types:

- Hydro – meteorological hazards. Hazards which are caused by weather conditions such as cyclones and snowstorms which in turn creates secondary hazards such as floods and avalanches.
- Geologic hazards. Hazards which are geologic in nature such as landslides, earthquakes and volcanic eruptions.
- Oceanic hazards. Hazards which emanates from the seas and oceans which are commonly triggered by hydro-meteorological and geologic events such as storm tidal surges and tsunamis.
- Biological hazards. Hazards which are natural occurring toxins and pests which causes epidemics such as swine and bird flues and pests infestation like overpopulation of rodents and insects.
Human – induced hazards can be grouped into three types:

- Socio – natural hazards. Man made hazards that are caused by the overconsumption of the natural resources and the negative impact these causes to the natural world. Most concrete example is climate change which is a result of human activity. This in turn relates to forest denudation, famine and increased occurrence of natural hazards.
- Socio – political hazards. Man made hazards which are triggered by difference in political opinions of groups or states. This includes civic unrest and armed conflict.
- Technological hazards. Man made hazards resulting from industries and technology. This includes transport accidents, spread of toxic substances, and waste contamination of water and food sources.

It must be noted that often times, disasters are caused by the combination of different factors and several hazards. Hazards may cause ripple effect once it hits a vulnerable community; in most cases one hazard can result to several secondary hazards. An example of this is a cyclone which triggers secondary hazards in the form of storm tidal surges and flooding; an earthquake may trigger fire as its immediate secondary hazard.

1.2 Vulnerability

Vulnerability is a set of prevailing or consequential conditions which adversely affect people’s ability prevent, mitigate, prepare for and respond to hazardous events. The degree of vulnerability is determined by three factors:

Physical/Material Vulnerability

Physical or material vulnerability is determined by the level of risk an individual or community is exposed to due to the location and nature of livelihoods, physical proximity to hazards, physical disabilities, and lack or absence of resources. Examples of physical / material vulnerability are location of communities in the flood plains, cities located in earthquake fault lines, physical disabilities of persons, and food insecurity among others.

Social/organizational

Social or organizational vulnerability is represented by the lack or absence of government basic services, civic organizations, religious and cultural institutions that can provide and maintain the social needs of the community. The major issue on social vulnerability is exemplified in social exclusion due to caste, ethnicity, gender, and physical disability. This is also very much prevalent in the stigma cause by sexually transmitted diseases, HIV-AIDS and inter-marriages between castes and ethnic groups.
Attitudinal/Motivational Vulnerability:

Attitudinal or motivational vulnerability is equated with apathy wherein hopelessness and abandon is prevalent in the outlook of people who feels or believes that however they labor, they will always remain impoverished and neglected. Attitudinal vulnerability is very much a result of social vulnerability where people felt discriminated and left without social or organizational support mechanisms. In this cycle of neglect and discrimination, people are influenced by the idea that there are no brighter tomorrows awaiting them in this world.

1.3 Capacity

Capacities are resources, means and strengths, which exist in households and communities and which enable them to cope with, withstand, prepare for, prevent, mitigate, or quickly recover from a disaster. Relative to vulnerability, capacity is influence also by similar factors:

Physical/Material Capacity:

Physical and material capacity reflects the amount of resources that a community may have to address, respond, mitigate and cope with hazard events. Resources in the context of capacity includes material, financial and human resources which enables the community to prepared for the onset of hazard events, respond to emergency situations, prevent or mitigate the impact of hazards and be able to strengthen their capacity in the aftermath of hazard events.

Social/organizational Capacity:

Social or organizational capacity is the availability of social support networks like family, kin and friends; the presence of government agencies that provide the community with basic services such as education, health, food and security; the existence of community organizations and civil society groups that advocate for people’s rights and provide support services and augment government services to the community such as clubs, societies and groups; this can also include the spiritual and cultural institutions that provide moral support and spiritual services to the community such as religion with temples and monasteries.

Attitudinal/Motivational Capacity:

Attitudinal or motivational capacity refers more to an individual’s positive outlook in life. This can be best termed as resiliency and hope which keeps people going even in the face of adversity. This is the value of faith and not giving up the hope of a better future; or being proactive to address prevailing concerns in a communal way.
Module 1 : HISTORY, BASIC CONCEPTS AND TERMINOLOGIES

Session 3 : Basic Terminologies and Concepts

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<th>Learning Objectives</th>
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<tr>
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<td>▪ Articulated the basic disaster management terms and concepts;</td>
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<td>▪ Identified the relationship between different terminologies.</td>
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| Key Learning Points                         | ▪ Reducing risks requires different approaches;                                                             |
|                                             | ▪ There are no stand alone approach in disaster risk reduction as                                          |
|                                             |   each approach complements another;                                                                       |

| Suggested Methodologies                     | ▪ Interactive Lecture                                                                                      |
|                                             | ▪ Mix and Match                                                                                           |
|                                             | ▪ Group Discussion                                                                                         |

| Materials                                   | ▪ Sample power point presentation for the Session is attached.                                              |

| Approximate Time                            | 1.5 hours                                                                                                  |

CONTENTS OF THE SESSION

1.1 Basic Disaster Management Terminologies

Elements at Risk
Societal elements exposed and are likely to be adversely affected by the impact of hazards. Societal elements include all aspects of society from people to infrastructures to livelihoods.

Disaster Risk
The probability of an occurrence and impact of a disaster event due to the prevailing vulnerability and capacity factors.

Disaster Response
 Measures required in search and rescue of survivors and in meeting basic survival needs for shelter, water, food and health care.

Recovery
Covers interventions in rehabilitation and reconstruction. It is the process undertaken by a disaster-affected community to fully restore itself above pre-disaster level of functioning.

Development
Sustained efforts intended to improve the social and economic well-being of a community

Sustainable Development
Development that meets the needs of the present without compromising the ability of future generations to meet their own needs.

Mitigation
The lessening of the adverse impacts of hazards and related disasters. The adverse impacts of hazards often cannot be prevented fully, but the severity can be substantially lessened by various strategies and actions.

Prevention
The avoidance of adverse impacts of hazards and related disasters. Prevention expresses the concept to completely avoid adverse impacts through action taken in advance.

Preparedness
The knowledge and capacities developed by communities and individuals to effectively anticipate, respond to, and recover from, the impacts of likely, imminent or current hazard events or conditions.

1.2 Disaster Risk Reduction Concept

The graph below represents the “crunch” model wherein several sets of factors comes together in a cumulative effect that causes the disaster from happening. This graphic representation indicates that disasters do just happen but are caused by accumulated impact of different set of factors. When a hazard impacts a community with already unsafe conditions, there is a higher degree of probability for the disaster to happen. However, even before the hazard impact, these unsafe conditions were already caused by dynamic factors which trigger these unsafe conditions. In turn, these dynamic factors have deeply embedded root causes in the society and the prevailing socio-economic system of a given community or country in general.

The graph below reverses the “crunch” model into a “release” model which removes the cumulative pressure by addressing the factors that trigger the disasters. This then becomes the simple graphic
representation on how the disaster risk management measures complement each other. Hazards are mitigated or prevented through mitigation and prevention measures. Unsafe conditions are reduced with measures in preparedness, emergency response and recovery. Root causes are addressed through social, economic and political reforms.

However, due to the sensitive nature of addressing root causes which requires changes in the socio-economic-political system, NRCS will only focus its resources on addressing dynamic pressures and unsafe conditions. As a member of the RC/RC Movement, NRCS is bound by the seven fundamental principles and must at all time maintain its neutrality. Maintaining its neutrality makes NRCS more effective in reaching out to difficult to access locations during emergency situations where other organizations often times are not allowed access due to political partiality.

For additional reference, the universal definition of common terminologies used in disaster management from UN-ISDR is attached below:

**Adaptation.** The adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities.

**Biological hazard.** Process or phenomenon of organic origin or conveyed by biological vectors, including exposure to pathogenic micro-organisms, toxins and bioactive substances that may cause loss of life, injury, illness or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage. Examples of biological hazards include outbreaks of epidemic diseases, plant or animal contagion, insect or other animal plagues and infestations.
**Capacity.** The combination of all the strengths, attributes and resources available within a community, society or organization that can be used to achieve agreed goals. Comment: Capacity may include infrastructure and physical means, institutions, societal coping abilities, as well as human knowledge, skills and collective attributes such as social relationships, leadership and management. Capacity also may be described as capability. Capacity assessment is a term for the process by which the capacity of a group is reviewed against desired goals, and the capacity gaps are identified for further action.

**Capacity Building.** The process by which people, organizations and society systematically stimulate and develop their capacities over time to achieve social and economic goals, including through improvement of knowledge, skills, systems, and institutions. Encompasses all aspects of creating and sustaining capacity growth over time. It involves learning and various types of training, but also continuous efforts to develop institutions, political awareness, financial resources, technology systems, and the wider social and cultural enabling environment.

**Climate change.** A change of climate which is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and which is in addition to natural climate variability observed over comparable time periods. A change in the climate that persists for decades or longer, arising from either natural causes or human activity.

**Contingency planning.** A management process that analyses specific potential events or emerging situations that might threaten society or the environment and establishes arrangements in advance to enable timely, effective and appropriate responses to such events and situations. Contingency planning results in organized and coordinated courses of action with clearly-identified institutional roles and resources, information processes, and operational arrangements for specific actors at times of need. Based on scenarios of possible emergency conditions or disaster events, it allows key actors to envision, anticipate and solve problems that can arise during crises.

**Coping capacity.** The ability of people, organizations and systems, using available skills and resources, to face and manage adverse conditions, emergencies or disasters. The capacity to cope requires continuing awareness, resources and good management, both in normal times as well as during crises or adverse conditions. Coping capacities contribute to the reduction of disaster risks.

**Disaster.** A serious disruption of the functioning of a community or a society involving widespread human, material, economic or environmental losses and impacts, which exceeds the ability of the affected community or society to cope using its own resources. Disasters are often described as a result of the combination of: the exposure to a hazard; the conditions of vulnerability that are present; and insufficient capacity or measures to reduce or cope with the potential negative consequences. Disaster impacts may include loss of life, injury, disease and other negative effects on human physical, mental and social well-being, together with damage to property, destruction of assets, loss of services, social and economic disruption and environmental degradation.

**Disaster risk.** The potential disaster losses, in lives, health status, livelihoods, assets and services, which could occur to a particular community or a society over some specified future time period. The
definition of disaster risk reflects the concept of disasters as the outcome of continuously present conditions of risk.

**Disaster risk management.** The systematic process of using administrative directives, organizations, and operational skills and capacities to implement strategies, policies and improved coping capacities in order to lessen the adverse impacts of hazards and the possibility of disaster. Disaster risk management aims to avoid, lessen or transfer the adverse effects of hazards through activities and measures for prevention, mitigation and preparedness.

**Disaster risk reduction.** The concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events.

**Disaster risk reduction plan.** A document prepared by a community that sets out goals and specific objectives for reducing disaster risks together with related actions to accomplish these objectives. Disaster risk reduction plans should be guided by the Hyogo Framework and considered and coordinated within relevant development plans, resource allocations and programme activities. The time frame and responsibilities for implementation and the sources of funding should be specified in the plan. Linkages to climate change adaptation plans should be made where possible.

**Early warning system.** The set of capacities needed to generate and disseminate timely and meaningful warning information to enable individuals, communities and organizations threatened by a hazard to prepare and to act appropriately and in sufficient time to reduce the possibility of harm or loss. This definition encompasses the range of factors necessary to achieve effective responses to warnings. A people-centered early warning system necessarily comprises four key elements: knowledge of the risks; monitoring, analysis and forecasting of the hazards; communication or dissemination of alerts and warnings; and local capabilities to respond to the warnings received. The expression “end-to-end warning system” is also used to emphasize that warning systems need to span all steps from hazard detection through to community response.

**Emergency management.** The organization and management of resources and responsibilities for addressing all aspects of emergencies, in particular preparedness, response and initial recovery steps. A crisis or emergency is a threatening condition that requires urgent action. Effective emergency action can avoid the escalation of an event into a disaster. Emergency management involves plans and institutional arrangements to engage and guide the efforts of government, non-government, voluntary and private agencies in comprehensive and coordinated ways to respond to the entire spectrum of emergency needs. The expression “disaster management” is sometimes used instead of emergency management.

**Emergency services.** The set of specialized agencies that have specific responsibilities and objectives in serving and protecting people and property in emergency situations. Emergency services include agencies such as civil protection authorities, police, fire, ambulance, paramedic and emergency
medicine services, Red Cross and Red Crescent societies, and specialized emergency units of electricity, transportation, communications and other related services organizations.

**Environmental degradation.** The reduction of the capacity of the environment to meet social and ecological objectives and needs. Comment: Degradation of the environment can alter the frequency and intensity of natural hazards and increase the vulnerability of communities. The types of human-induced degradation are varied and include land misuse, soil erosion and loss, desertification, wild land fires, loss of biodiversity, deforestation, mangrove destruction, land, water and air pollution, climate change, sea level rise and ozone depletion.

**Geological hazard.** Geological process or phenomenon that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage. Geological hazards include internal earth processes, such as earthquakes, volcanic activity and emissions, and related geophysical processes such as mass movements, landslides, rockslides, surface collapses, and debris or mud flows. Hydro-meteorological factors are important contributors to some of these processes.

**Hazard.** A dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage. Such hazards arise from a variety of geological, meteorological, hydrological, oceanic, biological, and technological sources, sometimes acting in combination.

**Hydro-meteorological hazard.** Process or phenomenon of atmospheric, hydrological or oceanographic nature that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage. Hydro-meteorological hazards include tropical cyclones (also known as typhoons and hurricanes), thunderstorms, hailstorms, tornados, blizzards, heavy snowfall, avalanches, and coastal storm surges, floods including flash floods, drought, heat waves and cold spells. Hydro-meteorological conditions also can be a factor in other hazards such as landslides, wild land fires, locust plagues, epidemics, and in the transport and dispersal of toxic substances and volcanic eruption material

**Mitigation.** The lessening or limitation of the adverse impacts of hazards and related disasters. The adverse impacts of hazards often cannot be prevented fully, but their scale or severity can be substantially lessened by various strategies and actions. Mitigation measures encompass engineering techniques and hazard-resistant construction as well as improved environmental policies and public awareness.

**Natural hazard.** Natural process or phenomenon that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage. Natural hazard events can be characterized by their magnitude or intensity, speed of onset, duration, and area of extent.

**Preparedness.** The knowledge and capacities developed by communities and individuals to effectively anticipate, respond to, and recover from, the impacts of likely, imminent or current hazard events or
conditions. Preparedness action is carried out within the context of disaster risk management and aims to build the capacities needed to efficiently manage all types of emergencies and achieve orderly transitions from response through to sustained recovery. Preparedness is based on a sound analysis of disaster risks and good linkages with early warning systems, and includes such activities as contingency planning, stockpiling of equipment and supplies, the development of arrangements for coordination, evacuation and public information, and associated training and field exercises. These must be supported by formal institutional, legal and budgetary capacities. The related term “readiness” describes the ability to quickly and appropriately respond when required.

**Prevention.** The avoidance of adverse impacts of hazards and related disasters. Prevention expresses the concept and intention to completely avoid potential adverse impacts through action taken in advance. Examples include dams or embankments that eliminate flood risks, land-use regulations that do not permit any settlement in high risk zones, and seismic engineering designs that ensure the survival and function of a critical building in any likely earthquake. Very often the complete avoidance of losses is not feasible and the task transforms to that of mitigation.

**Public awareness.** The extent of common knowledge about disaster risks, the factors that lead to disasters and the actions that can be taken individually and collectively to reduce exposure and vulnerability to hazards. Comment: Public awareness is a key factor in effective disaster risk reduction. Its development is pursued, for example, through the development and dissemination of information through media and educational channels, the establishment of information centers, networks, and community or participation actions, and advocacy by senior public officials and community leaders.

**Recovery.** The restoration, and improvement where appropriate, of facilities, livelihoods and living conditions of disaster-affected communities, including efforts to reduce disaster risk factors. The recovery task of rehabilitation and reconstruction begins soon after the emergency phase has ended, and should be based on pre-existing strategies and policies that facilitate clear institutional responsibilities for recovery action and enable public participation. Recovery programmes, coupled with the heightened public awareness and engagement after a disaster, afford a valuable opportunity to develop and implement disaster risk reduction measures and to apply the “build back better” principle.

**Resilience.** The ability of a system, community or society exposed to hazards to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions. Comment: Resilience means the ability to “resile from” or “spring back from” a shock. The resilience of a community in respect to potential hazard events is determined by the degree to which the community has the necessary resources and is capable of organizing itself both prior to and during times of need.

**Response.** The provision of emergency services and public assistance during or immediately after a disaster in order to save lives, reduce health impacts, ensure public safety and meet the basic subsistence needs of the people affected. Comment: Disaster response is predominantly focused on immediate and short-term needs and is sometimes called “disaster relief”. The division between this
response stage and the subsequent recovery stage is not clear-cut. Some response actions, such as the supply of temporary housing and water supplies, may extend well into the recovery stage.

**Risk.** The combination of the probability of an event and its negative consequences.

**Risk assessment.** A methodology to determine the nature and extent of risk by analysing potential hazards and evaluating existing conditions of vulnerability that together could potentially harm exposed people, property, services, livelihoods and the environment on which they depend. Risk assessments (and associated risk mapping) include: a review of the technical characteristics of hazards such as their location, intensity, frequency and probability; the analysis of exposure and vulnerability including the physical social, health, economic and environmental dimensions; and the evaluation of the effectiveness of prevailing and alternative coping capacities in respect to likely risk scenarios. This series of activities is sometimes known as a risk analysis process.

**Risk management.** The systematic approach and practice of managing uncertainty to minimize potential harm and loss. Risk management comprises risk assessment and analysis, and the implementation of strategies and specific actions to control, and reduce risks.

**Socio-natural hazard.** The phenomenon of increased occurrence of certain geophysical and hydro-meteorological hazard events, such as landslides, flooding, land subsidence and drought, that arise from the interaction of natural hazards with overexploited or degraded land and environmental resources. This term is used for the circumstances where human activity is increasing the occurrence of certain hazards beyond their natural probabilities. Evidence points to a growing disaster burden from such hazards. Socio-natural hazards can be reduced and avoided through wise management of land and environmental resources.

**Structural measures.** Any physical construction to reduce or avoid possible impacts of hazards, or application of engineering techniques to achieve hazard-resistance and resilience in structures or systems. Common structural measures for disaster risk reduction include dams, flood leveys, ocean wave barriers, earthquake-resistant construction, and evacuation shelters.

**Non-structural measures.** Any measure not involving physical construction that uses knowledge, practice or agreement to reduce risks and impacts, in particular through policies and laws, public awareness raising, training and education. Common non-structural measures include building codes, land use planning laws and their enforcement, research and assessment, information resources, and public awareness programmes. Note that in civil and structural engineering, the term “structural” is used in a more restricted sense to mean just the load-bearing structure, with other parts such as wall cladding and interior fittings being termed non-structural.

**Sustainable development.** Development that meets the needs of the present without compromising the ability of future generations to meet their own needs. This definition coined by the 1987 Brundtland Commission is very succinct but it leaves unanswered many questions regarding the meaning of the word development and the social, economic and environmental processes involved. Disaster risk is associated with unsustainable elements of development such as environmental degradation, while
conversely disaster risk reduction can contribute to the achievement of sustainable development, through reduced losses and improved development practices.

**Technological hazard.** A hazard originating from technological or industrial conditions, including accidents, dangerous procedures, infrastructure failures or specific human activities, that may cause loss of life, injury, illness or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage. Comment: Examples of technological hazards include industrial pollution, nuclear radiation, toxic wastes, dam failures, transport accidents, factory explosions, fires, and chemical spills. Technological hazards also may arise directly as a result of the impacts of a natural hazard event.

