People's Process

in Post-disaster and Post-conflict Recovery and Reconstruction

UN-HABITAT
United Nations Human Settlements Programme

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Foreword

O ver the last few years UN-HABITAT, Regional Office for Asia and the Pacific has been heavily involved in the recovery and reconstruction efforts following conflicts and disasters in several countries in the region. In every occasion, UN-HABITAT has advocated a *seamless transition* from the emergency phase to the recovery phase. Once a disaster or a conflict takes place, the country affected as well as the international community are very keen to assist in the emergency situation from the humanitarian point of view by providing the country and the NGOs their both financial and in-kind contributions. It makes possible for the aid agencies to take a swift action to help the affected people by distributing food, water, medicine, blankets and temporary shelter materials (tents and plastic sheet), etc. In the *seamless transition*, we have to think about how to make use of those materials provided under the emergency phase instead of dumping them in the process of moving from emergency to reconstruction phase.

There is a need to conduct emergency operation giving due consideration to the rehabilitation and reconstruction phase, even bearing in mind the future development plan in the framework of a *seamless transition*. For instance, temporary shelter materials should be reused to construct permanent houses as UN-HABITAT demonstrated in Pakistan. Also, the location of temporary shelters should be decided in considering not only the location of future permanent houses but also infrastructure to be constructed, and based on the past structure of communities. Furthermore, there is a need to examine and study the flexibility of using contributions earmarked on the emergency phase for reconstruction. It is our future challenge to clearly define what the *seamless transition* is, by showing concrete means to realize it.

Furthermore, recent experiences have demonstrated that the agencies get heavily involved in the transition phase, building temporary housing consuming considerable time and money, while the affected people sit and watch. The challenge for UN-HABITAT to address is, how to launch the recovery soon after a disaster or a conflict, involving the affected people?

In all the projects that UN-HABITAT has been implementing, we have advocated an approach where the affected people were placed at the centre of their recovery process. This has proved that the most effective method of recovery is when people have a control of their own recovery process. We have also been the advisors to Governments on this policy. While we have a strong methodology in the implementation, one shortcoming was that it has not been consolidated into a document that can be used as a Guideline. Therefore it was decided to bring the key actors together to brainstorm the approaches with the objective of developing a guideline on the People's Process of Recovery.

A workshop was held in Fukuoka in January 2007 with 12 key UN-HABITAT staff members from Afghanistan, Pakistan, Sri Lanka, Maldives, Indonesia and The Philippines. This Guideline is an outcome of the deliberations of the workshop. This guideline will serve as a "ready-reckoner" for post-disaster and post-conflict recovery programme implementers. At the same time, it addresses some of the implementation policy issues and provides guidance in the methodologies to be applied. For example Community Action Planning has been practiced by UN-HABITAT for nearly two decades, but its application to conflict and disaster recovery situation has not been documented before. This guideline attempts at presenting the complex process of recovery in a simple and practical manner. We have learned lessons from the past disasters where Governments', development agencies' and humanitarian organizations' responses were not coherent, causing confusion and delays in recovery. Therefore in anticipation of effectively responding to future disasters, with a firm policy and approach, this guideline is published for the use of all interested stakeholders. Additionally, the intention is to launch the recovery programme from the DAY ONE following a disaster.

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world + shelter + people =

Contents

ACRONYMS

CAP	Community Action Planning
CBO	Community Based Organization
CBDM	Community Based Disaster Management
CBRA	Community Based Risk Assessment
CC	Community Contracts
CDC	Community Development Council
CG	Construction Groups
DM	District Manager
DMC	Disaster Management Committee
DRC	Disaster Response Committee
GIS	Geographic Information System
GPS	Geographic Positioning System
LA	Local Authority
LG	Local Government
MIS	Monitoring Information System
MOU	Memorandum of Understanding
MOA	Memorandum of Agreement
NGO	Non-governmental Organization
NPM	National Project Manager
PG	Primary Group
ROAP	Regional Office for Asia and the Pacific
ToT	Training of Trainers
UN-HABITAT	United Nations Human Settlements Programme

1 INTRODUCTION

Asia and the Pacific Region, Prone to Disasters

1.1 Disaster Prone Asia-Pacific Region

A large number of countries in Asia and the Pacific region are prone to disasters of various kinds. The impact of disasters on people in terms of loss of life and assets, and impediment to development is colossal. Common forms of disasters are earthquakes, tsunamis, typhoons, floods, land/mud slides and cyclones. In the recent past, the scale of destruction of disasters had been massive due to the intensity and the lack of preparedness. During the last decade, UN-HABITAT, ROAP has responded to the calls by Governments and donors to assist people in reconstruction following conflicts and disasters. This has, on the one hand given UN-HABITAT an opportunity to assist the affected people rebuild their lives rapidly, whilst on the on other hand, a position to advocate for progressive policies on reconstruction and recovery.

1.2 ROAP's Response

During the last decade ROAP has been involved in post conflict and post-disaster recovery projects in several countries in Asia. In the implementation of these projects, the underlining principle has been to place the affected people at the center of the process. This means mobilizing the affected communities to take decisions on their recovery and supporting them. UN-HABITAT, ROAP strongly believes that unleashing the potential of the people is the only way in which all the affected people can recover in a short time. People have been able to cope with extreme difficulties and have demonstrated a relentless ability to improve their lives in the face of extreme circumstances. In the post conflict and post-disaster scenario, their ingenuity and creativity need to be directed for the rebuilding of their lives and their physical assets.

What are the keys to unlocking this huge potential of people? Firstly, organise the people to gain confidence to cross the psychological threshold; secondly, empowerment through mobilization; thirdly, security, a place to call their own; fourthly, some form of financial assistance to get them started; and lastly, technical advice to build better housing. These will complete a cycle of support to the people to rebuild their lives and their homes. The feeling of achievement, pride, dignity and security will elevate the families to a level higher than their pre-conflict or pre-disaster existence.

1.3 Principles

The following key principles form the basis of the recovery strategy:

- **Respect** the primacy of the needs of the families
- **Recognise** people's organizations and their capacities, and strengthen mutual respect and dialogue
- **Ensure** security, protection and right to a "place to live"
- **Responsibility** for recovery rests with the Families and Communities
- **Cultivate** a spirit of peace-building and community cohesiveness
- **Devolve** decision-making to the point of action

- **Support** to the authorities is essential for the people to take recovery into their own hands
- **Generate** a process that would allow every family in need to build a basic secure home, which can be improved incrementally over time
- **Design** the recovery investment to remain with the community as far as possible

1.4 Seamless Recovery

Recovery literally means getting people back on their feet and enabling them to rebuild their lives. Rebuilding lives involves overcoming trauma, rebuilding their shelter, securing income-earning opportunities, getting back to jobs, getting children back to school and a host of other essential things.

Seamless recovery has NO transition. Relief and recovery start at the same time on DAY ONE. It is NOT about transition from one static phase to another. It is recovery starting from the very beginning along with supply of relief. Relief in the form of food, clothing, blankets, lamps, heating material and water has to be supplied while at the same time organizing people to rebuild their lives. Seamlessness is achieved by collapsing the two processes into one.
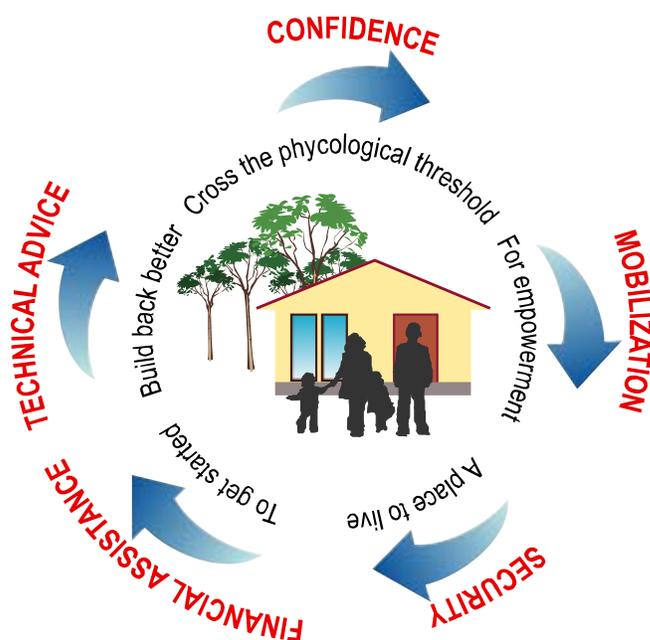

Fig. 1.1 Support Cycle

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Box 1.1 Emergency Shelter (Pakistan)

UN-HABITAT advocated for culturally and environmentally friendly earthquake transitional shelters made from materials that are portable and reusable for permanent structures. The timber used in the shelter is salvaged from destroyed houses. UN-HABITAT provided the polypropylene sacks, the roof materials and toolkits.

The shelter design, not only has proven to be popular but durable in the harsh mountain conditions. The shelters have easily withstood the winter and severe monsoon rains, and remain habitable for at least a few more years, if necessary. When no longer needed for human habitation, it can easily be converted into animal shelter or storage for fodder, crops or other commodities. The design can be easily adapted for use in similar geographical settings in post-disaster or post conflict situations. The average floor dimensions of the shelter are 15 ft in length and 11ft in width, and take 15 person days to construct.

Providing building assistance is not only important in providing durable shelters for people but is has proven to be an effective way to disseminate information on earthquake resistant building techniques and explain why damage in the earthquake affected area was so severe.

The most important characteristic of seamlessness is placing the affected people at the centre of the process starting with relief management in the camps or in their own settlements.

Housing reconstruction in seamless recovery starts with erecting a room on the land that the family owns or a new land that has been allocated as the case may be. Materials package for emergency shelter is generally provided by humanitarian agencies. In the seamless process it is important that the materials package should consist of materials that can be reused in the permanent house. Families will build the shelter or a room of the old house with the materials provided and whatever material they can salvage from the destroyed house. In determining the materials package it is important to discuss with the families what would be most appropriate. As far as possible prefabricated temporary shelters have to be avoided. Engagement of the family in the reconstruction process, immediately after a disaster will help the family get over the trauma of the disaster.

In most countries of the Asia-Pacific region, corrugated galvanized iron sheets are a common form of roofing although it is not

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Pakistan

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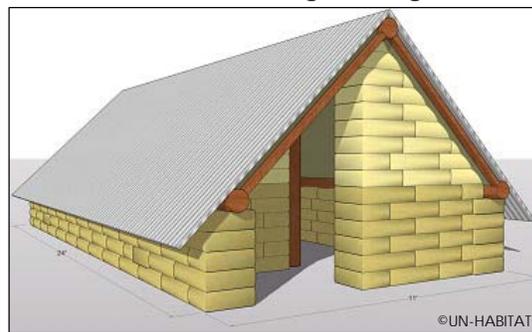
Emergency Shelter in Earthquake Affected Areas in Pakistan

suitable for all climates. However, it is quick and easy to erect, and can be reused for different purposes. Timber sawn in standard sizes can always be reused. The logistics of supplying large quantities of CGI sheets and timber on the first few days of a disaster may become a challenge. In such a situation, the local market should be tapped and the entrepreneurs are likely to respond to the demand quickly. This was apparent in the earthquake-affected areas of Pakistan. Transition camps with tent-housing which become permanent, is a common site in conflict and disaster affected countries. Creating transit camps should be considered as a last resort.

Seamless recovery is an incremental process where families can go on adding to the room that they started with. A cash grant to build a basic house as soon as possible has proved to be an effective mechanism in the recovery process. The grant can come from the Government or donors. It should be sufficient to build a basic permanent house and be standardized depending on the degree of damages to the house. A critical factor at this stage is the technical assistance to *build back better*. The issues in providing this technical assistance are how to build an earthquake resistant house with local materials? What precautions are to be built into construction to withstand a tsunami or a typhoon? What measures to be taken to mitigate damage from floods?

In addition to ensuring *building back better*, technical advice is necessary for families to build a basic house to an acceptable standard with the resources that they have. At the time of a massive reconstruction programme, the Government agencies may not be able to provide intensive technical assistance to families with the human resources available. This is an area where external agencies can contribute to implement the recovery programme rapidly.

Local authorities therefore have to be guided with the right approaches and consistent policies in recovery.

1.5 Institutional Arrangements

Many countries in the Asia-Pacific region have established some form of Government entity for disaster management and response. They are usually in the form of dedicated Ministries, Government Departments or dedicated authorities. As the mandated United Nations agency for reconstruction, it is incumbent upon UN-HABITAT to assist the Government entity at the time of disaster. The assistance has to come in the form of helping the Government in carrying out the immediate damage assessment, coordination of external assistance and advocating the right policies for recovery.

While assisting the Government at the national level, UN-HABITAT has the responsibility to assist the affected families in recovery. Families have to be mobilized on a path to recover from day one. Community Development Councils (CDCs) will be the central body at the community level where recovery action will take place. Support to the communities in their efforts to recover has to come from the local authorities and humanitarian organizations. In each country, the central and local government structure at the local level differs. UN-HABITAT has to work with the local government structure that is closest to the community. Past experiences show that Governments have a tendency to establish powerful centralized authority under the President or the Prime Minister when confronted with a major disaster. Centralising decision making at the highest level tends to strangle the responsiveness of sub-national and local governments. One of the most important principles to follow in a disaster situation is to devolve the decision making to the point of action.

2 SOCIAL MOBILIZATION

2.1 Introduction

Social mobilization is the primary step of community development for recovery from conflicts and disasters. It allows people to think and understand their situation and to organize and initiate action for their recovery with their own initiative and creativity. Through social mobilization, people can organize themselves to take action collectively by developing their own plan and strategy for recovery rather than that being imposed from outside.

Communities that take charge of their own recovery will make informed decisions, reach sustainable solutions, and achieve better results faster, while at the same time enhancing their solidarity and capacity to undertake development initiatives. This action is one of the most effective means of overcoming the trauma of a conflict or a disaster. Social mobilization is practiced in many different ways by development practioners. This chapter describes the common threads of UN-HABITAT's practice in its work in the Asia-Pacific region.

2.2 What is a community?

A community is a body of persons sharing common problems, living in a geographically identifiable area. In a disaster or conflict situation, the affected community is the focal point in the implementation of the Programme. The number of families in a geographically identifiable area can be any number from 10 to 250.

The community living in a settlement needs to be responsible for the decisions about their own development or in larger developments that will affect them. This should essentially be the cornerstone of the recovery and the reconstruction effort of the Programme.

Vulnerable groups including women-headed households and disabled should be given special attention because their

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Promoting Active Participation of Women

needs may be particular. Political, social, religious or other affiliations may divide a community. These issues need to be addressed before other collective activities can take place.

Stronger groups in the community can influence the decision making process in the community for their own benefit. These issues have to be very carefully considered and addressed in the implementation of a recovery programme.

For this purpose, methods and tools that help them to take decisions regarding their own development need to be applied. In the reconstruction and recovery process these methods will assist the community of a particular settlement to plan, implement and evaluate their own actions.

Under a disaster and conflict recovery programme, the responsibility of the community will be strengthened by the establishment of representative Community Development Council (CDC). The recognition of the representative community organization by the authorities is crucial for empowering the community to be responsible for their own actions. A formal recognition mechanism that can be established is the registration of the CDC with the Local Authority (Annexes 001, 002 and 003).

2.3 Steps of Social Mobilization

- Social mobilization will be initiated by Community Mobilizers or Social Mobilizers
- Firstly, they should visit the community in the camps and their settlements and establish a rapport
- Determine geographical boundaries of the settlement with help of the local people
- Should assist the community in holding a mass meeting and encourage them to understand the need to organize for collective action
- Assist in the formation of Primary Groups in the settlement of clusters of 10 to 15 houses
- Assist the Groups in camp management and relief distribution

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Indonesia

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Sri Lanka

Social Mobilization Meetings

- Two representatives from the Primary Group will represent in the CDC
- Assist in the election and formation of the CDC
- Assist in the formulation of constitution and registration of CDC, which may assume a name

2.3.1 Formation of Primary Group (PG)

A group of persons in a community affected by a disaster, who wish to address their common interest of recovery and reconstruction, can form a Primary Group (PG). The main issue of common interest is rebuilding of the homes, but they may have many others, e.g. restarting their livelihoods, education, health care, savings and credit, enterprise community infrastructure, etc. The purpose of forming a Primary Group is for the group to collectively address these particular issues.

- Community members who would have been living in neighbourhoods with socio-economic affinity, having common interest can form Primary Groups

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- Each primary group will select a group leader and a secretary to serve for a period to be determined by them
- Ideally the size of the primary group should be 15-20 households
- The primary group should discuss amongst themselves and workout their rules of association
- Ensure that rules are clearly understood by all group members
- Initially the primary groups would have to meet daily to discuss the most pressing issues and action to be taken
- For a community, the appropriate number of groups would be around 20
- Primary Groups meetings can be used to activate and motivate passive members
- The group leader and secretary will represent the Primary Group in the CDC

2.3.2 Formation of Community Development Council

- After the formation of Primary Groups, the CDC will be formed in each community
- The purpose of the CDC is to address the common development issues faced by the entire community
- All group leaders and secretaries will be the members of the CDC
- The members will elect a Chairperson, a Vice-chairperson, a Secretary and a Treasurer for a period to be determined by them
- The office bearers can be elected through secret ballot or consensus
- Either the chairperson or vice-chairperson should be a female member
- CDC may assign specific tasks to members as and when necessary
- The CDC should formulate a Constitution for its operation and this should be presented to and accepted by the whole community
- The CDC should apply for registration to the Local Authority or the local level government agency
- The CDC should open a bank account in a recognized bank with the Treasurer as mandatory signatory and the

Afghanistan

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"CDCs, as they are elected directly by the people are answerable and accountable to the people who elected them. Through tools like the social audit, representatives keep communities informed about the implementation of their decisions and status of resource utilization"

CDCs Open Space for Women's Participation

Chairperson and Secretary as alternative signatories
- To establish linkage among the CDCs, a forum can be established at city or district level

2.3.3 Beneficiary Identification

In a disaster or a conflict recovery programme, generally all the affected families are entitled beneficiaries. In this situation, one would often find that families, who were not affected, try to get into the recovery programme in order to draw on the cash and other benefits that will be provided. Therefore screening becomes important. The government official working at the local level may have the lists from the initial damage assessments. These lists need to be screened by the community in a transparent manner.

The following steps are useful to establish a transparent process:

1. Obtain list of beneficiaries of a community from the Government official who would have been responsible for identifying the initial affected families (Please note that this official may not be from the community and she/he may not have accurate information)
2. Collect copies of Damage Assessment Form from the relevant Government office
3. Verify legitimate beneficiaries by checking where they had been living
4. CDC verification of beneficiaries with community screening, i.e. community consultation to ensure that legitimate beneficiaries are included in the programme
5. Finalize beneficiary list after the community screening and bring to public notice
6. Identify missing or vulnerable families who are not on the beneficiary list
7. Consider appeals from beneficiaries who are not selected and take up their case to the relevant authorities
8. Confirm the final list of beneficiaries with the community and the relevant authorities
9. Log detail of beneficiaries into the project database

Fig. 2.1 Activities of Community Development Council

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3 DAMAGE ASSESSMENT

3.1 Introduction

Initial damage assessment is the first step in the recovery process to have a clear picture of the magnitude of damage to life, property, crops, livelihoods and infrastructure resulting from a war or a disaster. Disaster comes as a complete surprise to the people and Governments in the absence of preparedness, and leads everything into a state of confusion. In this confused state, different organizations including humanitarian organizations, try to take the lead in carrying out the initial assessments in order to retrieve information for immediate planning and relief distribution. Most of the initial assessment is done by various agencies, is uncoordinated and often leads to piecemeal information gathering that results in the generation of inaccurate information.

Due to uncoordinated effort on initial assessment, it is often witnessed that people who have been devastated by a disaster are being grilled by the interviewers filling up questionnaires. These unfortunate victims are sometimes not aware of the purpose of these surveys and questions that arise in their mind are: Why? What? How many? When?, etc. It was reported in Sri Lanka, after the tsunami, a surviving woman was interviewed by twelve different interviewers during the first week of the disaster. In some cases these uncoordinated information collection methodology went at such extreme stage that communities were chasing away any official who came with forms or questionnaires. These situations highlight the need for disaster preparedness and planning for disaster management. Who will do what, when a disaster hits?

On the flip side of the coin, it has also been witnessed that organized communities had gathered all the information accurately immediately after the disaster. and they were in a position to present the

Afghanistan

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What Remains in Kabul

information to outsiders who visited them. Through this process, the community takes responsibility and helps in providing immediate support to the ones who it need most.

One important principle to be followed in damage assessment is the decentralization of information gathering to lowest official entity. This means that the geographical cell of information gathering has to be the smallest area covered by a Government administrative unit. Gathering information based on the existing administrative divisions, greatly helps in post disaster recovery and coordination with the local government.

One of the specifics that should be highlighted is the difference between post-conflict and post-disaster. This is an important distinction to make, as there are certain factors unique to each that will impact on how the situation assessment is undertaken. Accurate information is necessary for post-conflict and post-disaster planning. In a post-conflict situation, the recovery process has to address peace building initiatives that require long-term planning and

negotiation process. However, in post-disaster situation, the recovery process has to incorporate disaster preparedness and mitigation measures, which largely demands rapid assessment and quick deployment of basic life support system and materials depending on types and geographical location of the disaster.