**Vulnerability.** The characteristics and circumstances of a community, system or asset that make it susceptible to the damaging effects of a hazard. Comment: There are many aspects of vulnerability, arising from various physical, social, economic, and environmental factors. Examples may include poor design and construction of buildings, inadequate protection of assets, lack of public information and awareness, limited official recognition of risks and preparedness measures, and disregard for wise environmental management. Vulnerability varies significantly within a community and over time. This definition identifies vulnerability as a characteristic of the element of interest (community, system or asset) which is independent of its exposure. However, in common use the word is often used more broadly to include the element’s exposure.
Module 1: HISTORY, BASIC CONCEPTS AND TERMINOLOGIES

Session 4: Disaster Management, Disaster Risk Management and Disaster Risk Reduction

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<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
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<tr>
<td></td>
<td>▪ Defined DM, DRM and DRR;</td>
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<td>▪ Pointed out the difference and similarities between DM, DRM and DRR;</td>
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<td>▪ Provided examples of activities in DM, DRM and DRR.</td>
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| Key Learning Points | ▪ Activities under DRM and DRR are similar to those in DM but with additional focus on sustainable development; |
|                    | ▪ DM is an all encompassing terminology, DRM is the process and DRR is the concept. |

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<tr>
<th>Suggested Methodologies</th>
<th>▪ Interactive Lecture</th>
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<td>▪ Group Discussion</td>
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| Materials | ▪ Sample power point presentation for the Session is attached. |

| Approximate Time | 1 hour |

CONTENTS OF THE SESSION

1.3 Disaster Management

Disaster Management is a collective term encompassing all aspects of planning for and responding to disasters. Refers to the management of both the risks and consequences of disasters. As such, it is considered that all processes and concepts relating to addressing the impact of disasters fall under the umbrella of disaster management.

1.4 Disaster Risk Management

The systematic process of using administrative directives, organizations, and operational skills and capacities to implement strategies, policies and activities to lessen the adverse impacts of hazards and the possibility of disaster. As a process, disaster risk management translates the concept of disaster risk reduction into action done in a systematic process. It is why, the term disaster risk management is commonly used in DM programmes as this highlights the implementation of the key areas of disaster risk reduction. In simple terms, disaster risk management is the practice while disaster risk reduction is the concept that guides the practice.

1.5 Disaster Risk Reduction

The conceptual framework to minimize vulnerabilities and disaster risks throughout a society, avoid or to limit the adverse impacts of hazards and done within the broad context of sustainable development.
Disaster risk reduction as a concept has five key areas:

- **Risk awareness and assessment.** Focuses on assessing risks to understand the factors causing disaster risk. These then become basis for identifying appropriate measures to address disaster risks. In NRCS context, this is realized through the conduct of vulnerability and capacity assessments, emergency assessments which are then translated into disaster risk management plans, contingency plans and operational response plans.

- **Knowledge development.** This includes formulation of information, education, and communication materials and developing a resource base of information which are then disseminated through public awareness, advocacy, and training. In NRCS context, these are the diverse training curricula, IEC materials, programme documents and operational reports.

- **Public commitment and institutional frameworks.** Refers to mobilizing and organizing the public through community approaches and at the same time forging institutional commitments with government and non-government partners. In NRCS, this is practiced through the community based DRR approach, the development of the strategic framework in disaster management, coordination and collaboration with the government and partners, contribution towards the formulation of the Nepal Government Strategy for Disaster Risk Management.

- **Application of measures.** This refers to the implementation of various disaster management measures to address disaster risks which includes preparedness, response, recovery, and mitigation. The application of these measures is based on the outcome of risk assessments to provide appropriate response to the level of disaster risks. In NRCS, these are the regular disaster management activities; only difference at this stage is that these are done both at the context of longer term development.

- **Early warning.** Refers to the early warning system itself, the interpretation of warning signals and the identification of evacuation routes and safe havens. NRCS will be focusing more on highlighting existing indigenous knowledge on early warning and evacuation.

These three terminologies are easier to understand when it is interpreted from a practical perspective rather than an academic one. NRCS CBDRR staff should keep in mind that the only difference between the community based disaster preparedness practice is the process itself which calls for the crucial integration of sustainable development into mainstream practice in NRCS DM programming.
Module 2

Understanding Community and Community Based Approaches

Content Areas:

1. Defining Community
2. Identifying Community Based Approaches
3. Cross-cutting Themes on Social Inclusion and Socio-Economic Structures
4. Tools for Community Based Approaches

Introduction to the Module:

The module provides a practical definition of community as it is perceived and as it is commonly used as a programme terminology in NRCS context. The module also includes an introduction to different community based approaches and helps the field practitioner discern between a community-led programme implementation and that of a programme based in a community. Cross cutting issues on caste, ethnicity, gender, disability and age are included as part of social inclusion and discusses the socio-economic structures that influences the characteristics of a community. The module ends with a session on different tools for community based approaches as a precursor for the Module 3 which discusses the processes and tools used in community based approaches.
Module 2 : UNDERSTANDING THE COMMUNITY AND COMMUNITY BASED APPROACHES

Session 1 : Defining Community

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>- Defined community based on different dimensions;</td>
</tr>
<tr>
<td></td>
<td>- Identified the characteristics of a community;</td>
</tr>
</tbody>
</table>

| Key Learning Points                                      | • A community is can be socio-economically differentiated and diverse; |
|----------------------------------------------------------|• Due to diversity, there are varied interests and priorities among individual households but collectively share the same risks prevalent in the community. |

<table>
<thead>
<tr>
<th>Suggested Methodologies</th>
<th>• Interactive Lecture</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Group Discussion</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Materials</th>
<th>• PowerPoint presentation for session is attached.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approximate Time</td>
<td>1 hour</td>
</tr>
</tbody>
</table>

CONTENTS OF THE SESSION

1.6 Defining Community

There are various ways to define a community according to geography, beliefs and grouping.

Community can be defined geographically: such as a cluster of households, a small village, or a neighborhood in a town.

Community can be defined by shared experience, such as particular interest groups, ethnic groups, professional groups, language groups, particular hazard-exposed groups, etc.

Community can be defined by sector such as the farmers, fishermen, businessmen, etc.

A community can be socially differentiated and diverse. Gender, class, caste, wealth, age, ethnicity, religion, language, and other aspects divide the community. Beliefs, interests, and values of community members may conflict.

Based on these, a community is defined as a group of households, families or individuals living in a certain geographical area; working together for a common purpose; however, are diverse in terms of culture, gender, age and with differentiated interests.

The basic definition of a community in NRCS programming context is a group of households or families living in a specific geographical area. This follows the standard political units of the government wherein the Ward is the smallest political unit in Nepal which falls under the jurisdiction of the Village Development Committee. The VDC in turn reports to the District Development Committee.
In this context, the Ward is referred to as the community as used in programme terminologies.

1.7 Characteristics of a Community

The community is characterized by:

- Diverse and socially different due to beliefs, interests and social status;
- Share commonalities in terms of facing the similar challenges and with common aspirations;
- Motivated by common interests to improve their standard of living, addressing communal issues;
- Living in the same environment being located in one geographical area and experiencing the same hazards and utilizing common natural resources;
- Some are more vulnerable than others and some have more capacities than others as a community is diverse and often influenced by opportunities and strengths and of threats and weaknesses as dictated by both formal and informal structures in an unbalanced society;
- Social, Political, Economic and Cultural dimensions impacts the level of diversity and gaps within the community.

At a micro level, the community is a representation of a society and is affected by both internal and external forces which in turn influence the characteristics of the community as a whole. A community may be disorganized due to massive socio-economic gaps between those that are vulnerable and the capable. Yet the same community may be also organized by informal power structures existing, which can be found among age groups, professional groups or gender groups. Likewise, a community may have a totally different context from other communities.

As such, dealing with a community should be done with an open mind and a clear conscience. Any preconceived notion of what a particular community is a very wrong approach to community based work.
Module 2 : UNDERSTANDING COMMUNITY AND IDENTIFYING COMMUNITY BASED APPROACHES

Session 2 : Understanding the Community Based Approach

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>▪ Differentiated a community based project from a project based in the community;</td>
</tr>
<tr>
<td></td>
<td>▪ Listed the basic characteristics of community based approach.</td>
</tr>
</tbody>
</table>

| Key Learning Points | ▪ Identifying features of the community based approaches based on the location and practices; |
|                     | ▪ Differentiating on the community based and based on the community terminology |
|                     | ▪ Reflection on the existing practices of the NRCS field practitioner to make it community based, analyzing the gaps |

<table>
<thead>
<tr>
<th>Suggested Methodologies</th>
<th>▪ Interactive Lecture</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>▪ Group Discussion</td>
</tr>
<tr>
<td></td>
<td>▪ Group exercise</td>
</tr>
</tbody>
</table>

| Materials               | ▪ PowerPoint presentation for the Session is attached. |
| Approximate Time        | 1 hour |

CONTENTS OF THE SESSION

1.4 Defining Community Based Approaches

It is important for NRCS field staff to understand the proper definition of community based approach as this will influence the attitude of the staff in implementing CBDRR programmes. Understanding of the field practitioner is simply guided by background of institution with whom he is working and how the institution directs the practice. To understand community based approach, it is imperative to understand the difference between "community based" and "based in the community".

While talking to the people—they will define the word "community based" as implementing a project in community; doing community assessment; consulting, mobilizing and involving community peoples; working for community peoples and developing plans for the community. Is this really the proper community based approach?

1.5 The Reality of Community Based Approach

Are the NRCS community based projects "based in community" and "community based"?

In the CBDP practice, it was “based in the community”. With the introduction of CBDRR practice and shift from DP to DRR, NRCS has realized the absence of substance in the previous CBDP approach in terms of community based approach. With this learning, NRCS shifted its practices to conduct a proper
community based approach. The difference in CBDP and CBDRR practices on community based is presented in the table below:

<table>
<thead>
<tr>
<th>CBDP</th>
<th>CBDRR</th>
</tr>
</thead>
<tbody>
<tr>
<td>NRCS is implementing a project in community</td>
<td>NRCS should facilitate the implementation of the project in the community through the CDRMO</td>
</tr>
<tr>
<td>NRCS doing community assessment</td>
<td>NRCS should only be guiding the community situational assessment process, information given from the internal perspective of the community</td>
</tr>
<tr>
<td>NRCS uses consultation process</td>
<td>NRCS should involved the participation of the community from assessment to the while project cycle</td>
</tr>
<tr>
<td>NRCS mobilizing and involving community peoples</td>
<td>NRCS should facilitate the community organizing process to help the community establish the CDRMO which is then responsible for mobilizing the members of the community</td>
</tr>
<tr>
<td>NRCS develops DRM plans for the community</td>
<td>NRCS should only provide technical support for the development of the community DRM plans; it is the community that determines and prioritizes the solution to their problems</td>
</tr>
<tr>
<td>NRCS works for the community</td>
<td>NRCS should be working with the community as a partner.</td>
</tr>
</tbody>
</table>

Community Based Approach is about;

1. Participation of the community in assessment and identification of risk reduction measures;
2. Participation of the community for analysis of the assessment and identifying disaster risk management measures;
3. Participation in developing the disaster risk management plan and implementing the plan;
4. Participation in the monitoring of the disaster risk management projects;
5. Expanding the role of the community, minimizing external dependency on resources and capacities;
6. Establishing and strengthening community based organizations and structure;
7. Strengthening community capacity for participatory monitoring and evaluation;
8. Developing the organizational capacity of community organization.

It is not community based merely because the project is implemented in the community, if an external organization working for community do have office in the community, mobilizing community volunteers for activities, supporting communities for water schemes and sanitation facilities and developing plans for them, then it is just a another project geographically "based in the community". Once the project phases out so does the interest of the community.
Module 1: UNDERSTANDING THE COMMUNITY AND COMMUNITY BASED APPROACHES

Session 3: Tools for Community Based Approaches

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Identified and explained the use of different tools;</td>
</tr>
<tr>
<td></td>
<td>• Rated the appropriateness of each tool based on programme needs;</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Key Learning Points</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• There is no single, stand alone tool that can be used for community based approaches;</td>
</tr>
<tr>
<td></td>
<td>• Tools relate to the steps of the community organizing process;</td>
</tr>
<tr>
<td></td>
<td>• Tools for community based approach are not academic but practical in nature as these were developed for field practitioners;</td>
</tr>
<tr>
<td></td>
<td>• Tools are used in support of each other and are interlinked.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Suggested Methodologies</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Interactive Lecture</td>
</tr>
<tr>
<td></td>
<td>• Presentation of Case Studies</td>
</tr>
<tr>
<td></td>
<td>• Group Work and Discussion</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Materials</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Details of other modules in the training manual.</td>
</tr>
</tbody>
</table>

| Approximate Time | 2 hours |

CONTENTS OF THE SESSION

1.6 Tools for Community Based Approaches

There are a variety of tools used for community based disaster risk reduction. However, all of these tools are part and parcel of the community organizing process. To link with the community organizing process the tools are presented here based on the community organizing steps:

<table>
<thead>
<tr>
<th>Community Organizing Steps</th>
<th>Methods / Tools Used</th>
</tr>
</thead>
<tbody>
<tr>
<td>Site selection</td>
<td>In selecting the target districts, secondary data is utilized as basis for finding out the most hazard prone district in Nepal. This is then matched with NRCS’s institutional capacity and the criteria are drawn up in mutual agreement with the Donor Partner. For the districts, the sorting and ranking of communities are done with the district chapters followed by a site visit to potential target communities for additional verification. Additional reference can be found in the Site Selection Module.</td>
</tr>
<tr>
<td>Rapport building</td>
<td>The tools include the practical aspect of building relationships</td>
</tr>
</tbody>
</table>
with the community based in trust and confidence through community immersions and community interactions. Baseline survey is another tool used to enhance rapport building through individual household visits in collecting baseline information from the community. Additional information is available in the Rapport Building and Understanding the Community Module.

| Community Situational Analysis | Tools for community situational analysis include the primary assessment tools. These are the VCA, PHAST, livelihood and food security assessments. The results of these assessments are verified and analyzed together with the community and become the basis for the identification of disaster risk management measures which will be the input for the community disaster risk management planning. Additional information is available in the Community Situational Analysis Module. |
| Community DRM planning | The simple and user-friendly community DRM planning matrix is used as the basic tool for planning. The planning process is based on the analysis of the assessments conducted. This involves a facilitated process done by the NRCS field staff together with the community members. Additional information is available in the Community DRM Planning Module. |
| Establishment of the CDRMO | Involves all the tools in the previous steps plus core group building, general assembly of members, the organizational structure of the organization and the template for the formulation of the organizational constitution. The standard legal template has to be followed as this is required by the Government of Nepal for the registration and legal recognition of the CDRMO. Additional information is available in the Establishment of CDRMO Module. |
Module 3

Community Organizing and the CBDRR Process

Content Areas:

1. Community Organizing and the CBDRR Process
2. Roles of the Community Development Worker

Introduction to the Module:

The module is the start of the practical part of the training manual which was based solely on the collective experience of NRCS and the technical inputs of DRC derived from all over Asia. The first session presents the crucial principles and steps of community organizing which is the backbone of the whole CBDRR process. This also highlights the difference between community mobilization which is usually for the behest of the programme activities with that of the establishment of a community disaster risk management organization as a tangible product of the whole process, promoting community ownership and community-led programme intervention. The second module provides the CBDRR field practitioner with the basic code of conduct of a community development worker.
### Module 3: Community Organizing and Community Based Disaster Risk Reduction Process

### Session 1: The Community Organizing / Community Based DRR Process

| Learning Objectives | At the end of the session, the participants will have:  
|---------------------|------------------------------------------------------  
|                     | • Explained the principles of community organizing;  
|                     | • Enumerated the steps in community organizing;  
|                     | • Articulated the crucial link between community organizing and the CBDRR processes.  
| Key Learning Points | ▪ A systematic and practical community organizing mechanism in Nepal.  
|                     | ▪ The process to be followed for community organizing and CBDRR.  
| Suggested Methodologies | ▪ Interactive Lecture  
|                     | ▪ Group Discussion  
|                     | ▪ Group exercise  
|                     | ▪ Brain storming  
| Materials          | ▪ Power point presentation for Session is attached.  
| Approximate Time   | 2 hours  

**CONTENTS OF THE SESSION**

1.1 Introduction and purpose

Community organizing is a continuing process of working with people in a certain locality for the purpose of attaining community objectives. Community Organizing in general is about forming a core group of people with the same aspirations to work with other members of their community to facilitate the achievement of the community’s common objectives. Some common examples of these in Nepali communities are the Mother’s Groups, Youth Clubs, Money Saving Cooperatives, and even community level political organizations.

The purpose of Community Organizing (CO) is to establish the Community Disaster Risk Management Organizations (CDRMO) in each community covered by Disaster Risk Reduction (DRR) Programmes. The establishment of the CDRMO is a critical indicator for all community based DRR programmes and crucial aspect in the capacity building of local disaster risk management component.

1.2 Principles of Community Organizing

The Community Organizing process is guided by the following principles:

- People are the primary agent of change. Recognize that it is the people in the communities that can make changes in their lives. It is not the prevailing systems and structures that afford changes but rather it is the people themselves that are the catalyst for change.
Community organizing respects the primary role of the people. As primary agent of change in their communities and their individual lives, the people have the principal role to ensure that objectives they have set are met. External support is welcomed but it is the community themselves that must plan, manage and implement.

Organizing is a means but not a solution. Community organizing is a tool for change; it is not the solution for the problem. How strong and how well the community

Start simple. Work at the level of understanding and perceptions of the community. Simple, practical and straightforward methods are better understood and replicated

Transformation through people’s collective strength

Organizational structures should encourage and contribute to people’s participation and control

Maximize the power of numbers and unity

1.3 Steps in Community Organizing

The following are the basic steps in the community organizing process. Each step is complementary to each other and should be followed in order as each is a prerequisite of the other. Failure to comprehensively follow the steps will result in operational and organizational problems for the CDRMO as well as for the NRCS Programme. Several lessons were learned from the implementation of CBDP wherein community mobilization was applied rather than the community organizing process. Community mobilization refers more to making the community work towards the implementation of pre-planned programme activities and are usually one-off implementation, leaving the community nowhere and with nothing to continue on. Whereas, in community organizing, the end product is a community based organization that is legally recognized by the government, having its own organizational constitution, generating its own funds and implementing its own disaster risk management plans. This approach brings forward the gains of programme activities towards longer term community-led implementation.

1. Site Selection. Selection of communities based on the level of hazards, vulnerabilities and capacities linked with the NRCS mandate, policies and strategies.
2. Community entry and rapport building. Initial contact with the community and gradual development of relationship between the NRCS field team and
3. Community situational analysis.
4. Planning for solution.
5. Formation of the Community Disaster Risk Management Organization (CDRMO).

These steps are explained in detail in the succeeding modules of the CBDRR Training Manual.
1.4 Crucial Links between the Community Organizing Process and the CBDRR Process.

It can be noted that there is actually no difference between the community organizing processes and that of the community based disaster risk reduction process. It is because that before community-based approach became a by-word in the 1990’s, or even much longer before disaster management started focusing on development oriented approaches; the development practice has already taken roots and crucial to development work at the grassroots level is the organizing of communities with the purpose of empowering them by building their capacities to address the issues and concerns affecting. As such, in the case of the CBDRR process, being a community based approach; it was directly patterned after the community organizing process. However, very less disaster management practitioners understood this due to the institutional top-down practice entrenched in most National Society systems. Further, Red Cross as a movement is still at an infantile stage when it comes to designing and delivering practical and realistic development programmes.