3.2 Post-conflict Planning

One of the key differences in post-conflict situations is the duration of the crisis. Many wars carry on for decades and the level of destruction that they leave behind have much deeper roots than that of a quick impact of a disaster. Perhaps the most challenging issue is that of trust. Unlike a natural disaster, where the enemy of the people is nature, war pits neighbours against one another. This culture of mistrust is deep-rooted, and cannot be expected to fade away with the end of violence. It must be addressed and overcome. Thus, the task of designing programme and strategies in post-conflict circumstances is much more complex than in post-disaster situations. The rebuilding of trust will lay the foundation for long-term peace in

Indonesia

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Banda Aceh, After the Indian Ocean Tsunami

conflict-affected areas, and therefore, any post-conflict programming requires in-depth understanding of the cultural and ethnic values, in order to ensure that the recovery programme does not have a negative effect on the peace and stability of the area/region.

3.3 Post-disaster Planning

Despite the loss of life and resources, disaster creates an opportunity to take necessary preventative measures involving respective institutions and communities. Preventative knowledge on disaster mitigation and risk reduction substantially helps the community to organize themselves after a disaster and support themselves. Disaster prevention and mitigation must be the foremost considerations when preparing post-disaster recovery programmes. Natural disaster types, occurrences and geographical extent and distribution must be considered in the planning process that will give a comprehensive picture of the situation in preparation of coordinated longer-term development plan with appropriate prevention activities in the area.

Long-term post-disaster planning can be more challenging than traditional planning exercise. It requires support from all parties in terms of resources, motivation and political willingness.

3.4 Assessment Process

Starting with accounting for the dead, missing and injured, and then trying to protect the survivors take first priority in the assessment. This assessment will provide sufficient quantified information to make

Pakistan

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priority actions for immediate recovery planning. Then there is the need to look at the problem from the point of view of the affected people. This too has to be started as soon as possible but the completion may take more time since the communities need to be mobilized to carry out the assessment. Therefore, there are two parallel processes of assessment:

1 First by the Government agencies supported partner organisations:

Rapid Damage Assessment

2 The second by the affected communities supported by the Government authorities and partner organizations:

Community Damage Assessment

3.4.1 Rapid Damage Assessment

▪ **What is the purpose?**

The purpose of Rapid Damage Assessment is for the Government and the humanitarian community to get a good picture of the scale of destruction. This assessment will indicate the kind of relief needed immediately and the approximate cost of damages to life and property. Analysis of the information will provide a picture of the kind and scale of the reconstruction effort and its cost.

▪ **Who does?**

Keeping with the principle of decentralized assessment, it has to be led by the smallest administrative unit of the Government establishment. Very often this could be a village or a cluster of villages or settlements headed by an elected representative of the area with a state official in charge of administrative issues.

▪ **Who coordinates?**

In the damage assessment exercise coordination becomes crucial for aggregating the information at the different tiers of the administration. Therefore, it is essential that the assessment

is carried out by one administrative command structure. This could be the Government agency responsible for disaster management, which has a direct link to the lower-level Government/administrative structures. Coordination has to be done at the following levels, and information thus generated has to be presented by these levels. These levels are as follows:

- Village or settlement level
- District or divisional level
- Region or provincial level
- National level

▪ **What tools to use?**

The Damage Assessment Form (Family Profile) as shown in Annex 005 can be used for this exercise. This information can be fed into a database for quick analysis. One basic requirement for a disaster preparedness programme is to have these forms created in advance and a system established in preparation for an unexpected disaster. In other words, Governments should not wait for a disaster to occur to design these forms, establish systems and train in damage assessment.

The system will have the capacity to provide information at the lowest administrative level (village) that will be useful for the relief distribution and quick impact projects. Aggregated information and analysis can be generated for the regional and central authority. The information system will be able to generate geographical distribution of

Sri Lanka
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Affected by the Tsunami

damage and needs through GIS maps.

3.4.2 Community Damage Assessment

▪ **The Purpose**

The basic purpose of Community Damage Assessment is for the affected people to identify the type and scale of the problems that they faced in rebuilding their lives. This information will assist the community in deciding how to plan and act for recovery.

▪ **Why communities should be involved in damage assessment?**

- No one has a greater stake in damage assessment than the affected communities
- The information will be more accurate and will reflect the opinion of a larger number of community members
- The capacity of the entire community to deal with disasters will be developed
- Decision-making measures and response systems will be more effective due to the participation of the entire community
- Local culture and values will be preserved by involving community in the process

▪ **Who conducts Community Damage Assessment?**

Community Damage Assessment is carried out by each affected family assisted by the CDC. Each family has to complete the Family Profile Form (as shown in Annex 005) in triplicate. One copy stays with the family, one is kept with the CDC, and the other goes to the Government agency coordinating the recovery programme. This information is then entered into the computer database system. The Primary Groups and the CDC have the responsibility to ensure that the Family Profiles are completed accurately and in quick time. Then the CDC has to collect the Family Profiles and aggregate the information to prepare the Community Profile (see Annex 006).

4 COMMUNITY ACTION PLANNING

4.1 Introduction

In the Community Action Planning process, people are considered to be the primary resource rather than the objects of development. This approach motivates the conflict and disaster-affected people to take the lead in the planning and implementation of reconstruction activities.

The challenge in a comprehensive disaster recovery programme is to provide shelter and basic amenities while addressing the livelihood and other related issues in a very short time.

Disaster-affected communities are assisted in identifying their needs for housing reconstruction, community infrastructure needs, restarting their livelihoods and other problems confronted by them. These communities will implement their plans with the support of the Local Governments (LG) and other support organizations with the resources provided for reconstruction either by Government and/or partner agencies. Community Action Planning, which develops the capacity of the communities to take appropriate action for their own development, is the framework for the implementation of actions decided by the communities. It is important that the community itself prepares the Community Action Plan. This helps in the communities to internalize the plans and to take responsibility for their implementation and follow-up maintenance of assets. The planning process is carried out in the form of a workshop, in which the CDC members participate.

The identification of needs should not be viewed as making a "wish list" of what communities want in general, but as a process of understanding their present situation following a disaster or war. Together they want to find out what they need to do to overcome their problems.

Box 4.1 Together Helping Each Other

"Actually, in relief and rehabilitation work, the government provides the people that are helpless victims, instead of allowing all the problems to be managed by the affected communities themselves. In my area of Baan Nam Khem, we the affected people began to organize ourselves as a group, at the very beginning at the relief camp. One leader for every ten tents and these 60 to 70 groups brought the problems of the families to the nightly meeting. Then we divided all the tasks and responsibilities of the camp into people's committees; issues such as toilets, bathing places, communal kitchens, security, donations, liaising with Government agencies and visiting aid groups. All the outside help was organized by those of us who actually lived in the camp. And right away we started working on our long-term issues of rebuilding our livelihoods. We started savings groups and set up a revolving fund using some of the donor's money and started income generating projects".

Source: ACHR News
Maitree Kongkraijak, Thailand
June 2006

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Pakistan

The emphasis is on the process of understanding. The objective is to achieve a qualitative difference in lives, ensuring safety and security for the future. The Community Action Plan should not be predetermined by the potential resources for reconstruction. It should rather identify actions, which are required to improve and rebuild lives.

The role of the government, development partner organizations and the local authorities is to support this process.

Community Action Planning demands considerable flexibility, patience and creativity from the project staff. Flexibility is required because each community is different in its problems, needs and solutions. Patience is needed, because every community has to go through a similar process of understanding its situation, identifying its problems, setting its priorities and mobilizing its resources. Creativity is necessary, because Community Action Planning often does not fit into the existing procedures, rules and regulations of the government or development partners.

4.2 Social Mapping

In order to create a spatial overview of the main features in the settlement, the community should be involved in drawing a social map. For this purpose, men and women who are familiar with the area and who are willing to share their past experiences should be called in to participate in this exercise. A suitable place to write (ground, floor, paper, etc.) must be found and a medium (sticks, stones, seeds chalk, etc.). The participating people should be helped to get started but they should draw the map themselves. First, the hazards in the settlement and the location of houses, fields, roads, schools, wells, places of worship, etc. must be indicated on the map. Next, the participants should indicate vulnerabilities, i.e. vulnerable people, vulnerable property or vulnerable infrastructure that needs protection. Lastly, the community should indicate where the resources are located, i.e. food reserves, medical facilities, concrete roads, clean water resources and potential shelters, areas and routes for evacuation.

4.3 Guiding Principles

- Community Action Planning is a process of action and not a blueprint for future development
- Solutions to problems are with the people, and the role of the facilitator is to extract the solutions from the people
- Community Action Plans should not be predetermined but be generated

Sri Lanka

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Getting Organized to Prepare the Community Action Planning

by the affected communities
- Refrain from lecturing to the community; rather conduct the workshop as a discussion
- Ensure the participation of all interest groups, especially women and people engaged in different vocations
- Facilitate inputs of all groups, and do not allow one group or the leadership to dominate the discussion; remember that an issue which may seem unimportant to one group may be critical to another
- Refrain from drawing and writing too much; it is easier to absorb and remember a few points rather than a long list
- Use simple language and avoid complicated terminology
- Keep it as simple as possible

4.4 Preparation for the Workshop

The vehicle for the Community Action Planning and management is the interaction/partnership workshop. At such workshops, community members interact as partners with the staff of the project, the Local Authority and the Non-governmental Organizations. They discuss the problems of the community, identify solutions and formulate plans of action. The community assumes the responsibility to implement these action plans in collaboration with the project and other organizations, and to maintain and manage the built environment after the completion of the project.

The first step in the process of Community Action Planning is the CAP Workshop. It provides an opportunity for the community to obtain a comprehensive view of the consequence of the disaster or conflict, its socio-economic situation, and to identify its main problems and priorities. The workshop exposes the community to opportunities available for the improvement of its living conditions as well as the constraints and obstacles that need to be overcome. Participants in the workshop are Community Development Council members and representatives of

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Community Action Planning Activities

the various interest groups in the settlement, staff of the project, the Local Authority and other organizations concerned.

The objective of the workshop is: (i) to identify all problems faced by the community; (ii) to determine the nature, the magnitude and, wherever relevant, the cause(s) of each of the problems; (iii) to prioritize the problems; (iv) to explore possible solutions; (v) to determine the resources needed; (vi) to prepare a concrete plan of action which spells out who will do what, when and how; (vii) to develop a system to monitor the implementation of community action plan; and (viii) to design ways to ensure that everyone concerned is aware of the plan of action. The key to the workshop is the *options-and-trade-off technique*, because a problem may be solved in several ways and each solution may call for different trade-offs. The planners have an important role to play by clarifying the trade-offs for the community, but the selection of the option(s) is left entirely to the community and individual families. The number of participants at the workshop should ideally be about 25. It is also important that female members are well represented.

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Community Involvement

4.5 Venue

Ideally, the venue could be a community hall, classroom or any public building within the settlement or very close to it. If a suitable building cannot be found, especially after a disaster, an open space where people can sit on the ground is also suitable during daylight hours and if no rain is expected. Make sure that there is space for smaller groups of 6 to 8 to sit around and discuss.

Table 4.1 Workshop Agenda

Activities	Time
1. **Opening** What is the workshop about?	15 min. General Session
2. **Social Mapping** What have we lost and what do we have now?	30 min. General Session
3. **Identification** What are the problems?	30 min. Group Session
4. **Prioritization** What are the priority problems?	30 min. General Session
5. **Strategies** What are the approaches to solve the problem?	30 min. Groups Session
Lunch Break	
6. **Options and Trade-offs** What are the practical actions?	30 min. General Session
7. **Planning for Implementation** Who does what, when and how?	30 min. Group Session
8. **Implementation and Monitoring** How and who will follow up and monitor?	30 min. General Session
Tea Break	
9. **Presentation** Presentation of the Plan to the whole community	45 min. Whole Community Session

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SESSION 1 OPENING

What is the workshop about?

▪ **What is the task?**

The goal is for all the participants: (i) to understand what the workshop is about and what is going to be achieved at the end of it, (ii) to get to know each other, and (iii) to establish workshop norms.

▪ **How to go about doing it?**

This is a general session with all the participants, and should ideally be chaired by the Chairperson of the Community Development Council. The Chair should welcome the participants and open the workshop with a few words of encouragement.

Next, the workshops facilitators should introduce themselves and invite the participants to introduce themselves. In the introduction, the participants can say a few words about themselves but not their personal problems. This should be done to create an open and congenial atmosphere for the workshop.

Then the workshop facilitator should explain the purpose of the workshop briefly but very precisely. She/he should explain what is going to be achieved at the end of the workshop but do not in any way pre-empt the solutions to the problems, i.e. do not say that they should rebuild their houses, toilets or establish micro-credit fund, etc. Do not try to explain all the

sessions of the workshop at this stage. Each session has to be explained at the beginning of each session. The facilitator has to take the group through a process of realization of their present condition following the disaster and how they are coping with the situation. Finally, use this session to establish some workshop norms. The participants should set these norms.

Things to consider

- Emphasize that the solutions to problems are with the people, and that they need to identify them and act for their own development (the Facilitator may repeat this)
- The group need to think of the impact of the disaster, why was the damage so intensive and what lessons can be learned
- If the community has been relocated from another area, they should think why they have to settle in this present location? Specific advantages and opportunities?
- The group should be encouraged to reflect (think about) on their present situation, considering issues such as livelihoods, health, education, services, etc
- Emphasize that the authorities are not there to "provide" for them but will support them to achieve what they need
- The facilitators of this session have to be well acquainted with the goals and objectives of the recovery programme

▪ **What is the outcome?**

A shared understanding of what the workshop is going to achieve and setting of workshop norms.

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Explaining the Purpose of the Workshop

2 SOCIAL MAPPING

What have we lost and what do we have now?

Time: 30 minutes

▪ What is the task?

At the end of the session, the participants will draw a diagram of their settlement and develop an understanding of the status of the settlement and what they have lost in the disaster or the conflict.

▪ How to go about doing it?

Explain the objective of the session; draw the area and direction of the map (east, west, north and south). Draw it on a flip chart paper.

Do not direct the people. In fact, it is better to leave them to do it on their own. Tell them to draw the houses, roads, drains, latrines, tube wells, schools, educational institutions, temples, mosques, and mark what has been destroyed and what remains.

After they have finished, ask them to explain the maps. If possible, collect other people's opinion for the confirmation of the validity of the map.

Things to consider

The facilitators have to be very careful about everyone's participation during the drawing of the map of the settlement.

▪ What is the outcome?

A social map of the settlement with destroyed buildings and what remains.

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Community Mapping Exercise

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SESSION 3 — IDENTIFICATION

What are the problems?

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Listing Problems

▪ **What is the task?**

Participants working in groups should identify the problems that they face in rebuilding their lives: economic, physical, social, health and others.

▪ **How to go about doing it?**

For this session, participants have to be divided into four or five groups. The division into groups could be done by participants saying one, two, three, four, starting from one side. The persons who said one will be group one and who said two will be group two and so on. This would ensure a gender balance since it is likely that in the general session all the males would be sitting together and so would be the females. The facilitator should explain that each group should make a list of what they consider as the problems that the people are facing to rebuild their lives and to whom is it a problem. Do not give examples of problems because then the participants tend to think only on that line.

The groups should sit at the four corners of the room or different places in a manner that will not disturb each other. They should have a flip chart paper and coloured pens. Each group should appoint

a scribe and spokesperson to do the presentation. The facilitator should move around the groups and make sure that all group members have a chance to contribute their ideas.

Things to consider

The problem can be what is affecting them immediately: living in the camp, rebuilding their homes, education, health, family, social, economic, etc. Participants should go through a process of realization of their present situation. Since the general problems like rebuilding their homes and means of income are obvious, there are particular problems faced by different groups that need attention.

▪ **What is the outcome?**

A list of the problems and the detail of for whom it is a problem.

4 PRIORITIZATION

What are the priority problems?   Time: 30 minutes

▪ What is the task?

To the get the groups to present what they have identified as problems, to and discuss to whom is it a problem and why? Problems can be endless but there are some things that can be addressed and it is necessary to prioritize them. At this point, it is necessary to discuss what resources are available to address their problems: resources people themselves have, what is available from the programme, and what are the other potential resources.

▪ How to go about doing it?

This is a general session where each group will present their list of problems. The flip chart paper that the groups used to write the problems, have to be put up close to each other, and the spokesperson from the group should do the presentation. It is important to put up all the charts and not one by one. This facilitates the comparison and to see the problems that all the groups or majority of the groups have in common.

During the presentation, the facilitator should allow others to ask questions in order that everyone understands the problem. In this manner, a discussion around the problem will be generated but it should not veer off to discussing solutions at this stage. Then the facilitator should put a blank sheet of flip chart paper. Through the discussion, she/he should start listing the problems in one chart.

▪ How to prioritize the problems?

The priority of a problem can vary with the individual. Collectively there may be some agreement on the priority of the problems. Some like housing and income earning opportunities may be obvious but there are others that may not be apparent.

Things to consider

- Facilitator should ask pertinent questions like "why is it a problem?" or "to whom is it a problem?"
- Problems that all feel that they are affected. Problems that may be felt by certain families, especially children and women

▪ What is the outcome?

A list of prioritized problems.
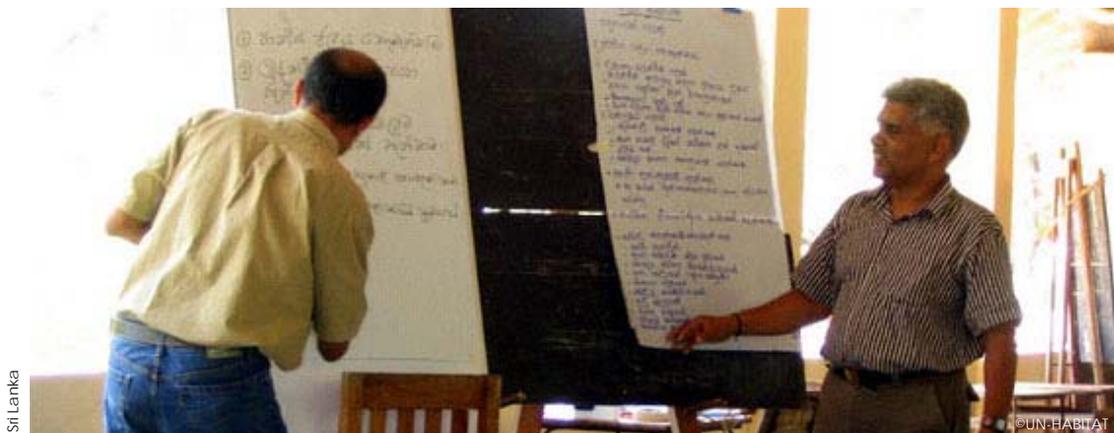
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Prioritizing Problems

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5 STRATEGIES

What are the approaches to solve the problems? Time: 30 minutes

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Identifying Different Ways of Tackling Prioritized Problems

▪ What is the task?

The goal is to identify different ways of tackling the prioritized problems and prepare a list.

▪ How to go about doing it?

The participants form groups again. They should be given the prioritized problems and requested to identify the actions required to address the problems.

Things to consider

It is necessary to remind the participants that any problem may have different solutions and that they need to consider as many options as possible.

▪ What is the outcome?

A list prepared by each group of the different approaches to solve the prioritized problems.

SESSION

6 OPTIONS AND TRADE-OFFS

What are the actions?

Time: 30 minutes

▪ What is the task?

The goal is to identify from all the approaches, actions that can be realistically undertaken by the community with available resources to solve their immediate and long-term problems.

▪ How to go about doing it?

The spokesperson from the group will present the list of solutions that the group had identified to a session of all participants. The facilitator plays an important role in this session to articulate the trade-offs for all the options presented, considering time, cost and practicality. Having articulated the trade-offs, the facilitator then should allow the participants to discuss amongst themselves and come to an agreement on the option that they wish to implement. The facilitator

should put up a blank sheet and start writing the options or the actions that the participants wish to implement.

Things to consider

The practicality of the option to be implemented considers the cost, availability of space, time that it would take to implement and the implications and benefits and to whom.

▪ What is the outcome?

A list of agreed actions that the community would implement with the support of the recovery programme and the authorities to address its immediate and long-term problems.

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Identifying Actions to Solve Immediate and Long-term Problems

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7 PLANNNING FOR IMPLEMENTATION

Who does what? Where? When?

Time: 30 minutes

▪ What is the task?

The goal is to prepare a step-by-step plan of action for implementing the priority actions. Action plans should address who does what, where and when.

▪ How to go about doing it?

First, recall what you did in the previous sessions and go through the list of actions that have been agreed. Form into four groups, and each group would take three or four actions depending on the number of actions agreed in the previous session. The facilitator should allocate the actions to the different groups, and related actions should be allocated to one group.

Things to consider

- ▪ For each agreed action (option), what are the step-by-step actions necessary to implement
- ▪ Who will do the task? (Specific person or persons identified). Whether it is the community, local authority or other organization? If it is the community, whether it is the CDC or a specific primary group. What kind of skills and training is required? What kind of tools will be needed? When will the actions start and how long it will take?

What is the outcome?

- ▪ *A chart filled out with step-by-step actions necessary to implement the agreed action/option*
- ▪ *A map showing location of facilities to be established*

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Planning Together for Implementation

8 IMPLEMENTATION AND MONITORING

How to organize the implementation? How to check?   Time: 30 minutes

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Organizing the Project Implementation

▪ What is the task?