For practical purposes, the table below shows the link between the community organizing process and that of CBDRR:

<table>
<thead>
<tr>
<th>Steps</th>
<th>Community Organizing Process</th>
<th>CBDRR Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Site Selection</td>
<td>Sites are selected based on NRCS mandate, policies and strategies to addressing the needs of the most vulnerable communities. As such site selection is based on needs and priorities.</td>
</tr>
<tr>
<td>2</td>
<td>Rapport Building and Understanding the Community</td>
<td>Community meetings and frequent interactions are made by NRCS CBDRR field staff to build trust and confidence with the community members. Programme orientations are done as part of community interaction along with the conduct of baseline survey to better understand the community.</td>
</tr>
<tr>
<td>3</td>
<td>Community Situational Assessment</td>
<td>VCA are initially conducted to have an overall view of the community’s issues and concerns, their vulnerability and capacity. Based on the VCA, focused assessment follows for concerns raised during the VCA on water, sanitation and hygiene, livelihood and food security. Results of these assessments are analyzed together with the community.</td>
</tr>
<tr>
<td>4</td>
<td>Planning for Solution</td>
<td>Immediately after the conduct of the VCA and succeeding detailed assessments, the community disaster risk management planning is facilitated based on the outcome of the assessments. The community will realize at this stage that to implement a plan, there is a need for them to have a community organization for the implementation of their disaster risk management plan.</td>
</tr>
<tr>
<td>5</td>
<td>Establishment of the Community</td>
<td>To implement the plan, the communities have to establish the community disaster risk management organization. The CDRMO is eventually registered and</td>
</tr>
</tbody>
</table>
Based Organization

legally recognized by the government, giving it a legitimate profile to submit project proposals for District Government funding as well as partnering with national and international NGOs. This provides continuity to the existence of the CDRMO being organized not just to implement programme activities but to be a catalyst for a safer and more resilient community.
Module 3: Community Organizing and Community Based Disaster Risk Reduction Process

Session 2: Roles of the Community organizer.

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>▪ Expressed their realization on the sensitive role of the community organizer in a community;</td>
</tr>
<tr>
<td></td>
<td>▪ Reflected on their previous experiences of their behavior in dealing with the community.</td>
</tr>
</tbody>
</table>

| Key Learning Points | ▪ A community organizer plays different roles that are adjusted to the context of the community; |
|                     | ▪ The community organizer is the face of the NRCS in the community; his/her behavior determines the acceptance of the programme in the community. |

| Suggested Methodologies | ▪ Interactive Lecture |
|                        | ▪ Group Discussion |
|                        | ▪ Brain storming |

| Materials             | ▪ Power point presentation for Session is attached. |
|                       |                                                      |

| Approximate Time       | 45 minutes |

**CONTENTS OF THE SESSION**

1.1 Roles of the community organizer.

Community organizing requires a proper understanding of the context and dynamics within a certain community. An outsider from the community is both regarded as guests and as a stranger. At the onset, it is expected that the community may have an element of distrust and this barrier must be eliminated to ensure acceptance of the programme. As such, it is crucial for NRCS field staff, especially for community organizers, field supervisors, and community trainers to play the following role to break the walls of distrust and gradually develop rapport and earn the trust and respect of the community:

- **Neighbour.**
  NRCS field staffs are required to stay or spend a major fraction of their time with the community. Physical presence is a must to make the community know you not only as a Red Cross staff but as a person. This develops rapport which eventually turns to acceptance with trust and confidence.

- **Student.**
  Learn from the community through regular interaction with the members of the community, regardless of socio-economic and political status. Approach the community with an empty cup of knowledge and have it filled with real life experiences and relationships with the community members. Masters degree and PHDs do not count and never equates with the rich diversity of knowledge that can be learnt from the community.

- **Partner.**
Community organizer should win the trust of community people and maintain confidentiality as well for the community to have confidence to share real-life stories which promotes better understanding of the community context. In order to win the trust from community, the NRCS field staff should listen to them; respect their traditions, norms and values.

- **Teacher.**
  A Teacher is well respected person in the Nepali community with a leading role, to whom most people look up to. As a community organizer the NRCS field staff should be presented as a role model in the community as a teacher should be. A teacher does not preach, a teacher imparts knowledge by showing the way.
Module 4

Site Selection

Content Areas:

1. Review of NRCS Mandate, Policies and Strategies on Disaster Management
2. Scope and limitations of DRR Programmes in NRCS
3. Site Selection Process at NRCS National Headquarters Level
4. Site Selection Process at NRCS District Chapter Level

Introduction to the Module:

The module covers the first step in the community organizing process which is about selecting the appropriate target site for CBDRR programmes. Session 1 reviews the NRCS mandate, policies and strategies as part of the basis for developing criteria for site selection. The second session defines the coverage and boundaries of DRR programmes in NRCS according to its existing mandate, policies and strategies. Session 3 is about the process at the national headquarters level in identifying the districts to be covered by DRR programmes according to agreed criteria and priorities. The last session deals with the comprehensive process at the District Chapter level on identifying the actual VDCs and Wards at the field level.
Module 4 : SITE SELECTION

Session 1 : National Society Mandate, Policies and Strategies on Disaster Management

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>▪ Mentioned the key areas in the NRCS mandate, policies and DM strategy;</td>
</tr>
<tr>
<td></td>
<td>▪ Linked the NRCS mandate, policies and strategies on CBDRR.</td>
</tr>
<tr>
<td>Key Learning Points</td>
<td>▪ Understanding priorities areas of action and base for working with vulnerable communities;</td>
</tr>
<tr>
<td></td>
<td>▪ Key feature of site selection;</td>
</tr>
<tr>
<td></td>
<td>▪ NRCS scope, limitation and requirement for programme implementation;</td>
</tr>
<tr>
<td>Suggested Methodologies</td>
<td>▪ Interactive Lecture</td>
</tr>
<tr>
<td></td>
<td>▪ Group Discussion</td>
</tr>
<tr>
<td>Materials</td>
<td>▪ NRCS Mandate, Policies and DM Strategic Framework</td>
</tr>
<tr>
<td>Approximate Time</td>
<td>1 hour</td>
</tr>
</tbody>
</table>

CONTENTS OF THE SESSION

1.7 Importance of Reviewing NRCS Mandate, Policies and DM Strategy

It is crucial to review NRCS mandate, programme scope and limitations, and the overall DRR approaches to initiate overall CBDRR process and establishing its linkages with NRCS policy mandate and priorities. The CBDRR process starts with the site selection process which is done at two levels: at National Headquarters during the programme planning stage and at the District Chapters during the inception stage. It is important that prior to identifying target communities, a review of National Society mandate, programme scope and limitations and the capacity of the national society to implement DRR activities.

The review will provide better understanding and update the NRCS field staff on the relevance of the NRCS mandate, policies and DM strategy as basis for all DRR programmes.

1.8 NRCS Mandate, Policy and DM Strategy

**NRCS fifth Development plan:** NRCS has been continuously engaged in providing humanitarian assistance to the people affected by disaster and other consequences that force the population to move from their place of origin. Therefore, the displaced population also remains as one of the beneficiary groups for NRCS. Considering all the facts and practices, NRCS has been involving in the following areas of disaster management-Disaster Response (Relief and Recovery), Disaster Risk Reduction (Preparedness and Mitigation) and displaced population (people displaced as a consequence of conflict/ internal disturbances and refugees) through which CBDRR projects are guided. The fifth development plan considers following key component to base its actions

I. Programme designing based on the ground realities
II. Focuses on reducing vulnerability
III. Ownership and sustainability

NRCS DM policy: NRCS disaster management policy focuses or explains its mandate through four key areas- emergency response phase which focuses on relief management, post disaster recovery phase focusing on early recovery activities and risk reduction phase focusing on disaster risk reduction through community based disaster risk reduction, organizational preparedness and capacity building.

NRCS DM strategy: NRCS DM strategy has identifies four strategic direction which are: DM planning, disaster risk reduction, response and recovery to disaster. The second strategic direction specifically mentions disaster risk reduction as a strategic direction.
Module 4: SITE SELECTION

Session 2: Scope and Limitations of DRR Programmes

Learning Objectives
At the end of the session, the participants will have:
- Enumerated the ideal scope of DRR programmes;
- Identified the coverage and limitations of NRCS DRR programmes.

Key Learning Points
- DRR being focused on development has an endless list of interventions;
- NRCS DRR interventions are governed by its mandate, policy and DM strategy and most importantly, by its institutional capacity.

Suggested Methodologies
- Interactive Lecture
- Group Discussion

Materials
- Documentation of lessons learned and best practices from previous and other DM programmes;
- Evaluation reports of CBDP and DIPECHO supported programmes;
- DMRD Mid-term review report.

Approximate Time
30 minutes

CONTENTS OF THE SESSION

1.9 NRCS DRR action area

NRCS DRR actions area are guided and supported by institutional disaster management planning which includes risk awareness and assessment, knowledge development and management, public commitment and institutional framework, early warning systems and application of risk reduction measures. These action areas include all the intervention done both at National and community level through the preparedness projects and disaster response operation. NRCS disaster management strategy considers the CBDRR process as the approach to implement DRR projects in the communities. This incorporates risk reduction elements that addressed the associated risks in communities as identified by the communities themselves through the analysis of information coming from appropriately conducted vulnerability, capacity assessments and other specific assessments.

NRCS has considered establishing parameters to define its scope and limitation of the DRR programme which are guided by the disaster management policy and strategy.

1.10 Scope and Limitations of NRCS DRR Programmes

The scope and limitation of the DRR programme are articulated in this section to allow the NRCS field practitioner to understand its policy guidance and strategic directions to limit its actions within the broader frame of disaster risk reduction.

It is clearly explained and articulated in the CBDRR Training Manual and policy documents that the community situational analysis will be the guiding process to collect and analyze information as basis for
the community to develop their disaster risk management plans. The limitations (or parameters) explained in this section are mainly for the CBDRR projects, as there are other policy documents and guidelines to explain the interventions for the emergency response and recovery.

**Health and Hygiene:**
- CBFA / PHAST approaches;
- Latrine construction with NRCS providing; cement, seats, tools, and roofing for superstructure to site. Community to provide sand, stone and labor for local ring making and fitting under NRCS supervision;
- Supporting bed nets to most vulnerable families to mitigate the risk of vector born diseases
- Assistance to local schools for latrine and hand-washing improvements in coordination / negotiation with local education authorities.
- Conducting health awareness, nutritional and health camps from the support of local government;
- Training on health and hygiene and nutrition.

**Safe water supply:**
- Awareness on water –borne diseases and how to manage safe water supply, transportation and storage. Also concerned with latrine sitting, waste water disposal etc.
- Existing water source protection – sealing the pump, providing cement apron, fencing from animal use, separated animal supply, collection tank or pipe to tap etc.
- New water source development – tube well, gravity fed or springs for cluster housing only.
- Assistance to local schools for water supply in cooperation / negotiation with local education authorities.
- Supporting water filters to most vulnerable families to mitigate the risk of water born diseases.

**Food Security:**
- Awareness and support to farmers for better crop production and animal husbandry in cooperation with District agriculture office and the VDCs.
- Support to farmers on inputs of seeds and tools (could include improved seed varieties, alternative cropping).
- Small scale irrigation – provision of surface pump for communal farming use.
- Crop diversification and marketing – options explored and supported with piloting plots in cooperation with Agriculture Extension workers.
- Crop storage and food preparation;
- Strengthening local markets and promoting local products at local levels

**Livelihoods / Income Generation:**
- Strengthening of livelihood resources;
- Savings and credit schemes;
- Technical advice through third part referral;
Mitigation:
- Proper housing construction awareness
- Repair or maintenance of minor but essential footpaths;
- Small scale river bank establishments, landslide and river erosion control through bioengineering;
- Reforestation;
- Garbage and waste management for malaria and pest control as well as improved environment;
- Fire prevention and control;
- Improved cooking stove promotion

Disaster Preparedness:
- Establishment of CDRMOs and support for establishment of community centers;
- Training and equipments for CDRMO in disaster preparedness for response;
- Developing DRM plans and emergency response plans;
- Supporting to establish emergency funds and food grain drums
- Providing LSAR and FA equipments
- School based disaster preparedness activities
- Advocacy and networking

Early warning:
- Establishment of community based early warning systems with emphasis on using indigenous practices;
- Dissemination of early warning system emphasizing on interpretation of warning signals;
- Identification of safe heavens and routes;
- Evacuation drills

Organizational Preparedness:
- Organizational development support for capacity building, volunteer management and fund generation strategies.
- Training and equipments for NRCS chapters and HQ in disaster preparedness for response which includes basic first aid, light search and rescue and DDRT;
- Supporting communication equipments for emergency response;
- Establishing and strengthening the emergency operations center at HQ and DC based on operational needs;
- Supporting district chapters for improvement of warehouses and logistics systems;
- Develop disaster preparedness and response plans;
- Financial contributions to chapters to establish emergency funds.

Overall, NRCS DRR programmes do not cover the following as these are beyond its mandate, policy, strategy and institutional capacity:
- Building of access roads;
- Construction of hospitals and lying-in clinics;
- Provision of specialized medical equipments;
- Participation in political rallies or support to political, religious or sectarian activities;

This list is not exhaustive, additional items may be added or deleted from this list, all of which depends on amendments in the NRCS policy and strategy, and the institutional capacity.
Module 4: SITE SELECTION

Session 3: Site selection process at National HQ level

Learning Objectives
At the end of the session, the participants will be able to:
- Defined a basic site selection criteria;
- Explained the linked between the selection process with NRCS mandate, social inclusion and DRR approaches;

Key Learning Points
- Selection of target District for the a DRR programme is done at the national headquarters level;
- Consensus is needed between NRCS and the donor/partner on the criteria for selection and the actual selection of target districts.

Suggested Methodologies
- Interactive Lecture
- Group Exercise
- Group and plenary Discussion

Materials
- PowerPoint presentation for Session is attached.

Approximate Time
1 hour

CONTENTS OF THE SESSION

1.11 Concept of Site Selection

Site selection is the first step in the CBDRR process and is crucial in ensuring correct selection of target communities based on NRCS mandate, programme scope and limitations, and the overall DRR approach. Site selection is done at two levels: at National Headquarters during the programme planning stage and at the District Chapters during the inception stage. It is important that prior to identifying target communities, a review of National Society mandate, programme scope and limitations and the capacity of the national society to implement DRR activities should be initiated. At the NRCS Headquarters level, the site selection is done at identifying Districts which meets the criteria established. The site selection process at the NRCS Headquarters level is done through a meeting with the Partner / Donor to agree on the criteria and selection of the Districts.

The site selection process is basically guide by; the Mandate NRCS to address vulnerability, where ever these may exist; NRCS disaster management policies and DM strategic framework which outline the direction towards addressing vulnerability issues. At the National Headquarters level, the site selection is done at identifying Districts which meets the criteria established.

The foundation for setting the criteria should be;
1. The Mandate of NRCS to address vulnerability, where ever these may exists;
2. NRCS disaster management policies and strategic guidelines which outlines the direction towards addressing vulnerability issues;
3. The capacity of the NRCS through its disaster management department to implement a holistic approach in disaster management through disaster risk reduction;
4. The availability of District Chapters in the Districts to be selected;
5. The pattern of hazard / disaster events based on the frequency of NRCS response operations.
6. The capacity of the Partner / Donor to provide technical support

1.12 Minimum criteria and process for the district selection

The site selection process at the National Headquarters level is done through a meeting with the Partner / Donor to agree on the criteria and selection of the Districts. The output of this initial process is a list of Districts selected for the programme which are mutually agreed by the National Society and its Partner / Donor.

1. Responsiveness – To what extent will the programme address the needs, which needs and whose needs?
2. Coverage- To which extent NRCS intervention reaches to the specific target population and access to the service by the beneficiaries?
3. Appropriateness- Is the area selected is appropriate in the context, is the intervention appropriate is terms of vulnerability reduction in long term and other influencing factors?
4. Relevance – Is the DRR programme relevant according to context of the District? Is it within the NRCS mandate?
5. Effectiveness – Does the NRCS have the technical capacity and resources (human, organizational, material) to implement this programme? Are the District Chapter / Branch and the community willing to participate in the implementation of the programme?
6. Inclusion – Are issues of caste, ethnicity, gender and disability integrated in the criteria?

The site selection process is a step-wise approach and requires constant dialogue between the NRCS and its Partner / Donor. This is to ensure a transparent and objective selection of target areas of the programme. In cases where there are existing criteria for selection, this must be reviewed by the NRCS and Partner / Donor to have a consensus and militate against biases.

The selection process of Districts where the programme will be implemented shall follow the step-wise process enumerated below:

1. Review and consensus between Partners on the criteria set forth for selection of target districts; based on NRCS mandate, policies, strategies and capacity;
2. Review of secondary data available from the record of the NRCS response operations, information bulletins, DMIS entries. Likewise from the government agencies such as the National Disaster Relief Committee (NDRC). Other secondary sources of information may include news articles from the media organizations, assessments and reports from other partner agencies both local and national NGOs;
3. Review of the secondary data (mainly statistics) from the government publication and district profile;
4. Matching secondary data with the agreed criteria and selecting the Districts based on these merits;
5. Meeting with Partner / Donor to have a mutual agreement on the Districts selected, outlining the basis as to how these met the criteria;
6. After the Districts selected have been agreed upon, a formal correspondence will be sent by the NRCS to the District Chapter informing them of the selection.

The output of the process will result into the selection of the district based on programme objectives.
Module 4: SITE SELECTION

Session 4: Site Selection Process at District Chapter Level

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will be able to:</th>
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<tbody>
<tr>
<td></td>
<td>Defined the basic site selection criteria at the district chapter;</td>
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</table>

| Key Learning Points | Selection of communities are done at the district chapter level; |
|                     | There must not be any short cut in the community selection process to mitigate against biased selection of communities. |

<table>
<thead>
<tr>
<th>Suggested Methodologies</th>
<th>Interactive Lecture</th>
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<tbody>
<tr>
<td></td>
<td>Group Exercise</td>
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<td></td>
<td>Group and plenary Discussion</td>
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<table>
<thead>
<tr>
<th>Materials</th>
<th>Template for the community selection</th>
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<tbody>
<tr>
<td></td>
<td>Template for ocular inspection report</td>
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</table>

| Approximate Time | 1 hour |

CONTENTS OF THE SESSION

1.13 Site selection at district chapter

Once the Districts are selected at the National Headquarters level, a more thorough analysis is made through a site selection workshop at the District Chapter level. A team composed of National Headquarters senior DM staff together with a representative of the Partner / Donor (when possible) will conduct a workshop together with the District Chapter executive committee to go through a more comprehensive community selection process.

Before starting the community selection process it is important to notice that all the members of the executive committee should have understanding of existing hazard patterns at the most of the communities (VDC) and basic vulnerability and capacity factors. Besides, the facilitator needs to collect following documents and need to review before starting the workshop.