The goal here is to discuss and agree how to organize the implementation (how things are going to work?) and who is going to check/monitor? How will the checking/monitoring be done? What kind of information will be gathered?

▪ How to go about doing it?

The groups will present the step-by-step action necessary to implement the agreed actions. An in depth discussion has to take place, and everybody should have a sound understanding of how different things are going to take place. The Facilitator should take the discussion to a conclusion and write on the flipchart paper all the decisions taken. Funding arrangements and monitoring systems should be discussed in detail.

Things to consider

- ▪ Institutional arrangements for the flow of funds for community work
- ▪ Assignment of different task groups. Information required? How to do it?
- ▪ Recording mechanisms for money, material, etc

▪ What is the outcome?

A detailed plan of the institutional arrangements to implement the actions, and the mechanisms of monitoring and control.

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9 PRESENTATION

Time: 45 minutes

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Presenting the Outcome to the Community

▪ What is the task?

The outcome of the exercise is presented to the whole community by the members who participated in the workshop. The goal is to inform the community of the decisions made regarding their development, to have the comments of the wider community and to secure their agreement on the above decisions.

▪ How to go about doing it?

The community representatives who took part in the workshop, put up both the map and the sheets of session 6, 7 and 8, and take turns to explain each of the planned actions.

The facilitator should invite comments and observe whether there is general approval of the ideas. If more ideas for improvement come from the floor, they should be incorporated.

Things to consider

- ▪ A large enough place to accommodate the sessions' sheets. It can be an open space outside
- ▪ Try to have the local authority officials to be present for this session
- ▪ Keep it short since by this time everyone is probably tired

▪ What is the outcome?

Community Action Plan accepted by the community for implementation.

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Women Participating in Large Gathering

world shelter people

5 COMMUNITY CONTRACTS

5.1 Introduction

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"Women work together to process coral stones from old and demolished walls and buildings; these are recycled and used for housing construction. They get about 12 Rufiyaa per bag of crushed stones and this has now become an additional source of income for them"

Recycling Construction Material

A Community Contract is a contract awarded to a community organization by a government agency, NGO or a project to carry out physical works that have been identified in the Community Action Plan. In most cases, the community organization, which represents the community of a particular settlement, is the registered Community Development Council. The set of activities is usually the construction of housing and community infrastructure, a prioritized need in the community identified in the Community Action Plan. Over time however, Community Contracts have been used for a number of innovative activities beyond the construction of simple infrastructure facilities. These activities include for example the provision of services and the enhancement of skills.

It is important to note that Community Contracts emerge from a process, in which communities identify their needs, prioritize their problems and agree upon plans for their solutions. The technical preparation of the plan is usually facilitated by the organization, which assists the community or which is commissioned by the community.

▪ Why Community Contracts?

If physical infrastructure or housing is built through the conventional contractual procedures, the community benefits only from the output of the contract and not from the process of the construction. Awarding the contract to the community has the advantages outlined in the Table 5.1:

Table 5.1 Comparative Advantages of Community Contracts

Process	Conventional Contract	Community Contract
Planning	Outside professionals	Community
Design	Outside professionals	Community assisted by professionals
Physical works	Outside contractor	Community
Labour	Machine intensive	Labour intensive
Experience	Goes out of community	Stays with community
Quality of work	Chances of being inferior	Good, it is their own
Profit margin	High	Low
Feeling of ownership	None	Very high

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People Are at the Centre of the Process in Decision-making and Action

The typical type of community contract would be for works that can be classified as follows:

- Physical improvements within the settlement
- Technically not complicated in nature
- Mostly labour intensive, rather than mechanized
- Not capital intensive
- Not requiring highly specialized skills
- Relatively easy to manage

The most common types of works constructed though community contracts are:

- Housing construction
- Access roads to and within the settlement
- Paved footpaths
- Drains, culverts and small bridges
- Water wells, hand-pumps with platforms and water tanks
- Public toilets
- Small-scale sewer systems
- Community halls, schools, clinics

5.2 Accountability

It is important to ensure social and economic accountability in any participatory development initiative. The question of accountability has always been looked at from the top, from the centre, i.e. local and peripheral organizations being accountable to the centre for expenditure and output. Therefore, central organizations keep control of funds and expenditure.

Contracts are awarded from the central agencies to large contractors because they are believed to be the only trustworthy partners. These contractors are only accountable to the body that awarded the contract and not to the community. However, experience has shown that community organization and other grassroots organizations are accountable, not only to the funding agency but also to the people that they represent and who they serve. Therefore, accountability is a two-way process. The people are the best judges of any facility

that they have been provided with: they have a better judgment of whether it is worth the cost and whether it is done to satisfactory standards. To ensure this process, it is necessary to formalize the accountability and monitoring in the hands of the people who will benefit from the facility. The openness of procedures and economic transactions is the key to accountability in this system. It strengthens the trust, both within the community and between the CDC and the local authority. By implementing these contracts, the communities become more responsible for their own development work and for the management of facilities. They acquire a feeling of ownership and attachment to the facility, which will automatically ensure long-term maintenance.

5.3 Contract Award and Management

A Community Contract is awarded to the CDC or a recognized Community Based Organization representing the community. The particular works are designed and estimated by the organization responsible for the project in consultation with the community. The contract is entered into between the CDC and the project. Generally "The Community Contract" is signed by the Chairperson and the Treasurer of the CDC representing CDC and respective Project Manager (see Annex 006). Attestation of two witnesses is necessary for the Contract, and generally they are a representative of the local authority and another member of the community.

The CDC should appoint a book-keeper/store keeper, who is from the community. She or he should maintain proper records of stock, tools and equipment and the cashbook. If the Treasurer of the CDC is capable of performing this duty or is willing to learn how to do this job, it is better for the CDC. The cost of remunerating the person should be included into the contract. The CDC should at all times ensure that the accounts are available to the contract-granting authority.

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Communities Keep Control of Funds and Expenditure

5.4 Eligibility Criteria for CDCs for Community Contracts

Before a CDC is awarded a Community Contract, its capacity needs to be assessed using the following criteria:

- Be fully represented by all the Primary Groups of the community
- Be registered with the Local Authority or Government Authority
- Have prepared the Community Action Plan
- Have a bank account

29

- Have received instructions or training in Community Contracting

5.5 Technical Training to *Build Back Better*

If the reconstruction is a result of an earthquake, typhoon, tsunami, flood or other disaster, it is essential to include mitigation measures into the reconstruction process. It is necessary to ensure that housing and infrastructure facilities are safe, and will not be damaged to the same degree in the next catastrophic event. This requires the introduction of disaster resistant construction techniques.

First, the guidelines and standards for safe construction have to be developed, which should be followed by training for community builders in disaster resistant techniques. The training should consist of instructions on correct building practices and of on-the-job training in construction. There is an opportunity to introduce disaster awareness and mitigation methods for the whole community. The Community may prioritize some of the protection measures in the Community Action Plan.

Pakistan

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Developing the Sense of Ownership

ACTION 1 — PREPARATION OF DESIGNS

▪ What is the task?

The Community will have identified different items of required physical infrastructure or housing in the Community Action Plan, e.g. housing, land filling, drains, roads, footpaths, community centres, etc. The task at this stage is to prepare a detail design and a preliminary estimate for each of the items identified within the funds available.

▪ Who does?

The designs and estimates will be prepared jointly with local government technical officer and technical staff of UN-HABITAT in consultation with the CDC and the Project Staff.

▪ How to go about doing it?

Take each Community Action Plan and make a site visit with the CDC. Make accurate measurements of all the items. Discuss with the CDC members the specifications, e.g. for roads, footpaths and drains. If it is a land filling, discuss with the CDC members regarding the level to which land has to be filled to prevent flooding. Engineers will prepare the detailed drawings specifications and costing. A copy of these will be attached to the application. One application should contain only one item unless two items have to be done together, for example a

drain under the footpath or adjacent to it. After the discussion a work plan should be prepared for all the works indicating the number of weeks and months in which the work will be to be undertaken.

In the case of housing reconstruction, the families should be given the freedom to design the house within certain parameters. The technical officers' responsibility is to advise the families to design a house, which can be built with the resources available to the family. The resources could be salvaged material, grant from the state or agency, other resources the family can mobilize from well-wishers, etc. The technical officer has to make an estimate of the cost and materials so that the family is made aware of the quantities of materials to be purchased. If the families wish to build on the foundations of the destroyed house, they need to be checked for earthquake resistance. If the foundation of the old house has not been built to withstand an earthquake, it has to be rebuilt. Once the design is prepared, an application for the Community Contract should be completed and forwarded to the project management for approval.

Things to consider

Consider the feasibility of the proposed item both technically and financially. Always consider the possibility of land regularization and granting of tenure. If it is possible, setting out should be done before designing of roads, footpaths and drains because the new layout is likely to be slightly different from the existing and/or old one.

▪ What are the outputs?

The output is the design, estimate and work plan that will be attached to application for funding (see Annex 007).

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Preparing Detailed Estimates

2 IMPLEMENTATION OF WORKS

▪ **What is the task?**

The task at this stage is to carry out the work as stipulated in the contract.

▪ **Who does?**

The CDC through Construction Groups.

▪ **How to go about doing it?**

Considering the size and nature of the job, the CDC can constitute a Construction Group, which should have a leader and a person in charge of accounts and materials (book-keeper or store keeper, preferably a female member). When the contract is signed, the Project would provide the CDC with an advance. The amount is to be determined by the value of the total contract. With this money, the Construction Group will purchase tools, equipment and material and start the work. Open a register for tools and equipment. Open a Materials Register to record all the materials purchased. The

CDC should procure materials by obtaining quotations from several suppliers. It is in the interest of the CDC to get the best price for the materials. The technical staff of the project should provide guidance and technical assistance to the Construction Group. This should be done by conducting a half-day workshop with the CDC and the Construction Group following an Agenda (see Annex 008).

Things to consider

Consider the opportunity to provide on the job training to unskilled people in the community.

▪ **What are the outputs?**

Physical works as identified in the application.

Maldives

Carrying Out the Construction Work

ACTION 3 — PROGRESS PAYMENTS

▪ What is the task?

The task is to check progress, certify work and make payments according to the contract.

▪ Who does?

The respective UN-HABITAT's Project Manager should designate one or more officer/s as the Payment Certifier/s. She or he should be an Engineer or a Technical Officer with good knowledge of costs and quantities. The CDC and the Construction Group should assist the Payment Certifier to carry out inspections.

▪ How to go about doing it?

After reaching the level of work expected at first stage, the Payment Certifier should be informed to make an inspection. The inspection should be carried out with representatives of the CDC and the Construction Group. The Payment Certifier should measure and estimate the work done and record it on a Progress Payment Certificate. The Progress Payment Certificate should be signed by the Payment Certifier and the Chairperson of the CDC (see Annex 009). The Payment Certificate should be considered by the Project Management as the payment made to the CDC. With this money, the Construction Group will continue the work. When the work reaches the next stage, another inspection should be called for and the procedure should be repeated. Payment will be made in instalments on the benchmarks to be reached before signing the contract between the CDC and the Project Management.

Things to consider

- When the Payment Certifier, who will be an Engineer or Senior Technical Officer, does the inspection, she or he should check for quality of the work. If the quality is found to be poor she or he should advise the Construction Group how to rectify and improve
- The Payment Certifier should also monitor and advise the beneficiaries not to exceed the cost estimates

▪ What are the outputs?

Completed physical works as identified in the application.

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Houses Completed by People

4 INAGURATION
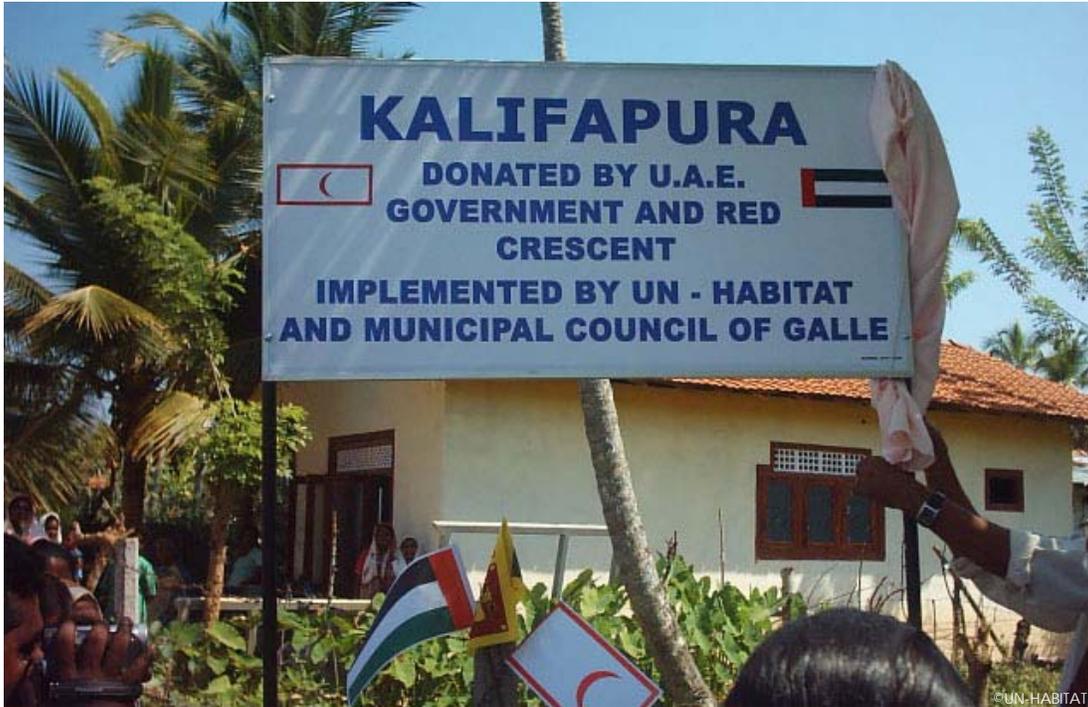
Inauguration Ceremony in Galle

What is the task?

The task is to have a small ceremony and to get the Mayor or an important outsider chosen by the CDC to inaugurate the physical works.

▪ Who does?

The CDC should organize the ceremony with the assistance of the Community Mobilizer/Technical Officer.

▪ How to go about doing it?

The community should gather in a neighbouring school or community centre. The CDC Chairperson should make a welcome address. She or he should describe how the physical works were undertaken by the CDC and the benefits. Then the Treasurer should read out the accounts. The Payment Certifier could then sign off the accounts and give the CDC a clean bill of health (if that is the case). Then the senior person from project management should address the gathering. Then gathering should visit the works. The guest should cut a ribbon and inaugurate the works or what is culturally appropriate.

Things to consider

The community should discuss the maintenance of the works. An operation and management plan should be a part of the proposal, and should be signed before the completion certificate is submitted for payments.

▪ What are the outputs?

Completed housing and physical works for the use of the community.

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6 RISK MITIGATION AND AWARENESS

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Need to Protect Vulnerable Future Generation

6.1 Introduction

Of the 250,000 people who die every year because of natural disasters, 95% live in countries that are on the road to development. It is necessary to reduce this number by transferring knowledge and by raising awareness on these issues.

The recovery process after major earthquakes, tsunamis, storms, floods or other disasters offers the unique chance for settlements to turn their disaster vulnerability into disaster resilience. Therefore, risk reduction and mitigation measures should be integral part of the recovery. Raising public awareness towards potential dangers should be fostered.

Recovery provides the physical opportunity as well as a collective mindset to introduce changes in structural and non-structural risk reduction elements, and these need to be coordinated in an integrated manner. The obstacles to the introduction of safety measures are: the additional costs, the need to train designers and builders in new ways of building, the need to educate the public concerning their own behaviour, the development of enhanced safety legislation, such as building by-laws and land-use planning controls. Risk reduction also needs to be mainstreamed into the central flow of government policies and planning. Disaster recovery may provide the catalyst for such changes.

6.2 Mitigation and Awareness Issues

Core issues for risk mitigation and awareness are:

- The integration of disaster risk reduction into sustainable policies and the planning of recovery
- Development and strengthening of institutions, legal mechanisms and capacities to build resilience to hazards throughout the recovery process
- The systematic incorporation of risk reduction approaches into the implementation of emergency preparedness, response and recovery programmes
- Building risk reduction into the reconstruction of new buildings and infrastructure
- Community responsibility in all aspects of the recovery in order to build capacity for risk reduction and disaster mitigation

After the disaster, there should be the following **priorities** in terms of disaster risk reduction and mitigation:

- Raise public awareness of the risks posed by earthquakes, floods, tsunamis and other disasters, and introduce the possible measures to manage these risks.
- Help communities identify practical measures to reduce their risks to natural disasters
- Train NGOs presently working in earthquake, flood, and tsunami prone areas on preparedness and mitigation
- Train engineers, local builders, social and community leaders in earthquake preparedness and mitigation
- Provide training on village and settlement level for housing beneficiaries

As described in Chapter 4, community responsibility is crucial for the engagement in recovery, even more so in all efforts related to risk reduction and disaster mitigation. If the community is actively involved in the planning of risk reduction and disaster mitigation measures, it will directly lead to a reduced number of deaths and injured people, and there will be less damage to social structures and

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Improving Construction Methods

material assets in a potential new disaster.

The entire community will become able to cope with disasters in a quick and effective way. Every human and material resource will be most effectively mobilized in cases of emergency. Clear procedures will ensure close cooperation between the community, local and international NGOs and government institutions on all levels.

6.3 Work with the Communities

Detailed risk reduction and disaster mitigation measures to be undertaken based on the Community Action Planning concept, elaborated in Chapter 4, are:

6.3.1 Community Based Risk Assessment (CBRA) of the Local Situation

- The CBRA starts with the assessment of hazards, their type, nature, frequency and magnitude. It follows the assessment of vulnerability
- The community members determine the factors of risk affecting their community, as well as the causes of these factors
- During the vulnerability assessment, it must take the differences within the community regarding sex, age, social- and material- status into account
- Finally, the community must assess its capacities. This is the process of analyzing and defining what local people can do in an emergency situation in order to mitigate the effects of hazards as well as to ensure their sustainable livelihood. Here the community can learn from the experiences of local people and the analysis of available resources

6.3.2 Aspects of a Hazard, Vulnerability and Capacity Assessment

Material aspects:
- Situation of assets of the population, poor housing and infrastructure, etc.
- Provide training on village and settlement level for housing beneficiaries
- Food security

- Availability of basic services, i.e. education, health care, water supply and sanitation, etc

Social and institutional aspects:
- Poor relationships between community members
- Discrimination against community members in terms of race, gender, social position, religion, ideological system, etc
- Lack of local organizations and institutions or poor organizational capacity

Aspects of motivation:
- The community is passive or pessimistic about its future
- Lack of solidarity, cooperation and unity

6.3.3 Preparation of a Disaster Preparedness Plan

Facilitate the community to establish a Disaster Response Committee (DRC). This body, which must be equally composed of women and men, must be assisted to create a disaster preparedness plan. The plan should fulfil the following tasks:

- Identify safe shelters in the settlement
- Identify the evacuation routes leading to safe shelters
- Identify emergency communication systems (who and where to call)
- Establish emergency communication and information dissemination networks among the DRC members
- Establish communication networks between and among communities
- Store food and drinking water
- Mobilize emergency rescue equipment
- Mobilize volunteer teams for emergency rescues and assign responsibilities
- Notify community of evacuation plans (especially those who will need to be evacuated)
- Organize disaster preparedness exercises (rescue, evacuation, etc.)
- Prepare for disasters with a well-designed logistical emergency plan and prearranged modes of transportation

Pakistan

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Practical Training

- Set-up/re-check early warning systems (radio, megaphone, public address systems, etc.)
- Ensure current water supply sources are protected, e.g. from contamination

6.3.4 Orientation for population how to react before, during and after a disaster

Facilitators should inform the community members what personal measures they can take in order to reduce their risk before a disaster and in order to protect themselves during and in the immediate aftermath of a disaster. As an example, in the case of earthquake risk, the following instructions should be provided:

1 Measures before an earthquake incidence:

- Know the safe place in each room.
- Know the danger spots: near windows, mirrors, hanging objects, unsecured furniture and shelves holding heavy objects.
- Know local safe places outdoors.
- Identify exits and alternative exits – possible ways to evacuate the house and work place during an emergency.