1. Review of secondary data available from the record of the NRCS chapter response operations
2. Secondary sources of information from the district profile developed by district development committee
3. Getting basic understanding of the VDC level hazards profile, physical vulnerability and capacities

The basic parameter for selecting, ranking and sorting community is as follows;
1. The most disaster hit VDC
2. Dalits/disadvantaged and other socially excluded and marginalized population
3. Illiteracy
4. Lack of physical facilities and services
5. Morbidity and mortality due to disaster and water and sanitation related diseases
6. Non or low existence of other development agencies/NGOs
7. Willingness to participate in the project
1.14 Community selection process

The process will go through a series of ranking and sorting exercises, following this sequence of steps:

1. National Headquarters staff provides an overview of the programme objectives, scope and limitations; including the criteria and process on how their District is selected.
2. Criteria are presented based on parameters.
3. District Chapter officers identify the top 20 VDCs / Villages that fits into the criteria.
4. The 20 villages identified are sorted according to the details of the parameters and then ranked according to a point system.
5. The result of the exercise is a rank of 1 to 20 with number 1 as the priority. This is then narrowed down to the top 5 or top 10 or top 15 according the programme scope.
6. After having narrowed down to the number of villages, the same process is repeated for the selection of target communities.
7. Following this process, an ocular visit will be made by the District Chapter together with the National Headquarters staff and donor representative (when available) to physically verify the communities identified in the matrix sorting and ranking exercise.
8. An official communication is sent by the District Chapter / Branch to the National Headquarters regarding the final selection of the target communities.

NRCS has developed a computer based matrix to rank and sort selected communities with set parameters. Once the workshop concludes the final selection through exercise, a visit needs to organize in the pre-selected community to verify the status of the community against set parameters. As the output of process a final matrix and brief field report need to submit to the HQ to allow HQ make final decision.
Module 5

Rapport Building and Understanding the Community

Content Areas:

1. Rapport Building
2. Understanding the Community

Introduction to the Module:

The module discusses the how to of rapport building and tools to understand the community, this module is the second step in the CO/CBDRR process. The first session present ways on how to develop rapport with the community as a process of being accepted by the community as one of their own and not be treated as an outsider. The second session provides the tools to understand the community both as part of the programme intervention through baseline survey and by an informal process of observing everyday community life. Both sessions are interlinked with one another.
### Module 5: Rapport Building and Understanding the Community

### Session 1: Rapport Building

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
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<tbody>
<tr>
<td></td>
<td>• Articulated the importance of rapport building;</td>
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<tr>
<td></td>
<td>• Explained practical and context based rapport building initiatives.</td>
</tr>
</tbody>
</table>

| Key Learning Points | • Rapport building as key process to start community organizing |
|                     | • Rapport building builds trust and confidence, it is as community integration process |

| Suggested Methodologies | • Interactive Lecture |
|                        | • Role plays |
|                        | • Group Discussion |

| Materials | • Power point presentation for the Session is attached. |
| Approximate Time | 1 hour |

### CONTENTS OF THE SESSION

1.1 Rapport Building

Rapport building is the second step in the community organizing process. This step covers community entry, building trust and confidence and gaining acceptance from the community. Rapport building is an informal and initial approach to integrate with the community, as a major building block, the success and failure of the programme implementation depends on this step. A relationship based on trust and confidence is the key to facilitate the organizing of a community.

1.2 How to build rapport

There is no sequential rapport building process as this is very much an informal process that depends upon the qualities of the community organizer and the context of the community. Rapport building may start individual levels and gradually expand at a communal level. Some of the approaches to building rapport with the community are listed below:

- Living in the community;
- Making home visits;
- Maintaining good interpersonal relationships;
- Meeting and discussion with community natural/social leaders;
- Being transparent and open about the purpose of your entry to the community;
- Participating in the daily life in the community, as well as community activities and cultural events;
- Listening to local people about their life, issues and problems;
- Learning new skills from local people;
- Participating in communal works, meetings and gatherings;
- Respecting community norms and traditions.
• Identifying and understanding informal structures within the community with regard to social, political, economic and cultural aspects;
• Learn the history of the community by listening to stories from the elders of the community.

Qualities and personal behavior of a community organizer are very important in establishing confidence and building trust. Some of the proper practices to be observed:

• Show humbleness;
• Do not preach nor give any promises which you cannot deliver;
• Respect local culture and tradition but be wary of rights abuses;
• Exercise patience as people in the communities have their own practices;
• Have interest in what people have to say;
• Be observant rather than critical;
• Show confidence and trust to the community people.
Module 5: Rapport Building and Understanding the Community

Session 2: Understanding the community

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
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<tbody>
<tr>
<td></td>
<td>• Enumerated ways to better understand the community;</td>
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<tr>
<td></td>
<td>• Shared their experiences from other programme implementation on ways to understand the community.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Key Learning Points</th>
<th>It takes time to understand the community as there is no single reality in a communal situation;</th>
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<tbody>
<tr>
<td></td>
<td>• Understanding the community is key to building rapport by focusing on commonly shared concerns of the community.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Suggested Methodologies</th>
<th>Interactive Lecture</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Group Discussion</td>
</tr>
</tbody>
</table>

| Materials | Power point presentation for the Session is attached. |

| Approximate Time | 1 hour |

CONTENTS OF THE SESSION

1.1 Understanding community

The community is a diverse collection of different interests, social groups, and sectors. It is not always easy to fully understand the real context of the community unless it is viewed from an insider’s perspective. As such, understanding the community is a major factor in building rapport and provides a much larger perspective when conducting the community situational assessment.

To understand the community, the community organizer has to

- Social groups
- Cultural arrangements
- Economical characters
- Spatial characters
- Vulnerable household and groups
- Social dynamics
- Basic service and facilities available in the community
- General socio-economic status or character of the community.

1.2 Tools for understanding community

NRCS is using these practical tools to understand the community;

1. Formal and informal gatherings/interactions in the community
2. Community immersion
3. Participation in cultural events
4. Coordination meetings with local authorities
5. Public awareness campaigns
6. Baseline study
7. Assessments

Formal and informal gatherings/interactions in the community: The community organizer should always make ways to be part of the community formal and informal gatherings as these is where people usually discuss communal issues and other concerns of the community.

Community immersion: community immersion can be done by living with the community, spending time with community, visiting weekly bazaars (hat bazaar) and talking with traditional healers and elders, and participating in communal activities of the community. This directly relates to rapport building.

Baseline study: The baseline is a set of questionnaires developed to determine the existing situation in a community with regard to vulnerability and capacity, done based on programme objectives. This also sets the benchmark at the onset of programme support which is used as reference point for end-term evaluation. Since the baseline survey focuses on several aspects of community life down to the household level, it promotes better understanding between the NRCS field staff and the individual households in the community. It is also a chance to visit each and every household and discuss their family situation at a more interpersonal level.

Coordination meetings: Coordination meeting can be held with local authorities and other stakeholders working in the community to get additional secondary information. This also helps to establish linkage among the different stakeholders working with the community. However, NRCS field staff should maintain an open mind and interpret the secondary information from an impartial perspective.

Public awareness campaigns: This provides an opportunity for the NRCS field staff to interact with the community while discussing specific issues; especially relating on water, sanitation, hygiene, nutrition, and reproductive health.

Cultural events: Being part of the cultural events in the community allows understanding the cultural values and traditions of the community. The cultural events should be linked with cultural festivals and rituals like; Teej, Holi, Loshar, Maghi, Dashain, Tihar, Udhuali, Ubhuali and Gaura among others.
Module 6

Community Situational Analysis

Content Areas:

1. Definition, Process, Methods and Tools
2. Planning and Preparation for Conducting Community Situational Analysis
3. Usage and Sequence of Assessment Tools
4. Conducting the Vulnerability and Capacity Assessment
5. Introduction to Participatory Hygiene and Sanitation Transformation
6. Analysis and Reporting

Introduction to the Module:

The module covers the critical tools of community situational analysis in DRR programmes. The first session is the introduction to community situational analysis and provides a differentiation between processes, methods and tools used. Session two provides guidance on the prerequisites in conducting the assessments. The third session guides the practitioner on how to use the different tools in sequence. VCA is comprehensively covered in Session Four, including methods, tools and how these are used to complement each other. PHAST is introduced to provide the practitioner an overview of the importance of these assessments in support of the overall VCA process. The last session provides the technique and reporting template for analysis and reporting.
## Module 6: Community Situational Analysis

### Session 1: Definition, methods, process and tools

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
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<tbody>
<tr>
<td></td>
<td>• Explained the importance of community situational analysis;</td>
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<tr>
<td></td>
<td>• Articulated on the components of vulnerability and capacity assessments.</td>
</tr>
<tr>
<td>Key Learning Points</td>
<td>• Community situational analysis is not limited to VCA but is supported by other assessment tools which complements each other;</td>
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<tr>
<td>Suggested Methodologies</td>
<td>• Interactive Lecture</td>
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<td></td>
<td>• Group Discussion</td>
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<td>• Group exercise</td>
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<tr>
<td>Materials</td>
<td>• Sample power point presentation for the Session is attached.</td>
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<tr>
<td></td>
<td>• VCA Manual of IFRC (full set, 3 booklets)</td>
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<tr>
<td>Approximate Time</td>
<td>2 hrs</td>
</tr>
</tbody>
</table>

### CONTENTS OF THE SESSION

#### 1.15 Importance of community situational analysis: evolution, differences and tools and approaches for NRCS

Community situational analysis is the third step in the community organizing process which calls for the direct participation of the community in the risk assessment process.

Whatever is the context of the communities, it is important that communities play the fundamental role to the risk assessment and planning process. The CSA cannot be considered as standalone tool rather it is combination of different tools and approaches that are used based on the context and needs.

The community development practice started using participatory tools with different names and with different methodology, all of which are centered on community participation. The practice of using community situation analysis was started in the late 60's and has continually developed. This has been known in other different names like rapid rural appraisal, participatory rural appraisal, participatory learning and action, participatory risk assessment, hazard vulnerability and capacity assessment and vulnerability and capacity assessment.

The Red Cross movement started using hazard, vulnerability and capacity assessment as community situational assessment tool during late 90's. However the practice was limited to collecting information relating with existing natural hazards, physical capacity of the community and basic vulnerability factors of the community. The HVCA was carried out by the staffs and volunteers of the National Society and there were no linkages on the information collected and planning steps. Besides, there was limited participation from the community as it was done only as a consultation. The Red Cross movement
realized these facts, learning form the past developed vulnerability and capacity assessment-VCA tool with defined steps and methodology for conducting assessment, analyzing and planning with the community. The Red Cross movement started building policies and strategies and capacities of its staffs and volunteers to integrate VCA as coherent tools for development works and applying in the different developmental and emergency response works.

However, it is obvious that there is as such no difference on the concept-these tools and approaches are for assessment, are participatory and planning tools. The difference is only in the names-which happened due to the background of the field practitioners, institution or organization that is practicing or using it.

1.16 Community Situational Assessment use in NRCS Context

NRCS started HVCA in the late 90's as introduced by the Red Cross movement. HVCA was primarily used for the community based disaster preparedness projects. NRCS used the HVCA as a project activity to be carried out but had no linkages with analysis and planning. CBDP project staff conducted the HCVA in consultation with the community. Analysis and planning were done by the project staff themselves without any community participation. These created a misconception of community based approach which influences NRCS DM programming up to 2007.

Learning from lessons of the past implementation of CBDP, in 2008, NRCS has been using VCA tools a process of gathering information using various participatory tools and methods to understand the level of people’s vulnerability to hazards and their capacity to cope with hazard events. VCA is also used for increasing community’s awareness of risks and basis for community action planning. However it has been realized that VCAs can only provide a general overview of vulnerability and capacity factors. As the result of learning, NRCS has started in 2010 to include the conduct participatory hygiene and sanitation transformation process for water/sanitation/hygiene interventions, livelihood assessments to identify support in strengthening livelihoods and community based food security assessments for small scale food security interventions; as supporting tools for VCA.

VCA is relatively new in NRCS, having properly practice the whole only in 2008. Since then, VCA has become the primary approach in conducting participatory risk assessments and engaging the community in indentifying their level of vulnerability and capacity.

Based on the information and analysis resulting from the VCA, NRCS conducts additional assessment focusing in water/sanitation/hygiene, livelihood and food security. These three areas are the most common development concerns in all districts of Nepal. The training manual includes VCA in detail, while PHAST and livelihood covers only introductory part. PHAST and livelihood assessments are to be covered in individual courses. The purpose of including introductory sessions is to acquaint the participants on the importance of sector specific assessments to complement the VCA process.
1.17 Vulnerability and Capacity Assessment

VCA is a process of gathering information using various participatory tools to understand the level of people’s vulnerability to hazards and their capacity to cope with hazard events. VCA is;

- a methodology for investigation;
- means of gathering information in participatory way;
- increase community’s awareness of risks;
- basis for community action planning.

VCA terminology is the numbers of basic terms that come up repeatedly throughout the VCA process. To ensure that there is clarity in the meaning of terminologies used, definitions in the context of a VCA are as follows:

- Methodology: An entire process or approach which brings together specific methods and tools to support the overall process.
  - Hazard assessment;
  - Vulnerability assessment;
  - Capacity assessment.
- Process: A way of meeting an objective by implementing a series of planned steps.
- Method: A way of gathering information to complement VCA tools.
  - Focus group discussion
  - Ranking
  - Semi-structured interviews and
  - Direct observation
- Tool: A means or instrument to accomplish a specific task. It includes;
  - Mapping (spatial, hazard, vulnerability, resource)
  - Transect walk
  - Seasonal Calendar
  - Community Baseline Questionnaire
  - Review of Secondary Data
  - Historical Profile
  - Hazard Matrix
  - Vulnerability Matrix
  - Capacity Matrix
  - Livelihood Analysis
  - Social and Institutional Network Analysis

1.18 Key Features of Vulnerability and Capacity Assessment

Vulnerability and capacity assessment covers hazard, vulnerability and capacity assessments. The hazard assessment is to identify status of prevalent hazards and its relation with existing risk, vulnerability assessment is about the identifying different vulnerability factors that put peoples at risk, while capacity assessment is about identifying existing capacities and coping mechanism of the community.
Hazard Assessment is the methodology of studying the nature of hazards determining its essential features and impact. The key features of the hazard assessment are:

- Type of hazard: natural or manmade
- Warning signs: scientific or indigenous indicators that a hazard event will occur (cloudy skies, movement of animals, temperature, weather pattern, etc.)
- Force: intensity or magnitude
- Speed of onset: rapidity of arrival and impact (very fast, very slow, etc.)
- Frequency: how often does the hazard strikes (once a year, every month, once in 10 years, etc.)
- Duration: how long does the hazard event lasts (1 day, 2 hours, 60 seconds, etc.)

Tools for hazard assessment
- hazard matrix
- hazard map
- historical profile
- seasonal calendar
- transect walk

Vulnerability assessment is the methodology to identify what elements are at risk per hazard type, and to analyze the causes of why these elements are at risk. The key features of the vulnerability assessment are:

- Types of hazard: what are they, manmade or natural
- Element at risk: who and what are at the element of risk
- Impact of hazard at the element at risk: what might happen to element at risk, deaths, injuries etc
- Characteristics of elements at risk that contribute to vulnerability: what is the vulnerability or what is the character of the element at risk, i.e. disability, settlement close to the river banks etc
- Vulnerability factors: what is the factor of vulnerability, i.e. physical, social and attitudinal

Tools for vulnerability assessment
- vulnerability matrix
- vulnerability mapping
- community baseline data
- household / neighborhood vulnerability assessment
- historical profile

Capacity assessment is the methodology to determine how people cope in times of hazard events and their capacity to prepare for, respond and recover from the impact hazards. The key features of the capacity assessment are:

- Types of hazard: what are they, manmade or natural
- Element at risk: who and what are at the element of risk
- Coping mechanism: how people cope with existing hazards, what are they?
- Resource used: what are the resource used by the people to cope with disasters
• Capacity factors: what is the factor of capacity, i.e. physical, social and attitudinal

Tools for capacity assessment
• capacity strategy assessment matrix
• resource mapping
• institutional and social network analysis
• livelihoods and coping strategies analysis
• resource mapping

Detailed reference materials are available from the IFRC VCA Manual (set of three booklets).
## Module 6: COMMUNITY SITUATIONAL ANALYSIS

### Session 2: Planning and Preparation for Conducting Community Situational Analysis

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
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<tbody>
<tr>
<td></td>
<td>- Practiced the planning and preparation for conducting the VCA;</td>
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<td></td>
<td>- Formed the team with individual roles clearly defined during the conduct of the VCA in the community;</td>
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<tr>
<td></td>
<td>- Gathered the logistics needed for the field practicum.</td>
</tr>
</tbody>
</table>

| Key Learning Points | Protection and planning avoids confusion during the actual conduct of the VCA; |
|---------------------| Proper tasking helps streamline the use of tools and maintaining the interest of the community participating in the VCA; |
|                     | It is crucial to have a specific task assigned to focus solely on documenting the whole VCA process as these will be used as a reference by the community during the verification and analysis of the VCA results. |

<table>
<thead>
<tr>
<th>Suggested Methodologies</th>
<th>Interactive Lecture</th>
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<tbody>
<tr>
<td></td>
<td>Group Discussion</td>
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<tr>
<td></td>
<td>Group exercise</td>
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<table>
<thead>
<tr>
<th>Materials</th>
<th>PowerPoint presentation for the Session is attached.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Checklist for VCA preparations is attached.</td>
</tr>
</tbody>
</table>

| Approximate Time | 1.5 hours |

## CONTENTS OF THE SESSION

### 1.1 Preparing and Planning for VCA

The preparation and planning prior to conducting the VCA serves to clarify what is to be done during the actual conduct of the VCA. This helps the team to be organized according to tasks, schedules, logistics and other administrative needs. This will also provide a benchmark for reviewing the conduct of the VCA during the post-VCA debriefing. Having everything in place will help minimize potential problems and confusion during the actual conduct of the VCA in the community.

The tasks needed in the preparation and planning includes:

1. Identify and communicate to the community where the VCA will be conducted;
2. Selection and training of staff and volunteers to conduct the VCA;
3. Identification and acquisition of necessary materials;
4. Assigning tasks to team members.
1.2 Preparing for VCA

Organizing a field activity is the mirror to reflect what we need to do for conducting VCA in the field, including the distribution of tasks. All members should attend a planning meeting to address the key field planning requirements and assign tasks as assigned by the VCA team leader. The VCA team leader can give multiple tasks to anyone of the team members based on his capacity

- Who will act as the overall leader/spokesperson for the day?
- Who will contact the community and explain the purpose of the VCA?
- Who will organize an orientation session about the community for VCA members?
- When is the best time to meet with the community (daytime, evening, weekend)?
- What will be the agenda or schedule of the day?
- What methods will be used and who will undertake each one (formation of teams)?
- What materials will be needed (tape, flipchart paper, etc.)?
- What questions will be asked and to whom (interviews, focus groups, etc.)?
- How long will the exercise last (timelines)?
- Who will oversee logistics (make a check list)?
- Lunch/snacks or refreshments for community members (if you decide to provide them);
- Identification (to identify yourselves as Red Cross);
- How will you thank the community?
- A return visit, when?
Module 6 : COMMUNITY SITUATIONAL ANALYSIS

Session 3 : Usage and Sequence of VCA Tools

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
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<tbody>
<tr>
<td></td>
<td>▪ Differentiated the methods from the tools;</td>
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<tr>
<td></td>
<td>▪ Identified the specific use of each tools and the correct methods to</td>
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<tr>
<td></td>
<td>accompany the use of each tool;</td>
</tr>
<tr>
<td></td>
<td>▪ Enumerated in order the sequence for the use of tools.</td>
</tr>
</tbody>
</table>

| Key Learning Points | ▪ Methods should not be confused with tools, instead methods should be used as |
|                    | accompaniment in the use if each specific tool;                               |
|                    | ▪ Using the VCA tools in sequential order will enable a more systematic build |
|                    | up of information and makes the triangulation of information easier.          |

| Suggested Methodologies | ▪ Interactive Lecture                                                        |
|                        | ▪ Group Discussion                                                            |
|                        | ▪ Group exercise                                                             |

| Materials | ▪ PowerPoint presentation for the Session is attached.                        |
|           | ▪ Templates for the matrix of each VCA methodology are attached.              |

| Approximate Time | 8 hrs                          |

CONTENTS OF THE SESSION

1.19  VCA methods and tools: basic definition, understanding the differences and sequence of tools

VCA method is defined as a way of gathering information that complements to the entire participatory (VCA) tools while tool is explained as an instrument to accomplish a specific task related with specific information collection or gathering process. (See M6S1 for details). It is important to visualize in this section that people often confused about the method and tools as they describe these two 'terminology' as one, however these two 'terminology' have their specific definition or roles to play. In fact, VCA methods complement to the VCA tool, explaining, while using VCA tools one can use or integrate VCA method as to make information collection process more effective and organized. It is also important to know how to use the VCA 'methods' and 'tools' based context and types of information.