Ensure that these exits are never blocked.
- Know the location of the on/off switches/valves for electricity and water, and learn how to operate them
- Learn first aid.
- Keep large, heavy objects and breakables on lower shelves to prevent serious injuries caused by falling objects.
- Store all flammable or hazardous liquids outside the house, in their proper containers and away from structures.
- Hang heavy items such as pictures, mirrors, etc. away from beds, couches and from where people usually sit.
- Brace overhead light fixtures to prevent them from falling during an earthquake.
- Close shutters or draw curtains as protection from flying glass
- Ensure that a stock of food, drinking water, first-aid material, essential medicine, a flashlight with extra batteries and a radio with extra batteries is in the house

2 Measures during an earthquake incidence:

- If possible, get outside and move to an open space. Keep safe distance from trees, sign-boards, buildings, electrical wires and poles
- Do not use elevators, use only stairs
- Beware of objects falling down in the street
- If you cannot get out: position yourself under a sturdy table or cot so that you are not hurt by falling objects; protect your head with a pillow or soft protective material; open the door; turn off cookers, electric supplies, gas cylinder etc.; move away from windows, doors, tall cabinets and heavy objects that could fall

3 Measures after an earthquake incidence:

- Check yourself for any injuries
- Protect yourself from broken objects by wearing long pants, long-sleeved shirts, sturdy shoes and gloves
- Check others for injuries. Give first aid and cover the seriously injured with blankets to prevent shock
- Check the building for damages. You may have to leave the building if it is seriously damaged or prone to collapse in an aftershock
- If there is fire, try to extinguish it, call fire service – if possible, and leave the house immediately
- Clean up spilled medicine, gasoline or other flammable liquids immediately. Leave the area if you smell gas or fumes
- Be prepared for aftershocks. Plan where you will take cover when they occur

6.4 Training of facilitators

In order to work with the communities, local facilitators need to be trained in conducting awareness raising campaigns on disaster preparedness and mitigation. The training of trainers should be based on a written guideline and have the following objectives:

- Enhance the knowledge and capacity of the trainers and facilitators on disaster preparedness and mitigation issues
- Guide them to deliver/facilitate training and awareness raising sessions
- Guide them to facilitate the development of a Community Action Plan for villagers who are specifically at risk of earthquakes

6.5 Training of the communities

The facilitators should learn to apply the following principles:

- Encourage the participation of everybody, especially women, and respect the points of view of all participants
- Emphasize important points
- Put the participants in a situation of success
- Make comprehension easier by using simple words and visual supports
- Stimulate interest by giving concrete examples that are relevant to the situation of the village and by varying the activities
- Ensure the understanding of the participants, and do not hesitate to repeat and reformulate when needed
- It is extremely important that women participate in the process, since they may be able to identify risks that men would not necessarily consider. They are often the ones who take care of vulnerable people (children, the elderly, disabled people, etc.). If required, the facilitators should hold separate training sessions for men and women and later synthesize the results into a common vision
- Facilitators should be taught how to conduct a workshop to raise awareness, reduce risks and teach mitigation measures

Pakistan

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Distribution of Visual Materials on Earthquake Resistant Techniques to Raise Public Awareness

world + shelter + people =

7 MONITORING INFORMATION SYSTEM

7.1 Introduction

Maldives
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Talking About Strengths and Weaknesses to Improve the Quality of the Programme

The fundamental principle of a Monitoring Information System is to allow users to capture data, process and disseminate information in a systematic way. Monitoring information system enables us to measure trends of various indicators based on the data collected in the field. A monitoring system is vital in supporting post disaster relief and recovery.

Systematic assessment and review at one point in time of post-disaster activities helps us monitor the progress and provide support to evaluate the sustainable impact on affected community. This chapter intends to facilitate the understanding of the basic ideas behind monitoring and evaluation exercise.

▪ Why monitoring is needed?

Under the Recovery Programme, support is given to the beneficiary households and communities to rebuild their houses and community infrastructure, and facilitate the environment to enhance the livelihood opportunities. It is very important to know the strengths and weaknesses of the programme and provide sufficient information to the decision makers to take initiatives to improve the quality of the Programme. It also allows measuring the expected objectives and outputs. In other words, monitoring ensures that activities are on the right path by checking them, measuring progress towards the objectives, identifying problems as they come up, and identifying strengths that

can be built upon. Monitoring gathers information about beneficiary access to, use of and satisfaction with the operation outputs.

▪ **What is needed for monitoring?**

An effective and efficient monitoring system should have the following components:

- ▪ Baseline information (Family Profile)
- ▪ Selection of indicators related to objectives, activities and outputs
- ▪ Tools for collecting information
- ▪ Collection of information
- ▪ Processing of information
- ▪ Analysis of information
- ▪ Presenting and communication of the results in appropriate ways
- ▪ Using information

▪ **Where will monitoring take place?**

Monitoring will take place at the following different levels :

- ▪ Community level
- ▪ District level
- ▪ Sub-national or provincial level
- ▪ National level

▪ **When will monitoring take place?**

Monitoring will take place periodically in a regular manner, and the time and duration will be decided at the time of planning of monitoring at different levels. Monitoring also depends on the scale and extent of the damage caused by the natural disasters.

Monitoring process will be established in discussion and agreement with beneficiaries, Primary Groups, CDC members, district officials, provincial and national agencies. Focal person will be identified in each of the stakeholders; they will participate in this monitoring exercise. Who and who are the participants will be decided at the time of planning of monitoring system.

▪ **How will monitoring take place?**

Different set of indicators (objective indicators, activity indicators, output indicators), which have been established in the framework, need to be assessed or measured throughout the process. Checklists and secondary data will be used to measure the activity indicators on a regular basis and for output and objective indicators, a sample of households, which received support and for which baseline information is available, will be selected and interviewed periodically using the appropriate monitoring tools given in the framework to measure the indicators.

7.2 Review and Evaluation

Basic purpose of the review is to take closer look at the project than which is possible through regular monitoring. Regular formal and in-depth mid-term reviews will be carried out by the external reviewers with support of partnership officers to look at various specific aspect of the project.

The purpose of evaluation is: (i) to look at the efficiency and effectiveness of the programme; (ii) what changes or impact the programme has brought in the lives of targeted beneficiaries and the communities; and (iii) how these changes will be sustained for longer-term periods. Key performance indicators and measures will be established during the evaluation. In other words, evaluation will aim to find out whether the programme's goal has been achieved. An external evaluation will also be carried out by the external consultants at the end of the Programme which will be very formal and structured exercise than the review outlined above.

7.3 The Need for Family and Community Profiles as a Baseline Survey for Monitoring, Review and Evaluation

As mentioned above, it is very important to monitor the process and progress in the housing reconstruction activities in supporting affected families and communities. The monitoring and evaluation of indicators implies that the project has good baseline information for

the particular indicators. In order to achieve a baseline databank, Family and Community Profiles have to be completed. Profiling is the non-experimental analysis and description of the situation prior to the intervention of the project. Therefore, Profiles, which form a baseline survey of the status of the current situation of the targeted beneficiaries, would provide information for monitoring, review and evaluation of the reconstruction projects.

7.4 Risk Monitoring and Management

The Recovery Programme is a complex of activities involving changes, risks and interaction among many people, agencies and social groups. Risk can be defined as potential negative impact to an asset or project and/or some characteristic value that may arise from present of future events. In practice, risk is the combination of likelihood and impact. Likelihood is the probability and impact is the lasting change. These risks are generated by various sources, for instance, one of the risk sources is an unstable political situation. However in practice,

certain amount of risks is inevitable and certain risks are manageable.

- **Why does monitoring and management of risks is important?**

As the Programme is desirous to achieve its objectives and goals, the associated possible risks need to be monitored and managed to ensure the following:

- Better and meaningful support to the targeted beneficiaries; in other words, better service delivery
- Efficient use of available resources
- Effective management of possible changes that take place
- Developing and managing contingency plans, and maintaining the planned activities
- Reduce waste, and obtain better value for money
- Better management at all levels through improved decision-making.
- Keep balance between time, cost and results
- Better coordination with other UN agencies and development partners

Sri Lanka

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Measuring Beneficiary's Satisfaction

7.5 Monitoring Information System

Monitoring Information System (MIS) is directly linked to project management by objectives and to the monitoring of key performance indicators. It can also help in processing specific information for decision-making. Identification of the geographical extent and scale of damage caused by any natural disaster plays a key role in planning the immediate relief and rehabilitation activities. Figure 7.1 above shows input requirements for a Monitoring Information System to monitor the progress and geographical distribution.

The damage assessment forms along with an integrated MIS and GIS system can quickly setup the system and produce the required information for planning and managing the response. This information will be useful for planning a long-term recovery plan for the affected areas. Information tools will play a key role in monitoring the progress of post-disaster activities. Some examples of information system needs are:

▪ A Geographic Information System (GIS) is capable of creating visual maps based on the information collected from the field. MIS will be customized in a way that it will aggregate damage data and produce maps (Figure 7.2) for monitoring and coordination. This integrated (database and GIS) system can be the key component of the

Monitoring & Evaluation System. Using GIS system damage assessment maps will be created based on high resolution (one meter) satellite images

▪ High-resolution satellite images will be immensely important to identify damage infrastructure in the urban areas. One-meter resolution imageries were used in damage assessment in six highly damaged cities in Pakistan following the October 2005's earthquake (see Figure below)
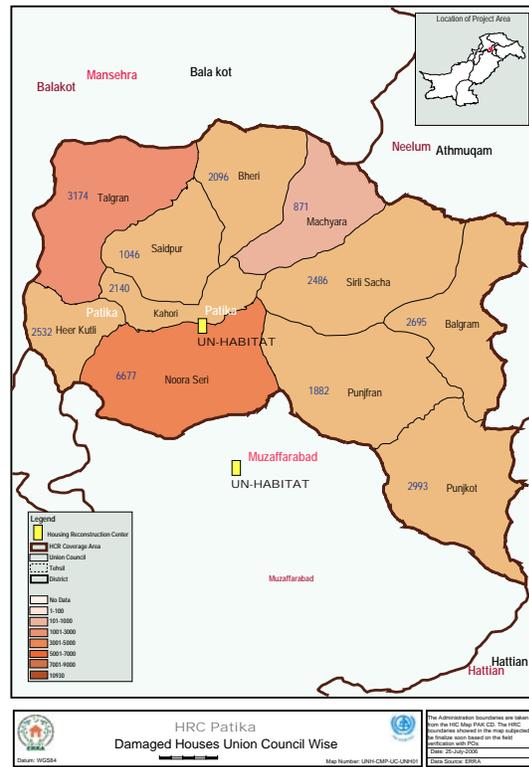
Fig. 7.2 Map of Damaged Houses after Earthquake
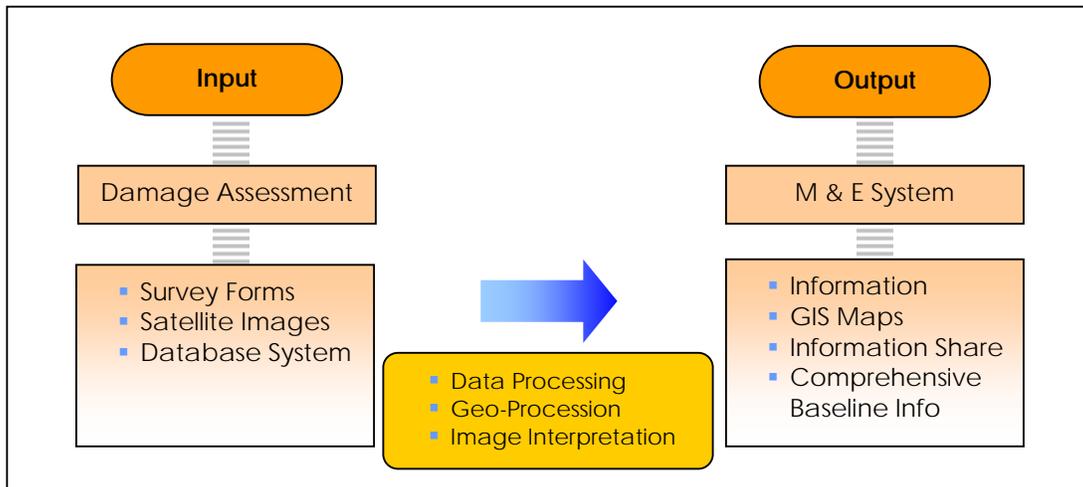
Fig. 7.1 Input Requirements for Monitoring Progress and Geographical Distribution