VCA tools have its own specific purpose, used to gather specific information. NRCS VCA process considers following sequential step to use the participatory tools.

Step 1-setting or identifying base information-community baseline information/data and review of secondary data

Step 2-Identifying existing hazard, risk and identifying vulnerability condition and coping capacity-Hazard mapping, vulnerability mapping, resource mapping, spatial mapping and transect walking
1.20 VCA Methods

1. Semi – Structured Interview (SSI):
SSI is a guided interview in which only a few questions are decided upon ahead of time. This interviewing technique can be used both to give information (such as the meaning of vulnerability) and to receive information (such as finding out what are people’s vulnerabilities).

Use the tool to:
- Gain a deeper understanding of the issue than is possible with a questionnaire.
- Examine values and attitudes as well as understanding and knowledge.

2. Forms of Interviews (ITV):
- Key informant interviews – Talking to people who can provide specialized information which might not be known to the general community, for example the village nurse or doctor.
- Individual interviews – One-on-one interviews are useful when the subject is sensitive or difficult to talk about in groups.
- Group interviews – Used to gather information about the community from a large body of knowledge.

How to use the tool:
Step 1: Decide who will do the SSI
Step 2: Decide who will be interviewed
Step 3: Decide on the topic and guide questions
Step 4: Conduct the interview
Step 5: Record the information
Step 6: Analyze the information
Step 7: Discuss the results

3. Ranking:
Ranking means placing things in order. In ranking, a group of similar items is evaluated according to set criteria and assigned a value (1 to 5)

Use the tool to:
- Quickly identify problem areas and preferences of the community.
- Have the community themselves decide what a priority to be addressed is.
- Assign a value to a wide range of variables.

How to use the tool:
Step 1: Identify the items to be ranked
Step 2: Identify the criteria for how the list will be ranked
Step 3: Identify the priorities
Step 4: Verify priorities in ranking
Step 5: Analyze the results

4. Focus group discussion:
A qualitative information-gathering tool whereby a group of selected individuals, guided by a facilitator, are invited to give their thoughts and views on a specific issue.

Use the tool to:
- Identify causes of and possible solutions to problems in implementing a project.
- Get an idea of the way specific groups of people think about a particular matter.
- Generate discussion on a specific topic, such as family planning needs, road safety, gender participation, disaster preparedness, climate change.

How to use the tool:
Step 1: Determine the purpose of the focus group discussion
Step 2: Decide who to include
Step 3: Take minutes of the discussion
Step 4: Encourage equal participation
Step 5: Summarize the points made

5. Direct Observation: Direct Observation is a way of observing objects, people, events and relationships. It is used throughout the assessment process.

Use the tool to:
- Document behavior, physical aspects of a community and activities.
- Fill in information “gaps” that cannot be filled through other tools.
- Support observations and conclusions made while using other tools.

How to use the tool:
Step 1: Decide what are areas will be the focus of your observation. (Demographics, Infrastructure, health, daily activities, visible vulnerabilities and capacities)
Step 2: Assign tasks
Step 3: Record the data
Step 4: Summarize the information
1.21 VCA Tools

1. Community Baseline Information:
   Community baseline information is a checklist in questionnaire form to assess the existing situation in a community with regard to vulnerability and capacity (see M5S2 for further details).

   How to use the tool:
   Step 1: Study the questionnaire
   Step 2: Use question and answer method for interview (avoid leading questions, be precise and objective)
   Step 3: Record the information
   Step 4: Analyze the information

2. Review of Secondary Data: A review of secondary sources means collecting information that already exists, usually in the form of written reports or documents.

   Use the tool to:
   - Get an overview of the situation based on the work already done by others.
   - Cross-check information gathered by other means.
   - Get ideas of the challenges facing the community and a history of what has been done so far to address them.

   How to use the tool:
   Step 1: Determine what information you want to collect.
   Step 2: Make a list of potential sources of information (project documents, reports, newspapers, library sources, other NGOs, Government)
   Step 3: Collect the information
   Step 4: Analyze the information

3. Hazard Mapping: Mapping is a way of setting out in visual form the resources, services, vulnerabilities and risks in a community. Maps can be used to indicate the location of:
   - Health clinics, water sources, schools, houses and other infrastructures
   - Identify locations which are prone to hazards
   - Indicating which group is vulnerable

   Use the tool to:
   - Find out about the resources that exist and identify appropriate activities
   - Gain a common understanding of issues facing the community.
   - Stimulate discussion on resources and risks in the community.
   - Obtain general information relevant to specific issues.
   - Assist community groups with planning and designing projects.

   How to use the tool:
   Step 1: Determine who will participate
Step 2: Decide kind of map will be drawn (hazard map, vulnerability map, spatial map, capacity/resource
Step 3: Record the data
Step 4: Summarize the information

4. Transect Walk: A transect walk involves walking through the community to observe the people, the surroundings and the resources. The tool is even more effective when used in the company of community members.

Use the tool to:
- Build trust with the community by being visible.
- Cross-check oral information.
- To see firsthand the interactions between the physical environment and human activities, behavior, values, attitudes, practices and capabilities over space and time.
- To identify issues that might be worth further exploration.
- To identify danger zones, evacuation sites and local resources used during emergency periods, land use zones, health issues, commercial activity in the community.
- To identify problems and opportunities, which may include areas such as:
  - housing or sanitary conditions;
  - food available and sold in open-air markets;
  - informal street commerce;
  - roles of men, women and children

How to use the tool:
Step 1: Identify the route to be taken
Step 2: Identify what you need to look for in the walk (social environment, physical environment, neighboring communities)
Step 3: Use direct observations and spot interviews
Step 4: Record and summarize the information

5. Historical profile: Historical profiles are tools for gathering information about what has happened in the past. It can track changes in the environment and community behaviors and shed light on causal links.

Use the tool to:
- Get an insight into past events, such as hazards, and what changes have occurred over time.
- Gain an understanding of the present situation in the community
- Gain an understanding of how things may continue to change in the future (trends).
- Make people aware of changes and present perceptions.
- Serve as a basis for discussions on future programmes or projects within the community.

How to use the tool:
Step 1: Identify areas of interest
Step 2: Select the participants
Step 3: Conduct a group discussion (major hazards and their effects; changes in land use; changes in land tenure; changes in food security and nutrition; changes in administration and organization)
Step 4: Record and summarize information

6. Hazard matrix- see M6S1 for details

7. Seasonal Calendar: A seasonal calendar helps to explore the changes taking place in a community over the period of one year. It can be used to:
   - show weather patterns,
   - floods or periods of drought,
   - social and economic conditions,
   - public events such as carnivals, holidays and festivals,
   - seasonal activities such as harvesting

Use the tool to:
   - Find out what activities take place in different seasons.
   - Identify people’s workload at different times of the year.
   - Compare variations in availability of resources through the year, such as food, water and income.
   - Examine the local relationship between climate and natural disasters.

How to use the tool:
Step 1: Set the timeline for the calendar
Step 2: Determine the categories to be mapped
Step 3: Determine peak and low seasons
Step 4: Record and summarize information

8. Livelihood analysis: Livelihoods analysis will help to identify the community’s main sources of income to design community-based activities that can protect and strengthen livelihoods, making the communities more resilient and capable of withstanding the impact of particular hazards.

Use the tool to:
   - Understand how people obtain their basic needs and any additional income.
   - To indicate the strength and resilience of people’s livelihoods with respect to hazards.

How to use the tool:
Step 1: Identify livelihood activities
Step 2: Identify community assets and resources
   - Natural—land, water supply, farmlands, forests, animals, etc.
   - Physical – tools, equipments, infrastructure, transport, electricity, etc.
   - Financial – savings, access to credit, remittances
   - Human – labor and skills
   - Social – organizations (religious, civic, political)
Step 3: Identify the hazards that threatens the resources
Step 4: Record information
Step 5: Analyze information with the community

Livelihood Analysis Matrix:

<table>
<thead>
<tr>
<th>Livelihood activities</th>
<th>Available resources for livelihood</th>
<th>Hazards that threatens these resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Farming</td>
<td>Land, cattle, grains, seeds,</td>
<td>floods, landslides</td>
</tr>
<tr>
<td>Fishing</td>
<td>Boat, fishing nets</td>
<td>floods</td>
</tr>
</tbody>
</table>

9. Stakeholder analysis: This tool uses a diagram to show key organizations, groups and individuals in a community, the nature of the relationships between them and the perceptions that people have of their importance.

Use the tool to:
- Understand the perceptions that local people have of the role and significance of various organizations within the community.
- Stimulate discussion which may lead to the identification of the role each organization can play in time of disaster.
- Gather information on how well the organizations function and how well they coordinate with one another.
- Identify which organizations, groups and individuals play an important role in times of disaster and in community-level decision-making mechanisms.

How to use the tool:

Step 1: Become familiar with the names of the organizations in advance.

Step 2: Ask the participants to develop a set of criteria for determining the importance of an organization and to rank each one according to these criteria.

Step 3: Ask the participants to what extent the organizations are linked to each other and note the kind of relationship between the organizations.

Step 4: Draw a circle to represent each organization or group. The size of the circle indicates the organization’s importance. The distance between the circles reflects the relationship between the organizations.

Step 5: Continue with a focus group discussion on the history of the organizations identified and the activities they have undertaken in the community.

Step 6: Record and summarize information.

10. Coping Capacity assessment: A way of assessing coping strategies through semi-structured interviews on what people do in order to cope with the impact of the hazards they have encountered in the past.

Use the tool to:
- Assess the community’s capacity to cope with hazard events.
How to use the tool:
Step 1: Identify the hazards in the community
Step 2: Conduct semi-structured interview on how the community cope with each hazard
Step 3: Record and summarize information

Coping strategy assessment Matrix:

<table>
<thead>
<tr>
<th>Hazards</th>
<th>Coping Strategies</th>
</tr>
</thead>
</table>
| Drought          | • taking water from permanent water sources in other villages  
|                  | • seeking employment and livelihood opportunities outside the GN  
|                  | • stocking food from previous harvests                  
|                  | • taking the cattle to adjacent water reservoir to access green fodder and water  
|                  | • digging dried the riverbed for water                   |
| Animal attacks   | • trapping animals                                      
|                  | • use of indigenous medicines                           
|                  | • bush burning                                          
|                  | • hospitalization of those bitten                       |

11. Problem tree analysis: The problem tree is a flow diagram which shows the relations between different aspects of a particular issue or problem. This tool can be used during the situation analysis or community risk assessment

Use the tool to:
- Direct participants towards analysis of the situation and to build up a picture of the major problems the community faces.
- Identify the local major problems and vulnerability as we as root causes and effects
- And ultimately look for the root causes that need to be addressed to reduce vulnerability.

How to use the tool:
Step 1: From the information gathered through the use of other tools and interviews, various concerns and problems have already been identified.
Step 2: Give participants small pieces of paper and ask them to write down one major problem on each piece of paper and then stick these on the wall
Step 2: Ask two or three volunteers to group the problems according to similarity or inter-relationship.
Step 3: Now the drawing of the “problem tree” can start: the trunk represents the problems, the roots are the causes and the leaves are the effects.
## Module 6: COMMUNITY SITUATIONAL ANALYSIS

### Session 4: Conducting the Vulnerability and Capacity Assessment

| Learning Objectives | At the end of the practical session, the participants will have:  
|---------------------|------------------------------------------------------------------  
|                     | ƒ Conducted a full VCA in a target community;  
|                     | ƒ Analyzed the results of the VCA with the community;  
|                     | ƒ Debriefed about their experience in using the methodology, process, methods and tools of the VCA.  
| Key Learning Points | ▪ The practicum part of the VCA should be conducted only in communities where there is an ongoing DRR programme, avoid practicing the VCA in communities which are not targeted for DRR programmes as the community will end up with raised expectations and as laboratory rats.  
|                     | ▪ It is pointless to train in VCA if the training is not accompanied by the practicum part as the process will not be internalized by the participants.  
| Suggested Methodologies | ▪ Group exercise  
|                       | ▪ Group Discussion  
|                       | ▪ Group presentations  
| Materials | ▪ Stationary supplies for the VCA  
| Approximate Time | 16 hours  

**READ ME NOTES:**

The facilitator will provide guidance on how the practicum of the VCA will be conducted in the actual community where a DRR programme exists. It is very important to remember that the practicum must never be done in a community which will not benefit from DRR programme support due to the following ethical and practical reasons:

- a. Communities are composed of human beings with a rational mind and emotions, they are not laboratory rats to be used for experiments;
- b. It is pointless to have a VCA in there are intention to address the results of the VCA;
- c. The presence of NRCS staff and volunteers in the community, gathering people and asking many questions will raise too much community expectation;
- d. Leaving the community without any intention of addressing their problems will create animosity towards NRCS;
- e. It will necessarily disturb their daily work and activity schedules;
- f. It insults the communities' dignity and violates ethical standards in humanitarian work.

The field practicum is basically the application of the VCA methods and tools presented in the previous sessions.
Module 6: COMMUNITY SITUATIONAL ANALYSIS

Session 5: Introduction to Participatory Hygiene and Sanitation Transformation

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
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<tbody>
<tr>
<td></td>
<td>• Elaborated on conceptual framework of PHAST;</td>
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<tr>
<td></td>
<td>• Identified the various steps in the PHAST Process;</td>
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<tr>
<td></td>
<td>• Highlighted the importance of PHAST in complementing the VCA.</td>
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</table>

<table>
<thead>
<tr>
<th>Key Learning Points</th>
<th>PHAST approaches and sequential uses of the PHAST steps;</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• PHAST process and its implication;</td>
</tr>
<tr>
<td></td>
<td>• Mobilizing communities for the water, sanitation and hygiene interventions</td>
</tr>
<tr>
<td></td>
<td>• Enabling communities to practices improved hygiene and sanitation behaviors</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Suggested Methodologies</th>
<th>Interactive Lecture</th>
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<tbody>
<tr>
<td></td>
<td>Group Discussion</td>
</tr>
<tr>
<td></td>
<td>Group exercise</td>
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</table>

<table>
<thead>
<tr>
<th>Materials</th>
<th>PHAST Handbook</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Approximate Time</th>
<th>2 hours</th>
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</thead>
</table>

**CONTENTS OF THE SESSION**

1.22 PHAST: Introduction and aims

PHAST stands for Participatory Hygiene and Sanitation Transformation. It is designed to help communities and individuals improve their health by taking charge of their own hygiene and sanitation related behaviors and practices. PHAST encourages people to examine their existing hygiene conditions for water and sanitation and then make the necessary changes to their attitudes and hygiene behaviour. There are many tools in PHAST and they have been positively used around the world since the early 1990’s. PHAST also helps to build rapport between the women, men, young people and children who make up communities. It draws on the creative strengths and resources of the individuals learning in PHAST groups and it encourages them to develop and implement their planning skills and follow up and make changes.

PHAST Aims to:

- prevent diarrhoeal diseases by improving health through better hygiene behaviour
- improve water supply and sanitation
- encourage community management of water and sanitation facilities

These aims are achieved by:
• Helping communities to understand the relationship between sanitation and health.
• Helping community members to improve their self esteem.
• Helping to empower communities by giving them the confidence to plan environmental improvements and to own and operate water and sanitation facilities.

PHAST stresses the importance of communities examining and solving their own water and sanitation problems as well as learning from each other’s experiences. PHAST has standardised tools, but they work best when they are adapted to suit each local situation and context. Communities are encouraged to choose the most suitable water and sanitation technology from all the options that are available. Participation methods should involve the whole community including women and girls. It brings people together to discuss the issues and to draw on their knowledge, attitudes and practices. PHAST has often succeeded where other strategies have failed, but it can take a relatively long time to implement.

1.23 PHAST: Structure
PHAST consists of 17 activities organised in 7 main steps. One activity is usually carried out each week and the whole programme typically takes up to four to six months. The first 5 steps are about helping the group to assess the water sanitation situation and develop a plan to improve water supply, sanitation and hygiene behaviour, while steps 6 and 7 consist of monitoring and evaluation activities.

• A STEP may contain one or more activities aimed at achieving an overall objective.
• An ACTIVITY is what the group works through to discover the information and skills necessary to reach an understanding or take an action.
• TOOLS are the techniques and materials the facilitator uses to help the group work through an activity.

Each of the PHAST steps is implemented using a toolkit most of which comprise of a series of pictures. The manual followed is the PHAST Step-by-Step Guide: A participatory approach for the control of diarrhoeal diseases, which takes the reader systematically through all the steps with details of how to undertake each activity, its purpose, materials needed and what to do. The activities are suitable for both literate and illiterate communities.

1.24 PHAST: Seven step
After the initial introductory sessions on the aims and objectives of PHAST, the participants need to be facilitated on each activity of the seven steps; these form the content outline of the PHAST course:

Step 1: PROBLEM IDENTIFICATION
This step assist facilitator and communities to identify the water and sanitation related issues in the community, especially, water borne diseases. This step consists of two activities;

1. Community stories - designed to help the group express important concerns and issues facing its community.
2. Health problems in our community – aims to focus discussion on health related issues.
By the end of these activities the group will identify the main issues faced by the community and have decided if diarrhoea is a priority or key problem.

**Activity 1: Community stories**
Participants are divided into three groups of 5-7 members each and given un-serialised posters to make a story with a beginning, middle and an ending, 4-6 pictures selected by each team. Ask the community members to capture key issues raised by the story and also take note of the issues. Paste all the issues in the wall. Now ask community members if they do have similar and or additional issues in the community. Paste all the information in the wall. Further discuss and make analysis with the community members.

The purpose of this activity is to:
- Enable the participants to express important concerns and issues around water and sanitation problems that communities face
- To generate creativity within the group and allow participants to appreciate that PHAST is not about intellectual ability
- To help build a spirit of teamwork and mutual understanding in the community

**Tool: Un-serialized posters** - pictures depicting generic lifestyle of a community such as weddings, funerals, meetings, people fetching firewood, water etc. any relevant everyday happenings in a community. The participants liked this activity and generated stories that highlighted issues of poor hygiene standards and concluded with corrective measures.

**Activity 2: Health problems in our community**
The purpose of this activity is:
- To help the community identify and prioritize health problems facing them
- To find out what the community can do to solve their problems

**Tools: Health worker Sister (Nurse Tanaka)** Pictures showing different age groups and social classes of people, a drawing of a health facility, health worker and other health providers within the community (traditional herbalist)

**Group task:** The participants works again in the 3 groups to assign a health condition to the given pictures which they think is a reason for the people to go and see Health Worker Sister, the facilitator should ask to arrange the pictures to show which one of the ‘patients’ should be the first to see Health Worker Sister and others and state the reason for their choice. Give sufficient time to present their choices. After the group presentations some of the health problems can be identified; diarrhoea, coughing, skin problems, scabies, Acute Respiratory Infections, injuries, goitre, fever and aches and pains etc. Ask the community members if they do have similar and or additional problems in the community, where do they go and also ask about the potential solutions. Paste all the information in the wall and further discuss, analyse with the community.
Step 2: PROBLEM ANALYSIS

Step two is used to identify how the existing behaviours and habits are triggering water and sanitation related problems in the community. This is the data collection and analysis step, it has four activities:

1. **Mapping water and sanitation in our community** helps the participants to map those water and sanitation problems which could lead to diarrhoeal disease.
2. **Good and bad hygiene behaviours** helps the group to look more closely at common hygiene and sanitation practices and identify how these may be good or bad for health.
3. **Investigating community practices** – participants use a pocket chart to collect and analyse data on actual practices in the community. What people are actually doing can then be compared with what the group has discovered to be good for health or bad for health in the good and bad hygiene behaviours activity.
4. **How diseases spread** gets participants to look at how faeces can contaminate the environment and lead to diarrhoeal disease.

During this step, the facilitator takes the group through the four activities to allow them to analyze the problem and obtain baseline information on the community's knowledge attitude and practice. The activities for data collection can be accompanied by focus group discussions, questionnaire and a community walk for purposes of cross-checking of the information given and for a deeper analysis of the perceptions of the community.

**Activity 1: mapping water and sanitation in our community**

The purpose of this activity is to:

- Carry out a spatial analysis particularly with regard to water and sanitation as well as other features of relevance to the project.
- To have a visual representation of the community with a view to understanding the use of space in the community better.

**Tool: community map**

The maps should reflect features (mountains, rivers/streams, forested areas), facilities (health, Education, Community centres, markets and mosques), roads, water points and sanitation facilities as well as other environmental conditions such as places of waste water stagnation, drainage systems, ponds, places were open defecation is highly observed and dumping places for rubbish. The community map is drawn using anything tangible that is available in the community such as twigs, leaves, stones, strings, flowers etc. The map that’s usually done on the ground by the community members will then have to be transferred on a paper and hang in the community meeting place. Facilitate the community to identify the key concerns and issues observed in the mapping, do the transect walk with the community on the spots to discuss, analyse and spread key messages to improve the behaviours.

**Activity 2: good and bad behaviours**

The purpose of this activity is not to assess what the community actually does but rather what it perceives to be good or bad hygiene behaviour. It could however help the facilitator to understand the level of knowledge of the community members on health and hygiene issues.

**Tool: three pile sorting**
**Task:** The participants works in groups with a pile of pictures depicting different behaviours based on the
Five hygiene domains. Ask group to identify the hygiene behaviours and sort them in three piles depending on whether they considered those behaviours to be **good, bad or in-between** giving reasons for each of their choices. The table is given below to paste the pictures for three category identified by the community:

<table>
<thead>
<tr>
<th>Good Practices</th>
<th>Bad Practices</th>
<th>In-between Practices</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>

In general, the pile of ‘good’ behaviours is considered ‘safe’ while those put under bad behaviours are said to be ‘risky’ behaviours in relation to disease transmission. Bad and in-between behaviours are supposed to be discouraged and should be targeted during any hygiene promotion education so that they are eliminated while the good behaviours should be encouraged and promoted. Ask the community members if they do have similar practices in the community, make their common agreement of the issues by allowing them to sort all the practices in the large group and ask them, how the community can contribute or they have to do to change bad and in-between behaviours to good practices.

**Activity 3: investigating community practices**
The purpose of this activity is:
- To investigate the gap between knowledge and practice
- To help the group collect and analyze information on individual hygiene practices in the community, basically health, water and sanitation practices.

**Tool: Pocket chart**
The pocket chart is in a matrix form. On the left hand column are drawings of different people i.e. women, men children etc. and at the top row are pictures of different behaviours you want to investigate. The pocket chart uses a voting system to investigate hygiene practices that people would not talk about openly for example defecation practices. It ensures confidentiality and requires that people being investigated are honest. This tool can be used for the latrine use by different age group of peoples, water use for the domestic, drinking coking purposes and health facilities used by the different age group. Ask the peoples in the group to confidential vote as per their perceptions, practices. Stones, grains can be used for the voting purpose. After voting count the numbers, explain to all the members and ask what are the key issues and or information identified through the process and how we can improve out habits and behaviours. Paste all the information in the wall.

**Activity 4: How diseases spread**
The purpose of this activity is:
- To enable participants recognize and analyze how diarrhoeal disease is spread through the environment.
- To demonstrate the link between behaviour, facilities and disease.

The tool used is: **Transmission routes chart** or **the F chart** as it is commonly known
Task: Divide the participants into reasonable groups and give charts with pictures of Faeces (representing open defecation), dirty Fingers, Flies, Fields, uncovered Food with flies on, Fluids and a mouth (representing the next host). The task for the participants is to identify and explain the link through various ways (routes) in which faeces from an infected person could spread disease to another person. This tool helps to raise awareness of the community peoples and set common understanding how diseases spread through the faeces. It also helps to let understand community members that root cause of water born disease is open defecation.

Step 3: PLANNING FOR SOLUTIONS
Having identified and analyzed the causes of the problems in the step 2; it is now time to begin thinking of possible solutions for the problems. This step has 3 activities that enable the community to make or understand potential solutions and it planning as to what they can do to solve the problems:

1. Blocking the spread of disease helps group members discover ways to prevent or “block” diarrhoeal disease from being spread via the transmission routes identified in the previous activity.
2. Selecting the barriers helps the group to analyse the effectiveness and ease of actions to block transmission routes and choose which they want to carry out themselves
3. Tasks for men and women in the community helps the group identify who would be able to undertake additional tasks to introduce the changes necessary to prevent diarrhoeal disease

After completing these activities the group members should identify various ways to prevent diarrhoea in the community and come up with solutions (activities) that they want to implement.

Activity 1: Blocking the spread of disease
The purpose of this activity is to:
• Enable the group to identify actions that can be taken to block the spread of disease.

Tool: Blocking the routes

Task: Divide the participants in reasonable number of groups and ask them to use the F chart that was developed in the previous activity to come up with ways and means of blocking or applying barriers (given in the set of picture) to prevent the spread of disease. Ask the participants to identify potential solution through discussion, let them present and paste information in wall.

Activity 2: Selecting the barriers
The purpose of this activity is:
• To analyse how effective the blocks are and how easy or difficult they would be to put in place or to do them.

Tool: barriers chart - a chart to analyze the barriers (template is given below).

The task for the participants is to work in groups to analyse each one of the barriers identified in the
previous activity and place them on a matrix indicating which is very effective, in-between or not effective in terms of disease control and also indicate if it’s easy-to-do, in between or hard to do.

<table>
<thead>
<tr>
<th></th>
<th>Easy to do</th>
<th>In-between</th>
<th>Hard to do</th>
</tr>
</thead>
<tbody>
<tr>
<td>Very effective</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In-between</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not very effective</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Notes:
Some of the reasons for analysis are mostly economic or affordability, the more costly the block or barrier the more difficult it is for the communities to implement, thus while barriers like hand washing with soap and boiling drinking water may be very effective; they may be placed in-between to do because many people may not meet the cost of soap and fuel for heating the water. This matrix helps community people to understand what they can do by their own and what external sources they need to implement some other potential solutions. You can also use a specific tool-how to build pit latrine to motivate them to build the pit latrines by using the local materials.

Activity 3: Tasks for men and women in the community
The purpose of this activity is:
- To determine the tasks done by men and women at the household level
- To identify any possible shifts in task allocation that would be desirable and possible for programme implementation

The tools used are gender role analysis and 24 hour calendar
This starts with a discussion on gender to find out some gender perceptions amongst the group, then participants need to work in groups to identify the tasks that are generally performed by men, women and both men and women in the community.

Group tasks
For this activity participants are divided into 3 groups (or more based on needs or number of people available) to discuss and list the work that is done by women, men and those which are common to both in the community and household.

Table of tasks for men and women in the home and Community:

<table>
<thead>
<tr>
<th>Men</th>
<th>Women</th>
<th>Common tasks for Men and women</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

In general the women always has more roles than the men, if this should be the case, then ways of re-allocating tasks to allow for equal representation of both men and women in the project activities
should be negotiated. Based on the identified activities; participants need to develop a twenty-four hour calendar showing the times when each activity is carried out.

**Example of 24 hour calendar**

<table>
<thead>
<tr>
<th>Time</th>
<th>Activities-Male</th>
<th>Time</th>
<th>Activities-Female</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The purpose of the 24 hour calendar is to help community workers to plan the time for community activities and secure the participation of women in the community water, sanitation and hygiene activities.

**Step 4: SELECTING THE OPTIONS**

This step has 3 activities all of which work towards encouraging critical thinking on what the community wants to do and can do in order to implement change. Since activities in this step also address the hardware components of the WATSAN and thus emphasis should be given to both software – hygiene education and behaviour change and prioritizing WATSAN interventions:

1. **Choosing water and sanitation improvements** helps the group to assess the community’s water and sanitation situation and decide on the changes it wants to make.
2. **Choosing improved hygiene behaviours** helps the group to decide which hygiene behaviours it wants to work on with the community.
3. **Taking time for questions** gives group members a chance to ask questions and obtain feedback from fellow participants, thus increasing the confidence and self-reliance of the group.

**Activity 2: Choosing improved hygiene behaviours**

This activity is combined with **Step 5** activities of planning for behaviour change, thus presentations, discussions and demonstrations on behaviour change were undertaken during this session.

The purpose of this activity is:
- To help the group identify hygiene and sanitation behaviours it wants to change, encourage or introduce in the community.

**Tool: three pile sorting drawings**

However the best tool to use in this section is pair-wise ranking. The ranking is done with the information gathered by the Activity 2, tool 2 of step 3.

**Task:**

Ask the community members to work on prioritizing potential solutions by using the pair-wise ranking. The facilitator needs to clearly explain the process of doing ranking through demonstrations. The results should be analysed with community and hygiene, sanitation behaviours that they felt are good and can be done should be encouraged and adopted by the community and those which are the beyond capacity...
of community people needed to be discouraged. Since this activity is meant to bring about sustainable change in hygiene behaviours of the community, it is important for the participants to discuss the process of change and what should be done to help communities to change or improve behaviour. Some of the actions the participants discussed that could help communities to change or improve their behaviour are: creating awareness for the need to change, empowering people through knowledge sharing to enable them know the benefits of good hygiene practices or behaviour, availability of necessary hygiene materials or facilities (latrines, safe water, bathrooms, soap).

Example

<table>
<thead>
<tr>
<th>Potential solutions</th>
<th>1</th>
<th>2</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Potential solutions</th>
<th>Total number</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Changeability grid

<table>
<thead>
<tr>
<th></th>
<th>MORE IMPORTANT</th>
<th>LESS IMPORTANT</th>
</tr>
</thead>
<tbody>
<tr>
<td>MORE CHANGEABLE</td>
<td>PRIORITY 1</td>
<td>PRIORITY 3</td>
</tr>
<tr>
<td></td>
<td>• More changeable and important behaviours</td>
<td>• More changeable but less important behaviours</td>
</tr>
<tr>
<td></td>
<td>• High priority for programme focus</td>
<td>• Low priority except to demonstrate change for political purposes</td>
</tr>
<tr>
<td>LESS CHANGEABLE</td>
<td>PRIORITY 2</td>
<td>PRIORITY 4</td>
</tr>
<tr>
<td></td>
<td>• Less changeable but important behaviours</td>
<td>• Less changeable and less important behaviours</td>
</tr>
<tr>
<td></td>
<td>• Priority for innovative (pilot) programme</td>
<td>• Low priority</td>
</tr>
</tbody>
</table>

Activity 3: taking time for questions
Purpose:
- To provide an opportunity to ask questions about the process and the changes in the community and to obtain feedback
- To build the self-esteem of the group as they will realize that they have a wealth of knowledge and information and they do not have to rely on external experts for solutions
Tool: Question Box

Task: The participants are encouraged to ask questions on anything that they are not very sure of about the project and also express some of their fears. The members of the group will then answer the questions.

Step 5: PLANNING FOR NEW FACILITIES AND BEHAVIOUR CHANGE
This step enables the community to use all the information it has been gathering and analyzing in order to plan for change. It has three activities:

1. **Planning for change** helps the group plan the action steps for implementing the solutions it has decided upon.
2. **Planning who does what** helps the group to assign responsibility for each action plan.
3. **Identifying what might go wrong** enables the group to foresee possible problems and plan ways to overcome them.

Activity 1: Planning for change
Purpose:
- To enable participants to develop a plan to implement changes in water, sanitation and hygiene behaviours.

Tools: Planning poster (however the best is to use the planning matrix)
The planning chart is given below:

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Sectors</th>
<th>Activities</th>
<th>Indicators</th>
<th>Timeframe</th>
<th>Resources needed</th>
<th>Responsible unit / persons</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Quantity</td>
<td>Quality</td>
<td>Internal</td>
<td>External</td>
</tr>
</tbody>
</table>

Activity 2: Planning who does what
- The purpose is to identify who takes responsibility for carrying out the steps in the plan and setting a time frame for the activity.

Tool: Planning poster/chart (See the activity 1)

Activity 3: Identifying what might go wrong
- Identify possible problems in implementing the plan
- Device ways of solving such problems

Tool: Problem tool box
Step 6: PLANNING FOR MONITORING AND EVALUATION

Activity: Preparing to check our progress,
Tool: Monitoring Chart

Purpose:
- To establish a method for checking the community's progress
- To assign responsibility to people who will check the progress
- Set a target date for the actual evaluation of the project implemented.

This activity helps community members to monitor and evaluate ongoing efforts. The monitoring and evaluation can be done by using PHAST tools or simplified templates can be developed.

The monitoring chart as example:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Process</th>
<th>What to monitor or evaluate</th>
<th>Time and duration</th>
<th>Method</th>
<th>Responsibility</th>
</tr>
</thead>
</table>

Step 7: PARTICIPATORY EVALUATION

Activity: Checking our progress,
Tool: Various tool options (community maps, 3 pile sorting, planning charts, transect walks and observations, role plays, pocket charts and/or group discussions)

Purpose: To see if goals have been met
Module 6: COMMUNITY SITUATIONAL ANALYSIS

Session 6: Analysis and Reporting

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the practical session, the participants will have:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>▪ Conducted an analysis of the VCA conducted;</td>
</tr>
<tr>
<td></td>
<td>▪ Debriefed on the lessons derived from using the tools for analysis.</td>
</tr>
</tbody>
</table>

| Key Learning Points | ▪ Use of problem tree tool to identify, analyze problems and turning into the solutions; |
|                     | ▪ Familiarization on the VCA reporting template               |
|                     | ▪ Identifying ways to conduct problem tree analysis tool;     |
|                     | ▪ Methods to put information, validating information during the exercise in the community; |
|                     | ▪ Skill and abilities to analyze information/problems and changing problems into solutions in the community |

| Suggested Methodologies | ▪ Group exercise |
|                        | ▪ Group Discussion |
|                        | ▪ Group presentations |

| Materials | ▪ List of the materials required for exercise is attached in the Annex_____ in the CD |
|           | ▪ VCA reporting template is attached in the Annex_____ in the CD |

| Approximate Time | 3 hrs |

READ ME NOTES:

This is practical session. The analysis part of the VCA is crucial looking beyond the various set of information from the VCA. Without a proper analysis, the planning process which comes as a next step will have no direction and usually ends up addressing the “wants” rather that the “needs”. The analysis also identifies which of the community’s concern falls under as a root cause, a dynamic pressure or an unsafe condition. This aid the community prioritize which area of concern needs to be given more attention in the immediate, mid-term and long term planning. The problem tree analysis is one of the most practical tools to use in the analysis of the VCA. The technique on how to use the tool is included in session 2 of this module.

For VCA reporting, a user-friendly template is attached to be used for the narrative reporting of the VCA analysis.
Module 7

Community Disaster Risk Management Planning

Content Areas:

1. Identification of Disaster Risk Management Measures
2. Community Disaster Risk Management Planning Process

Introduction to the Module:

The module covers two sessions on disaster risk management measures. The first session provides various examples of disaster risk management measures supported by NRCS in previous programmes. The session likewise provides other disaster risk management measures supported by DRC in other parts of South and South East Asia. These provide the practitioner with lessons learned and best practices of various disaster risk management measures. The second session is the how to of facilitating the community disaster risk management planning process. In this session, it is emphasized that the role of the NRCS CBDRR field staff is only to facilitate and not influence the process and must be based on the analysis of the community of the VCA exercise.
Module 7 : Community Disaster Risk Management planning

Session 1 : Identification of Disaster risk Management Measures

<table>
<thead>
<tr>
<th>Learning Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>At the end of the session, the participants will have:</td>
</tr>
<tr>
<td>▪ Identified the disaster risk management measures implemented by NRCS that are</td>
</tr>
<tr>
<td>considered to have brought tangible positive impacts;</td>
</tr>
<tr>
<td>▪ Explained the difference between structural and non-structural disaster risk</td>
</tr>
<tr>
<td>management measures;</td>
</tr>
<tr>
<td>▪ Enumerated and categorized various disaster risk management measures.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Key Learning Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>▪ Identification of disaster risk management measures is done by the community</td>
</tr>
<tr>
<td>after a proper analysis of the VCA;</td>
</tr>
<tr>
<td>▪ Different types of disaster risk management measures are grouped into two main</td>
</tr>
<tr>
<td>categories which are the structural and non-structural measures.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Suggested Methodologies</th>
</tr>
</thead>
<tbody>
<tr>
<td>▪ Interactive Lecture</td>
</tr>
<tr>
<td>▪ Group Discussion</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Materials</th>
</tr>
</thead>
<tbody>
<tr>
<td>▪ PowerPoint presentation for the Session is attached.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Approximate Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 hour</td>
</tr>
</tbody>
</table>

CONTENTS OF THE SESSION

1.1 Disaster Risk Management Measures

Disaster risk management measures are defined as a set of measures, interventions, strategies, activities defined by the community to reduce, mitigate or prevent the negative impact of hazard events. It can be categorized as hazard mitigation, vulnerability reduction, and capacity building including reinforcing people’s existing coping strategies. Identification of disaster risk management measures is an integral part of step four of the community organizing process in DRR.

Disaster risk management measures are identified by the communities by analyzing the information coming from the different tools used for the community situational analysis. As such, identification of these measures follows only after the proper analysis of the assessments has been made.

1.2 Types of Disaster Risk Management Measures:

There are numerous types of disaster risk measures ranging from simple “software” like training to the “hardware” as in construction of infrastructures. However, in the context of NRCS, the kinds of disaster risk management measures listed below are based on NRCS’s policy, DM strategy and institutional
capacity. The types of disaster risk management measures can be grouped into two categories: structural and non-structural.

Structural Measures.

Structural mitigation measures refer to all measures that require infrastructures and structures that are constructed, planted or propagated to mitigate the impact of hazards or provision / improvement of basic infrastructures at the household and community levels. In simple terms, structural measures refer to the “hardware” component of disaster risk management measures.

Structural measures include:

- Use of bio-engineering structures to stabilize river banks, prevent erosion and landslides, and reforestation of barren lands. Bio-engineering refers to the use of organic materials, plants and tree species in mitigation;
- Construction of irrigation canals and water channels;
- Construction of community centers and model stilt houses in flood prone areas;
- Improvement of spring water sources and water distribution systems;
- Construction of latrines and tube /dip wells;
- Construction / renovation of sub-chapter offices and district chapter warehouses;
- Use of gabion boxes and concrete for hazard mitigation;
- Early warning hardwares.

Non-structural Measures

Non-structural measures refers to all activities that are directly intangible which focuses more on building individual and communal capacities of the community. Non-structural measures create the resiliency of the community by building up their resource base, changing their attitudes and behaviors through knowledge, awareness and skills. Non-structural measures are the “software” measures.

Non-structural measures include:

- Training;
- Public awareness and camps;
- Advocacy, networking, coordination and partnerships;
- Mobilization of the community through the CDRMO;
- Stockpiling of emergency relief items;
- Development of strategic frameworks;
- Volunteer management;
- Fund generation;
- Operational planning.
1.3 Identification if Disaster Risk Management Measures

The actual identification of is done by the community immediately after the analysis of the assessments. The problem tree tool for analysis is useful to help the community identify which measures are needed to address the problems analyzed in the problem tree. To identify the appropriate measures, translate the problem tree into a solution tree. The solution identified to each problem in the tree can be used as the disaster risk management measures.
Module 7: Community Disaster Risk Management planning

Session 2: Community Disaster Risk Management Planning Process

<table>
<thead>
<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Linked the community situational analysis with the community disaster risk management planning;</td>
</tr>
<tr>
<td></td>
<td>• Explained the role of the NRCS field staff in the community disaster risk management planning process;</td>
</tr>
<tr>
<td></td>
<td>• Practiced facilitating the community disaster risk management planning process.</td>
</tr>
</tbody>
</table>

| Key Learning Points | • The community DRM plan must be based on the analysis of the assessments; |
|                     | • NRCS should not be involved in the planning process, the role of the field staff is merely to facilitate; |
|                     | • The community DRM plan is a tool for the CDRMO to generate funding and attract potential partners; |
|                     | • The community DRM plan is a living document and is needed to be regularly reviewed and revised when necessary. |

| Suggested Methodologies | • Interactive Lecture |
|                        | • Group Discussion |
|                        | • Group exercise |

| Materials | • PowerPoint presentation for Session is attached (to be developed by NRCS). |

| Approximate Time | 2 hour |

CONTENTS OF THE SESSION

1.1 Community DRM Planning Process

The Community Disaster Risk Management Planning process is the fourth step in the community organizing process in DRR. The community develops the DRM plan based on based on information coming from the community situational analysis and anchored on the capacity of the community and its partners.

The usual argument would be that planning should be done after the formation of the CDRMO. On the contrary, community organizing is based on a set of defined purpose. As in the case of CDRMO, it is organized to facilitate the implementation of the community plan; and not to make a plan for the community. As such, the planning should both be a tool for organizing communities and a means to ensure participation and inclusion. The plan will also provide a guide in creating committees within the CDRMO. The role of the core group is ad-hoc and the core group will be dissolved as soon as the CDRMO is organized and functional.
1.2 Steps in facilitating the planning process

The steps enumerated below are sequential and should be followed thoroughly to ensure participation, objective analysis and identification of objectives, verification and creating consensus and linked to the formation of the CDRMO; as well as achieving the standards and indicators:

- Core group to invite representations from all sectors in the community. This will include CBO members, local government authorities, women, elderly, disabled, lower caste and ethnic groups.
- Review the results vulnerability and capacity assessment
- Conduct an analysis of the VCA results using the problem tree analysis
- Convert the problem tree into a solution tree
- Rank the outputs of the solution tree according to the priority of the community;
- Identify objectives, sectors, and activities;
- Formulate indicators and distinguish timeframes;
- Identify resources needed to implement the plan both those available within the community and those that require external support;
- Identify committees that are needed to facilitate the implementation of the activities;
- Ensure that the community agrees in consensus and has verified all the content of the plan;
- Distribute copies of the plan to every household, local government offices, CBOs and other stakeholders.

1.3 Role of the Community Organizer in the Community DRM Planning

NRCS Programme Staff role is limited to facilitation and must not directly influence the outcome of the planning process. The principal roles of the staff are limited to the following:

- Ensuring participation and inclusion;
- Facilitate the use of tools for analysis and identifying objectives based on community priorities;
- Ensuring that the plan are based on needs;
- Ensuring that the plan will benefit the community as a whole and addresses specific needs of the most vulnerable sector;
- Resource person for technical inputs;
- Documentation of the process and the output;
- Do not ask leading questions, ask only philosophical ones;
- Settle difference in opinion among community members by consensus;
- Basic rule: Facilitate, do not manipulate.

1.4 Writing the Plan

The key thing to remember in writing the community DRM plans is that:

- It must be simple and user-friendly
- Avoid unnecessary academic jargons and long narrative texts
- It should be easily understood by every household

It should be;
- Written
- Simple
- Communicated
- Implemented
- Revised Regularly
- Easily Accessible

Once the necessary preliminary steps have been taken, writing the plan should be relatively straightforward.

**Template for writing the DRM plan:**

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Sector</th>
<th>Activities</th>
<th>Indicators</th>
<th>Timeframe</th>
<th>Resources needed</th>
<th>Committees</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Quantitative</td>
<td>Qualitative</td>
<td>Internal</td>
<td>External</td>
</tr>
</tbody>
</table>

1.5 Testing, Maintaining and Updating Plans

The DRM plan includes activities which can be categorized into two main components: Pre-Disaster and Post-Disaster. In these contexts, testing applies mainly on response preparedness and emergency response.

No matter how much effort you have put into creating the perfect disaster plan, it will be largely ineffective if community volunteers are not aware of it, if it is outdated, or if you cannot find it during a disaster. A concentrated effort must be made to educate and train communities in emergency procedures.

Each member of the committee should be made aware of his or her responsibilities, and regular drills should be conducted. Keep several copies of the plan in various locations; in every household, VDC authority, local clubs, DP Unit offices etc. Each copy of the plan should have the required annexes like evacuation routes, hazard maps, directory and other necessary information.

Most important, the disaster plan must be updated periodically. Names, addresses, phone numbers, and personnel change constantly. If a plan is not kept completely up to date, it may not be able to assist community to effectively in dealing with disasters.

Disaster can strike at any time-on a small or a large scale- but if an institution is prepared, the damage may be decreased or avoided. A disaster plan must be considered a living document. Its risk-assessment checklist must be periodically reviewed, its lists must be updated, and its collection priorities revised when needed.
Module 8
Establishment of the Community Disaster Risk Management Organization

Content Areas:

1. Core Group Building
2. Creating the General Assembly of Members
3. Identifying the Organizational Structure
4. Promulgating the Organizational Constitution
5. Legal Registration Process

Introduction to the Module:

The module covers the actual step wise process leading to the establishment of a functional CDRMO. The first session provides the practical approach in forming the core group while ensuring equal representation of all sectors of the community in the core group. The second session guides the practitioner on how to facilitate the creation of the general assembly of members from which the core group is dissolved and formations of committees with elected officers are formed. Session Three provides guidance and examples of identifying the correct organizational structure of the CDRMO based on the community’s need and aspirations. Session Four provides the legal standard template of the government for the CDRMO to promulgate their organizational constitution as the foundation of their rules and regulations. The module ends with the legal registration process as guidance to the CDRMO in registering their organization with the government to attain legal recognition.
## Module 8: ESTABLISHING THE COMMUNITY DISASTER RISK MANAGEMENT ORGANIZATION

### Session 1: Core Group Building

| Learning Objectives | At the end of the session, the participants will have:  
|---------------------|----------------------------------------------------------|
|                     | - Understood the purpose of core group building;  
|                     | - Outlined the tasks of the core group;  
|                     | - Practiced the formation of the core group. |

| Key Learning Points | Core group building is part of the process for the establishment of the CDRMO and is ad hoc in nature which will eventually be dissolved after the first meeting of the general assembly of members;  
|                     | - Extra care and vigilance is needed to ensure that the core group will maintain an unbiased attitude in the establishment of the CDRMO;  
|                     | - All caste, ethnic, gender, disability, and elderly sectors of the community must be represented in the core group. |

| Suggested Methodologies | Interactive Lecture  
|-------------------------|---------------------------------|
|                         | Group Discussion  
|                         | Role Play  
|                         | Timeline graph |

| Materials | PowerPoint presentation for Session is attached (to be developed by NRCS).  
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<tbody>
<tr>
<td></td>
<td>Checklist for core group tasks is attached (to be developed by NRCS)</td>
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| Approximate Time | 2 hours |

## CONTENTS OF THE SESSION

### 1.25 Definition and purpose of the core group

The core group is small group of community members who commit themselves to play the crucial role in laying the foundation for the establishment of the CDRMO. Depending on the size of the community, the core group must always have a representative from all sectors of the community.

The purpose of forming the core group is to ensure that the establishment of the CDRMO is led by the community and not by external parties. This likewise promotes ownership by the community of their own organization.

NRCS CBDRR staff will work alongside the core group in facilitating the establishment of the CDRMO. Crucial to this is for NRCS CBDRR staff to ensure that there is equal representation from all sectors.
1.26 Composition of the core group

The core group will be composed of representatives from all sectors of the community. In a typical Nepali community, the sectors may include:

- Caste
- Ethnicity
- Gender
- Age
- Disability

These sectors may become more diverse, depending on the size, location and situation in a community. There may also be cases that representation in the core group may include representatives from other existing community based organizations within the community. Among these are the youth clubs, savings groups and even cultural and religious institutions in the community. It is however important to remember that the core group must not be driven by any political or religious belief.

1.27 Specific tasks for the core group

The specific tasks of the core group are outlined below:

- Facilitate community meetings. The core group will be responsible to sensitize and gather consensus among the community members for the establishment of the CDRMO. This may be done by organizing community meetings or visiting each household to advocate for the need for a collective effort to address community concerns related to disaster risk reduction.
- Recruitment of members. The core group will
- Formation of the general assembly.

1.28 Identification of core group members

At this part of the CBDRR process, the NRCS CBDRR staff should have by now had a better understanding of the formal and informal power structure in the community. The rapport building, household baseline survey and the conduct of VCA had provided a better picture of how each member of the community relates to one another. All these become very useful in identifying potential members for the core group.

In core group building, it is important to remember that there are formal and informal power structures in every community. These people have political, economic and social influence to most members of the community and often times, the same level of influence borders on the level of control on other people’s lives. One example common in rural communities is the relationship between the landowner and his neighbor who is the daily farm laborer. The laborer feels beholden to the landowner as he is dependent on the availability of work or the amount of money the landowner provides. In a relationship as this, the landowner basically controls the life of the laborer and the laborer becomes a
mute witness of disparity for the access of better opportunities. As such, it is important to understand the following aspects:

- Social – Who does the community look up to in terms of moral values, irrespective of economic standing?
- Political – Who among the community members have the capacity to mobilize people for a common interest?
- Economic – How many members of the community benefit from the economic activities of this person? Does this person use his economic power to control the lives of other people?
- Cultural – Does this person use culture as an excuse to promote disparity among the community?

All these aspects should be examined when identifying potential core group members to avoid reinforcing the mainstream power structure in the communities. Be especially wary for those people who do not allow other people to express their ideas or those who do not listen to what the majority is aspiring to.

In identifying potential core group members, it is important to look for serving leaders and not bureaucratic managers.
Module 8: ESTABLISHING THE COMMUNITY DISASTER RISK MANAGEMENT ORGANIZATION

Session 2: Creating the General Assembly of Members

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<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
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<tbody>
<tr>
<td></td>
<td>- Understood the purpose of the general assembly of members;</td>
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<td>- Outlined the steps for the establishment of the general assembly;</td>
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<td>- Practiced the facilitation of the general assembly meeting.</td>
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<table>
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<tr>
<th>Key Learning Points</th>
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<tr>
<td></td>
<td>- The general assembly of members is the highest decision making body of the CDRMO;</td>
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<td>- Each family in the community should be represented in the general assembly of members;</td>
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<td>- There should be no discrimination in the participation of community members in the general assembly and each member must have equal voting and decision making rights;</td>
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<td>- Only members of the general assembly have the right to be voted into any position in the CDRMO.</td>
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<th>Suggested Methodologies</th>
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<td>Interactive Lecture</td>
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<td>Role Play</td>
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<td>PowerPoint presentation for Session is attached (to be developed by NRCS).</td>
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<tr>
<td></td>
<td>Checklist for the formation of the general assembly of members is attached (to be developed by NRCS).</td>
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| Approximate Time | 1 hour |

CONTENTS OF THE SESSION

1.29 Definition and purpose of the general assembly of members

The general assembly of members is the gathering of all bonafide members of the organization, regardless of their position in the organization and their socio-economic status in the community. The general assembly of members is the highest decision making body of the organization and is responsible for electing the officers of the organization.

The purpose of the general assembly of members is to convene at least twice a year to decide on policy matters of the organization. It is also tasked to create committees deemed necessary for the proper function of the organization. Along with these, the general assembly elects and / or appoints officers and members in each of the committees and subsequent units.
1.30 Recruitment and membership

Members of the CDRMO are recruited from the community and are not limited to a single sector of the community. Community members willing to be part of the organization must not be discriminated because of their caste, ethnicity, gender, age, illness and economic status.

There is no limit to the total number of members in the CDRMO and it is encouraged to have at least one person from every family as a member. It is often a necessity to have more than one member per family as it is recognized that male, female, youth and elderly members of the family may have varied needs and approaches on communal concerns.

However, since the Nepal Government prohibits minors from being members in any organization, membership to CDRMOs should only be from 16 years of age upwards.

1.31 Rights and obligations of members

In every organization, members share equal rights and with these rights come equal obligations. Although in the legal standard template of the government for organizational constitution categorizes membership into three levels (ordinary, honorary and life members), it is not advisable that this be followed in a community organizations. This not only discriminate members but also reinforces a feudal system of disaggregating the community according to social labels.

In a typical organization, all members share equal rights on the following:

- The right to cast vote to elect an official of the organization;
- The right to speak on decisive matters of the organization;
- The right to have equal benefit from the organization;
- The right to maintain membership unless otherwise convicted of crime against the state;
- The right to run for an elective seat or be appointed as a member of a committee in the organization;

With these rights come these obligations expected by the organization from its members:

- The obligation to protect the morality of the organization;
- The obligation to participate actively in organizational activities;
- The obligation to respect the constitution of the organization;
- The obligation to carry forward the objectives and ideals of the organization.

1.32 Steps in establishing the General Assembly of Members

The core group will be responsible for the steps outlined for the establishment of the general assembly of members. NRCS CBDRR Staff will only provide technical guidance and support the process to ensure that there are no discrimination in the process.
Step 1: The core group notifies and calls for membership in the CDRMO;
Step 2: Community members interested to be part of the CDRMO registers in the list of members based on a timeframe for recruitment agreed by the core group which should importantly not be less than a week and ideally no more than a month;
Step 3: A proper orientation for members is conducted to present the process for the establishment of the CDRMO;
Step 4: The general assembly of members is convened to come up with resolutions in support of the process for the establishment of the CDRMO, including the election of officers and formation of the different committees in relation to their disaster risk management plans.
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Session 3: Identifying the CDRMO Organizational Structure

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<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
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<tr>
<td></td>
<td>▪ Understood the relationship between vertical and horizontal functions in the organizational structure;</td>
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<td></td>
<td>▪ Outlined the purpose of each sections of the organizational structure;</td>
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<td>▪ Practiced drawing the organizational structure with detailed functions of each section.</td>
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| Key Learning Points                                      | ▪ The organizational structure of the CDRMO is a representation of the principal management functions to attain the organizational objectives; |
|                                                         | ▪ The organizational structure is wholly dependent on the decision taken by the general assembly of members. |

| Suggested Methodologies                                  | ▪ Interactive Lecture |
|                                                         | ▪ Group Discussion    |
|                                                         | ▪ Role Play           |

| Materials                                                | ▪ PowerPoint presentation for Session is attached (to be developed by NRCS). |
|                                                         | ▪ Sample template for a CDRMO organizational structure is attached. |

| Approximate Time                                         | 1 hour |

CONTENTS OF THE SESSION

1.33 Definition and purpose of the organizational structure.

The organizational structure is a graphic representation of the level of responsibility, relationships and functions in an organization. The organizational structure provides a snapshot of the organizational set-up and the lines of responsibilities. This simple representation also helps the community understand better the way that the CDRMO functions and can easily direct their concerns to the appropriate committees.

1.34 Vertical and horizontal relationships and functions in the organization

The vertical lines that connects the section from top to bottom represents the line of responsibility, while the horizontal lines connecting the adjacent sections represents the how each sections works at the same level of responsibility.
The topmost section of an organizational structure represents the main authority in an organization. In a CDRMO organizational structure, the General Assembly of Members is the highest authority of the organization. The executive committee, which lies directly below the General Assembly is reports to the general assembly and is responsible for the day to day functions of the organization. There can be several committees that are formed based on the need of the organizations. These committees reports to the Executive Committee and functions according to specific tasks as assigned by the general assembly based on the community disaster risk management plan developed by the community.

1.35 Ideal sections in a CDRMO organizational structure

An ideal organizational structure of the CDRMO must reflect the tasks needed to be done to accomplished organizational objectives as well as facilitate the implementation of the community disaster risk management plan.

An example of a CDRMO organizational structure is presented below:

The organizational structure presented addresses the disaster risk context of a specific community. As such, it covers aspects of disaster response, preparedness, and mitigation. The committees directly under the executive committee likewise reflects the needed set-up to facilitate the implementation of the community disaster risk management plan which covers measures for response, preparedness and mitigation.
It is important for NRCS CBDRR staff to remember that there is no limitation to the number of committees that the CDRMO wishes to create under the executive committee. The role of the NRCS CBDRR staff is to guide the process and provide technical advice and ensure that there should be a link between the committees and the disaster risk management plan developed by the community.
## Module 8: ESTABLISHING THE COMMUNITY DISASTER RISK MANAGEMENT ORGANIZATION

### Session 4: Promulgating the Organizational Constitution of the CDRMO

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<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
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<tr>
<td></td>
<td>• Understood the purpose of the organizational constitution for an organization;</td>
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<td></td>
<td>• Reviewed each section in the standard legal template for organizational constitution of the Government of Nepal;</td>
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<td>• Practiced facilitating the promulgation of the organizational constitution of a CDRMO.</td>
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<th>Key Learning Points</th>
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<td></td>
<td>• The organizational constitution are the legally binding document of the CDRMO which provides guidance on the management and operation of the organization;</td>
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<td>• It is dependent to the CDRMO to fill-in the legal template for organizational constitution provided by the Nepal Government, according to the needs and aspiration of each specific CDRMO.</td>
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<td></td>
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<td></td>
<td>• Power point presentation for Session is attached (to be developed by NRCS).</td>
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<td>• Legal template for organizational constitution from the Government of Nepal is attached.</td>
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| Approximate Time | 2 hours |

## CONTENTS OF THE SESSION

### 1.36 Definition and Purpose of Organizational Constitution

Organizational constitution is a set of documents which defines the organizational name, objectives, rules and regulations. These provide guidance for the management and operations of the organization, enabling it to achieve its defined objectives. Organizational constitution are formulated and approved by the general assembly of members, preferably by consensus but often times by two-thirds majority vote.

The primary purpose of the organizational constitution is to create the fundamental regulations which will govern the existence of the organization. This will become the basis for all subsequent rules and guidelines that may be created by the organization.
1.37 The Nepal Government legal standard for organizational constitution

The Government of Nepal through the Society Registration Act of 2034 sets the regulations for following the legal standard template for the formulation of organizational constitution of non-profit organizations. The submission and registration of the completed legal standard template to the District Government Authority becomes the legal basis for the existence of an organization.

The legal standard template is composed of six chapters with 29 sections. Each chapter defines the scope of provisions as enumerated in the inclusive sections. The six chapters and 29 sections with titles are outlined below:

- **Chapter 1 – Preliminary**
  - Section 1 – Name of the organization
  - Section 2 – Domicile of the organization
  - Section 3 – Definition of the organization
  - Section 4 – Seal and emblem of the organization
- **Chapter 2 – Objectives**
  - Section 5 – Objectives of the organization
  - Section 6 – Functions of the organization
- **Chapter 3 – Membership**
  - Section 7 – Category of membership
  - Section 8 – Qualification for membership
  - Section 9 – Conditions for membership
  - Section 10 – Promotion of membership
  - Section 11 – Procedures for membership
- **Chapter 4 – General Assembly and Executive Committee**
  - Section 12 – Provisions for Calling for a General Assembly
  - Section 13 – Functions, Duties and Authority of the General Assembly
  - Section 14 – Provisions for the Executive Committee
  - Section 15 – Functions, Duties and Authority of the Executive Committee
  - Section 16 – Functions, Duties and Authority of Officers
- **Chapter 5 – Financial Provisions**
  - Section 17 – Funds
  - Section 18 – Operation of the Bank Account
  - Section 19 – Accounts and Audit Reports
- **Chapter 6 – Elections**
  - Section 20 – Qualification of Candidates
  - Section 21 – Election Committee
- **Chapter 7 – Miscellaneous Provisions**
  - Section 22 – Amendment of the Constitution
  - Section 23 – Promulgation of Additional Provisions
  - Section 24 – No Confidence Motion
1.38 Facilitating the promulgation of CDRMO Organizational constitution

It is most important to remember that NRCS must not be part of the drafting of the CDRMO constitution. The role of NRCS is to facilitate the promulgation process in accordance with the legal standard template. The special committee assigned by the general assembly of the CDRMO to draft the constitution shall be solely responsible to provide the information required by the legal standard template.

The proposed steps are provided as an aide-memoir for NRCS field staff:

Step 1: The general assembly appoints a committee to draft the organizational constitution of the organization. These tasks may be assigned by the general assembly to the executive committee or may form a separate committee for this task.

Step 2: The committee convenes and studies the legal standard template for the constitution and decides on the information to be included in the template. The committee must also decide on the timeline for completing the template.

Step 3: After the draft constitution is finished, the committee calls for a special session of the general assembly to present in plenary the draft constitution. Each chapter and section of the draft constitution must clearly be discussed and recommendations from the general assembly must be reflected on the constitution. At the end of the special session, the general assembly must formally pass a resolution approving the draft constitution with all the revisions as the promulgated constitution of the organization. To guide the process, a representative from the District or VDC authority may be invited to the special session.
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Session 5: Legal Registration Process for CDRMOs

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<tr>
<th>Learning Objectives</th>
<th>At the end of the session, the participants will have:</th>
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<tr>
<td></td>
<td>▪ Reviewed the legal registration process for CDRMOs;</td>
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<td>▪ Identified the tasks needed for the legal registration process;</td>
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| Key Learning Points | ▪ Legal registration promotes transparency and accountability. |
|                    | ▪ CDRMO benefit largely from being legally recognized by the government as it opens numerous opportunities. |

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<tr>
<th>Suggested Methodologies</th>
<th>▪ Interactive Lecture</th>
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<td>▪ Group Work</td>
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| Materials | ▪ PowerPoint presentation for Session is attached (to be developed by NRCS). |

| Approximate Time | 1 hour |

CONTENTS OF THE SESSION

1.39 Importance of Legal Registration

Having an organization legally recognized by the government is crucial. It promotes the credibility of the organization and lends legal credit to the activities it is implementing. Once an organization is legally registered, it is also subject to the regulations that govern non-profit organizations and is likewise subject to periodic system and financial audits. This promotes accountability both to the community and to its partners, transparency to its members.

1.40 Benefits of a Legally Registered CDRMO

Once a CDRMO is legally registered with the District Government authority, it is accorded with a legal status and recognition by the Government of Nepal. This in itself not only promotes the standard of the organization as it becomes bound with the laws governing the conduct of civil society organizations. The most tangible benefits the CDRMO can derive from being legally registered and recognized by the government are:

▪ Participation in VDC and other government meetings and programmes;
▪ Access to development funds channeled by international donors through the government;
▪ Referral to be implementing partner of local and international NGOs;
▪ Legal status to conduct fund generation projects;
▪ Legal credibility to submit project proposals to local and international donors;
▪ Better chances of organizational sustainability.
1.41 Requirements for Legal Registration of the CDRMO

The legal registration process starts soon after the CDRMO is established; its constitution promulgated and is fully functional. To have the CDRMO legally registered in the District, the following set of requirements is required for the registration:

a. Resolution of the general assembly to register the CDRMO;
b. Minutes of the meeting of the general assembly leading to the resolution to register the CDRMO;
c. Four copies of the CDRMO constitution, signed by all members of the executive committee;
d. Copy of the citizenship of the chairperson of the executive committee;
e. Letter of Recommendation from the District Development Committee;
f. One thousand Nepali Rupee as registration fee.

These requirements may be subject to changes and it is advised that the NRCS CBDRR staff should verify these with the Chief District Officer prior to starting the legal registration process.
Module 9

Community-Led Disaster Risk Management Actions

Content Areas:

1. Organizational Development
2. Establishment and Maintenance of Emergency Revolving Funds
3. Fund Generation
4. Advocacy and Networking
5. Implementation of the Community Disaster Risk Management Plan

Introduction to the Module:

The module covers the strengthening of the CDRMO to enhance their capacity to implement the CDRM plan. Organizational Development is included to strengthen and guide the development of the organization in terms of development of basic regulations, proper functioning of committees, creating partnership opportunities, and overall capacity building. Fund management and generation of funds will provide guidance on proper utilization and maintenance of the emergency revolving fund as well as fund generation strategies. The whole course ends with the last session on the implementation of the CDRMO plan which highlights the need for a community-led implementation and the crucial role of the community in ensuring the continued application of disaster risk management measures.
Module 9: COMMUNITY LED DISASTER RISK MANAGEMENT ACTIONS

Session 1 - Organization Development

Learning Objectives
At the end of the session, the participants will have:
- Introduced to basic Organizational Development definition and components;
- Identified possible organizational development needs of the CDRMO.

Key Learning Points
- Organizational development is a major component of every organization;
- Organizational development helps the organization build its capacity to achieve its objectives.

Suggested Methodologies
- Interactive literatures
- Group exercise

Materials
- PowerPoint for session is attached (to be developed by NRCS)

Approximate Time
1 hour

CONTENTS OF THE SESSION

1.1 Definition Organizational Development in the CDRMO Context

Organizational development is the major component for every organization. Organizational development is the process to build and or strengthen the capacity of the organization to improve its programme and service delivery. Organizational development is also about constant improvement to ensure that the organization will not become stagnant; it is about developing alternatives to enable the organization to achieve its objectives.

Basic objectives of the OD are as follows;

- To further develop and strengthen institutional capacity;
- To strengthen managerial capacity;
- To address accountability towards its community and its partners;
- To strengthen financial management system and diversify financial resources

1.2 Organizational Development-Components

Organizational development is based on the following components;

Component 1- Foundation: mission, legal base, integrity and constituency
Component 2- Capacity-leadership, resources and organizations
Component 3 - Performance - activities, relevance and effectiveness

Component 1 – Foundation: formation of the general assembly of members, establishment of the organizational structure, formulation of the organizational constitution, legal registration and recognition;

Component 2 – Capacity: training, programme development, fund generation, recruitment of members;

Component 3 – Performance: monitoring and evaluations, accountability, audit and evaluation, change and change management.

Further inputs are required in cooperation of the Organizational Development Department of NRCS.
Module 9: COMMUNITY LED DISASTER RISK MANAGEMENT ACTIONS

Session 2: Establishment and Management of Revolving Funds

At the end of the session, the participants will have:

- Explained the purpose of establishing revolving funds;
- Suggested ways on how the CDRMO can effectively manage the revolving funds.

The CDRMO must develop its own regulation on the establishment and maintenance of revolving funds based on proper accounting practices, accountability and transparency towards its members.

Interactive lecture
- group discussion

Sample template for recording the management of revolving funds;
- Best practices and lessons learned from other CDRMOs (to be developed by NRCS)

1.1 Revolving Fund of the CDRMO

The community establishes emergency fund which rotates within the community through different mechanism established and agreed by the community. The community CDRMO is responsible for the management and maintenance of the fund.

As part of the lessons learned from previous experiences of NRCS preparedness programmes, the need to establish revolving funds and the proper management of these funds was realized to be an effective component of community preparedness. The NRCS CBDP policy gives orientation for the management of the revolving fund at the community level and recognize revolving fund with the concept to “enable communities to prepare for effective disaster response” through the mobilization of the community resources and efforts.

The scope of the revolving fund covers fund collection and utilization, record keeping and banking, funds generation mechanisms.
1.3 Use of Revolving Funds:

The revolving fund can be used in different ways, depending on the decision taken by the CDRMO, which should focus on meeting both productive and providential aspects of fund utilization. Productive use of the funds can include small loans with minimal interest to members to strengthen their livelihood or for household level hazard mitigation projects. Providential use of the funds is for emergency purposes which may include relief, medical assistance and recovery.

1.3 Management of fund:

The community will decide the need, priorities and level of fund disbursements. The CDRMO will also establish proper fund accountability practices. The templates provided can be used in the initial stage of CDRMO. However, as the volume of the funds increases, the basic bookkeeping and accounting practices should followed. The general assembly of members must request an annual financial report on the amount generated and disbursed by the organization. The CDRMO will formulate its own policies on the management of revolving funds according to their priorities and their needs.
Module 9: COMMUNITY LED DISASTER RISK MANAGEMENT ACTIONS

Session 3: Fund Generation

Learning Objectives
At the end of the session, the participants will have:
- Identified ways for generating funds at the community level;
- Explained the purpose of fund generation for CDRMOs.

Key Learning Points
- Fund generation enables the CDRMO to continue functioning even after the programme phases out;
- Funds can be generated in a number of ways both within the community and from sourcing funds from external partners.

Suggested Methodologies
- Interactive lecture
- Group discussion

Materials
- Best practices and lessons learned from other CDRMOs (to be developed by NRCS)
- PowerPoint for the session is attached (to be developed by NRCS)

Approximate Time
1 hours

CONTENTS OF THE SESSION

1.1 Fund generation schemes:
NRCS promotes the establishment of revolving funds by CDRMOs. The DRR programme may be able to support in the following ways to promote fund generation:

- Cash support: The DRR Programme provides nominal cash grants to the community as an initial investment for establishing the revolving fund. These are only extended to selected communities that require external funding support for the establishment of the fund due to its minimal level of capacity. The basis for selecting the communities to receive cash support is carried out during the VCA;
- Monthly cash collection: Communities are mobilized to establish monthly cash collection system. The cash collection system and amount to be contributed is decided by the CDRMO and community members;
- Granaries support: The DRR Programme can also project provide grain storage drums as part of encouraging contributions by kind in farming communities. The community use food grains to support families affected by the disaster and stored until the next season. The grains collected are sold at the onset of the next harvest season and used as a revolving fund;
- Organizing cultural events: The community can also organize religious gatherings or cultural events raise funds, such as Deusi Bhilo, Fagu Purnima among others;
• Raffles and lotteries: The CDRMO can also launch fund generation schemes like raffles and lotteries at community level but it is subject to the approval of the local authorities.
• Others: Coordinating with local organizations such as VDC, forestry users group, mothers group or from bank interest.

1.2 Suggested Fund Generation Policies for CDRMOs:

The CDRMO, through its fund generation committee as identified by the general assembly during the CDRMO formation process will take lead for the management and maintenance of fund. The CDRMO can come up with short and longer term fund generation schemes and strategy along with supporting guidelines for the proper use of the funds.

The fund generation policy should at least include following elements;
1. Definition of fund generation
2. Scope of fund generation
3. Activities for fund generation
4. Roles of the CDRMO and its committees
5. Fund management
Module 9: COMMUNITY LED DISASTER RISK MANAGEMENT ACTIONS

Session 4: Advocacy and Networking

### Learning Objectives
At the end of the session, the participants will have:
- Explained the importance of advocacy and networking in CBDRR;
- Identified ways to advocate and conduct networking among stakeholders.

### Key Learning Points
- Advocacy is critical for the implementation of CBDRR programme, especially towards the government to gain support for the community initiatives;
- Networking makes it easier for NRCS to advocate in behalf of the community;
- Expanding the network of stakeholders provides exposure of the CDRMO to a host of potential partners and donors.

### Suggested Methodologies
- Interactive lecture
- Group discussion

### Materials
- Advocacy materials from partner organizations
- Lessons learned by NRCS in coordination and partnerships
- PowerPoint for the session is attached (to be developed by NRCS)

### Approximate Time
1 hour

**CONTENTS OF THE SESSION**

1.1 Definition, Roles and Scope of Community Based Advocacy

Advocacy is the deliberate process of influencing the formulation of policies. Advocacy always seeks to develop or change a policy, address resource allocation and rights based issues. Advocacy can be initiated by the community towards their local VDC and DDC offices or for referral services to other organizations.

Role of the CDRMO in advocacy:

1. Represent – speak for the people
2. Accompany – speak with people
3. Empower – enable people to speak for themselves
4. Mediate – facilitate communication between people
5. Model – demonstrate the practice to people or policy maker
6. Negotiate – finding the middle path
7. Network – build coalitions

What can the CDRMO advocate for:

1. Dissemination of VCA reports to concerned stakeholders;
2. Dissemination of DRM plans to concerned stakeholders;
3. Registration and legal recognition of the CDRMO in the government;
4. Partnership with local stakeholders and government authorities at community level.

1.3 Networking-definition and process

Networking is the process of maintaining sound relationship among various stakeholders. Coordination, partnership and organizational linkages helps promote and maintain networking. Networking is most helpful in carrying out advocacy, referrals and fund sourcing; especially for the CDRMO. At the community level, networking can be objectively approach with the use of the institutional networking tool or the Venn Diagram where in it shows the value of existing internal and external organizations to the community.

How can community do networking?

1. Disseminating VCA reports to concerned stakeholders
2. Disseminating DRM plans to concerned stakeholders
3. Registering CDRMO as CBO in the government system
4. Partnering with local stakeholders and government authorities at community level
5. Expanding working relation with other CBO’s in the community

Advocacy and networking benefits for the community;

1. Strengthening CDRMO-organizational development and capacity building;
2. Scaling up the role of CDRMO;
3. Covering all needs of the CDRMO as explained by DRM plans through referrals;
4. Dissemination the value of CDRMO as a community organization involved in DRR;
5. Resource generation and mobilization;
6. Identifying technical sectors to get additional support or providing support to organizations.
Module 9 : COMMUNITY LED DISASTER RISK MANAGEMENT ACTIONS

Session 5 : Implementation of the Community Disaster Risk Management Plan

| Learning Objectives | At the end of the session, the participants will have:
|--------------------|-------------------------------------------------------------
|                    | ▪ Articulated on the basic principles for the implementation of the community DRM plans; |
|                    | ▪ Identified the role of NRCS field staff in the implementation of the community DRM plan; |
|                    | ▪ Explained the differences between monitoring and evaluation, participatory M&E with traditional M&E. |

| Key Learning Points | ▪ The implementation of the community DRM plan should be facilitated by the CDRMO to mobilize the members of the community; |
|                     | ▪ Participation of the members of the community is the crucial ingredient in the successful planning, implementation, monitoring and evaluation of the community DRM plan. |

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<tr>
<th>Suggested Methodologies</th>
<th>▪ Interactive lecture</th>
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<td>▪ group discussion</td>
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| Materials | ▪ PowerPoint presentation for session is attached (to be developed by NRCS). |
|           | ▪ Template for monitoring Chart is attached (to be developed by NRCS) |

| Approximate Time | 2 hours |

CONTENTS OF THE SESSION

1.1 Community DRM Plan Implementation

DRM plan implementation is the process of applying plan into action by the community on disaster risk reduction. It is simplified process in which community use all mechanisms to implement activities as mentioned in plan. Soon after the community DRM plan is formulated by the CDRMO and approved by its general assembly, the CDRMO mobilizes the community to achieve its objectives and targets.
The formation and strengthening of the CDRMO is crucial to mobilize community members to sustain the initiatives started through the support of the NRCS DRR Programmes. This is essential in the continuity of the risk reduction process for the community to meet intended aims in CBDRR in progressively achieving safety, resilience and community development. The CDRMO is the necessary channel for external agencies like the NGOs and government.

**Principles of implementation process:**

The following are principles which can guide the field practitioners in providing technical guidance to the CDRMOs in implementing community DRM plans:

1. Participation of All Stakeholders – encourage active involvement of individuals, social groups, organizations, women, people with disabilities and other stakeholders from the beginning of the project planning cycle.
2. Dialogue among All Stakeholders – respect the diversity of opinions
3. Ordered process – application of different models and tools should follow a logical and systematic process
4. Process constantly monitored and reviewed by all – carry out planning in a circular manner, through several feedback loops in order to modify project activities according to the experience gained
5. Cross cultural sensitivity – use methods and tools that are acceptable to various sub-groups in the community, given their cultural context.
6. Transparency – encourage open communication among stakeholders, continuous feedback of results of decisions and the use of methods and instruments
7. Developing consensus and agreement on the best way forward – relations based on mutual understanding and concurrence among those involved in the planning process work toward achieving the best consensus in each situation.

**1.2 Monitoring and Evaluation**

Participatory Monitoring is the systematic recording and periodic analysis of information by community and their stakeholders. The main purpose of participatory monitoring is that it provides information during the implementation of the plan to enable adjustments to keep the plans on track with the objectives.

Participatory Evaluation is an opportunity for both outsiders and insiders to reflect on the past in order to make decision about the future. It is to measure of progress to determine whether original objective have been achieved or not.
Differences between monitoring and evaluation

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<tr>
<th>Monitoring</th>
<th>Evaluation</th>
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<tr>
<td>Regular data collection system to feed into planning, decision making and implementation</td>
<td>Periodic review of achievements against targets feeding back into management system</td>
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<tr>
<td>Involves continuous process of checking whether project activities are as per schedule and whether project inputs are being used by target populations</td>
<td>Periodic assessment of the relevance, efficiency and impact of project in terms of project objectives</td>
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<tr>
<td>It is an internal project activity</td>
<td>It can be both internal and external</td>
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In CBDRR process participatory monitoring and evaluation process is most important for different organization like the CDRMO being the key organization in the community to facilitate the implementation of the community DRM plan. In PME, the role of external organization is only to facilitate the monitoring and evaluation process, while the communities can do effective monitor and evaluate. PME should cover the following areas:

- assessment process (VCA, PHAST, Livelihood assessment)
- planning process (As per assessment findings)
- implementation process (DRM Plan through activities, target, time, resources, responsibilities)

1.4 What community can use for PME

- social mapping
- DRM plan
- Checking our planning process
- PHAST tools
- focused group discussion
- ranking/scoring method
- environmental scanning method
- interactive interviews
- Venn diagram
- Templates for monitoring and evaluations

1.5 Process of PME

Participatory monitoring and evaluation is critical tool for management. PME process may vary according to the tools used. PME can be categorized in three steps;

1. Team formation: this is the first and vital step for PME. Emphasis should be provided to the following points during team composition;

- Male and Female ratio
- multidisciplinary
- insiders and outsiders
2. Tools and techniques: there are lots of tools for PME which can be divided into three categories according to their nature;

- interviews and discussion
- observations
- diagrams

3. Source of information: these are the major sources for receiving information during monitoring and evaluation;

- events and processes
- people
- place

1.6 differences between participatory and traditional M&E

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<th>Major areas</th>
<th>traditional</th>
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<tr>
<td>1</td>
<td>Methods</td>
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<td>Information</td>
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<td>Quantitative and Qualitative</td>
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Reporting:
Report is an organized structure of events. It is evidence of past and analysis of future. CDRMO also need to prepare monthly report to update all the CDRMO members. Below given is the simple reporting template for the CDRMO;

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<tr>
<th>Objectives</th>
<th>Sectors</th>
<th>Activities</th>
<th>Update</th>
<th>Indicators for success</th>
<th>Time frame of completion</th>
<th>Resources used</th>
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