- Global Positioning System (GPS) plays a very important role in post disaster assessment. With the disruption of infrastructure and facilities, GPS helps in finding the location (latitude, longitude and elevation) of the affected communities and other infrastructure for planning and relief management. The coordinates captured by the hand held GPS can be easily imported into a GIS and displayed on a map
- High-resolution satellite images can be acquired very quickly. Some time images are available in the archive that works as a baseline image, which are also useful during the damage assessment period. However, using images acquired prior to the disaster

- needs trained and skilled human resources during the assessment
- High resolution satellite imageries should include pre- and post- disaster satellite images, district maps, disaster affected areas, damaged/destroyed houses, affected population, shelter needs, shelter condition progress, progress on assistance and inspection work, who is where, accessibility, training activities, anticipated migration caseload, etc. An example of identification of the damage houses and infrastructures are in the photograph shown above
- A set of standardized forms will be used in initial damage assessment. These forms have been designed to fit with
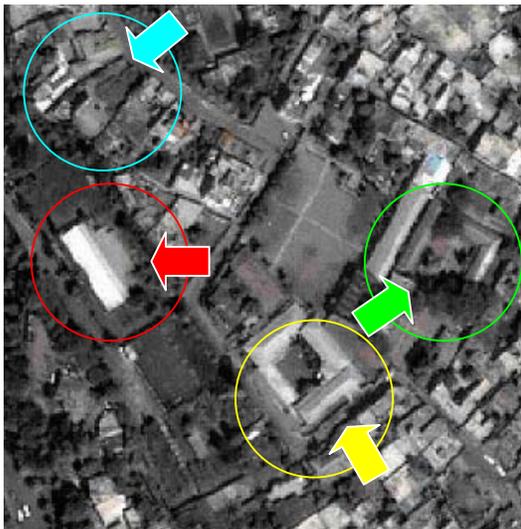
Before the Earthquake

Infrastructure Damaged After the Earthquake
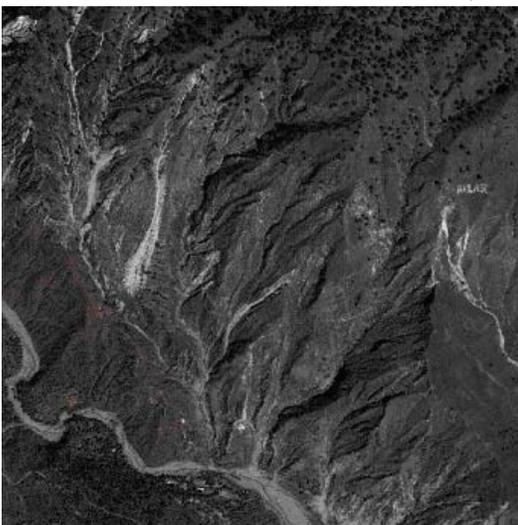
Before the Earthquake
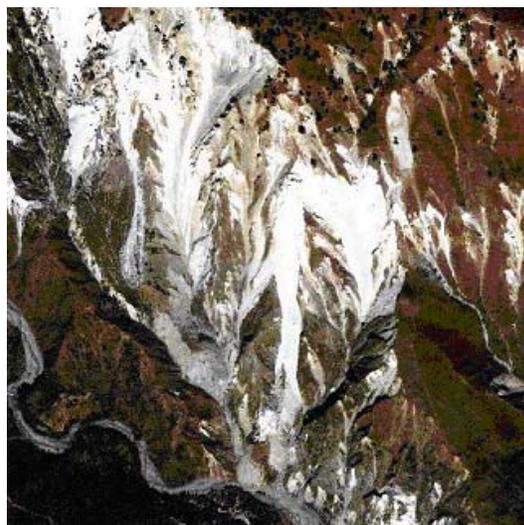
Landslide Created due to the Earthquake

45

Indonesia

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Involvement of Community on Monitoring Construction Progress

various types of natural disasters. They cover physical and socio-economic relevant information along with comprehensive assessment of the damage in relation to infrastructure, crop, property and gender based vulnerability

- A computerized database monitoring system will be developed with a capability of tracking and reporting progress on the performance of the Programme and the success of the recovery effort. This will provide timely progress assessment, construction quality and social development. The system will have the offline and online options. Damage data will be collected using specific forms (see Annexes 004 and 005). Then data will be entered into the accompanying database. Where it permits, the database will be able to upload with the support of Internet connection. In case of remote areas, satellite phone will be used to upload the data in the central server. The data uploaded in the server will dynamically link with a website that will enable access of information to all the parties. The

system will be implemented in two phases. A stand-alone system will be developed in the first phase and tasted in the field. In the second phase, a internet-based system will be developed with easy user interface and uploading capacity

- A system that is capable of processing significant amount of data from field. This will also offer solid information on progress to government and partners to develop strategies. The system should be developed by implementing a standardized software (i.e. Access)
- Data/information and maps should be continuously updated and analyzed to bring improvements in the planning process and for coordination with other stakeholders

Annex 001

1. **Name of the CDC**

2. **Address of the CDC**

3. **The goal and objectives of the CDC:**

    a) Goal: The goal of the CDC is to assist the community recovery from the disaster and improve the socio-economic condition of all the people living the settlement and in the long term, to ensure sustainable human development of the community.

    b) Objectives: The CDC shall make every effort to achieve the following objectives:

    - To make the people realize the need to recover and rebuild and improve the standard of living through collective efforts

    - To mobilize and empower the people to work for their own recovery, through rebuilding housing and community infrastructure

    - To generate revolving funds through organizing savings groups to provide credit support to the people

    - To develop a habit of savings among the people of the community and create capital base of their own

    - To develop a self-sustainable community

    - To improve the economic condition of the people

    - To develop a clean and healthy physical environment in the community

    - To ensure safe drinking water for the community

    - To ensure adequate sanitation is provided

    - To ensure good neighborly relations and peace and harmony within the community

    - To maintain and sustain a healthy living environment

4. **The program of the CDC**

The CDC shall under take the following activities:

    a) Assist members in rebuilding of their destroyed/damaged houses

    b) Infrastructure development program as identified by the community

    c) Savings and Credit Program and creation of a revolving fund, as decided

    d) Coordinate with relevant authorities and assist in the operation of

    - Health care program

    - Health Education programs

    - Immunization program

    - Waste management program

    - Facilitating legal aid programs

    - Launching environmental protection and management on the community area

5. **The functions of the CDC**

    - Prepare constitution and present to the whole community

    - Apply for registration with the relevant authority

    - Open and maintain a bank account

    - Receive savings and loan repayments of the groups

    - Maintain records of receipts and disbursements

    - Hold regular fortnightly meetings to consider requests

    - Prepare the Community Action Plan with the assistance of Project staff

- Prepare an application to undertake Community Contracts for infrastructure works

- Enter into a contract with the relevant authorities to undertake infrastructure works and housing reconstruction

- Organize and undertake infrastructure works and housing reconstruction

- Ensure monitoring and supervision for the smooth implementation of works

- Explore new sources of funding

- Maintain and preserve community accounts and records.

- Assist project personnel in identifying training needs and impart training on micro-credit management

- Hold CDC elections on expiry of the period for which they have been elected

- Conduct an annual general meeting and present financial statements for the current year and budget for the next year

6. The working area of the CDC

The CDC shall primarily work with different Programmes within the geographical area of the community as determined by the community.

7. Membership of the CDC

The Chairperson and the Secretary of each Primary Group will form the membership of the CDC. The CDC will assign members for specific tasks to undertake community contracting, micro credit, education, health care, waste management, and water and sanitation.

8. Registration fee

To be determined by the CDC.

9. Sources of funds

- The CDC will establish and operate a bank account
- Utilization of savings and other funds
- The CDC will receive funds for community contracting and utilize these funds for purpose of the contract.

10. Meetings of the CDC

- The CDC will arrange regular meetings (weekly or fortnightly to be determined) for administering all the functions of CDC

- The CDC will arrange the annual general meeting in the last week of December every year

11. Notices

- There will be no notice for the meetings. The CDC will fix a day, time and venue for regular meetings

- The notice for the annual general meeting will be served at least one month before the date of meeting

12. Quorum in the meetings

At least 51% of members should be present in the meetings and general meeting for a quorum.

13. Election of Council

The election of office bearers will be held every year. The office bearers will be elected through casting of votes by the members.

14. Powers and functions of Council members:

Chairperson:

- The Chairperson is the head of the CDC

- He/she is one of the alternate signatories of the bank account

- He/she will forward necessary proposals to the authority

- He will be responsible for all income and expenditure of the CDC

Vice-Chairperson:

- The Vice-Chairperson is the second person among the office bearers of the CDC

- He/she will act as Chairperson in the absence of the Chairperson

Secretary:

- The Secretary will call meetings
- The Secretary will assist the Chairperson in day-to-day office work
- He/she will keep minutes of meeting and general meetings and be responsible for proper documentation
- He/she is one of the alternate signatories of the CDC bank account

Treasurer:

- The Treasurer is responsible for all financial transactions
- He/she will keep books of accounts of the CDC
- He/she will receive weekly savings and installments of loans
- He/she will update all financial documents on a regular basis
- He/she will report on the financial position of the CDC
- He/she will act as a mandatory signatory of bank accounts

15. Removal of Office Bearers

If the majority of the members of the CDC are dissatisfied with any of the office bearers, 75% of the members can call for a special meeting by giving written notice and voting for the removal of the office bearer in question.

16. Keeping books of account

In order to keep books of accounts the CDC will use a cashbook, savings register, loan register, and collection book.

17. Maintaining of bank account

- The bank accounts of the CDC will be maintained with a bank close to the community
- Two signatories out of the Chairperson or Secretary and Treasurer will be valid for transactions
- The Treasurer's signature is mandatory for all transactions

18. Auditing of income and expenditure

The income and expenditure of the CDC will be audited every year by a competent person.
Amendment of constitution

- The Constitution of the CDC may be amended once a year at the annual general meeting
- The proposal of amendment must be forwarded to the Chairperson of the CDC at least one month prior to the annual general meeting

Annex 002

<table>
<tr><td></td><td>Form Number</td><td colspan="3"></td></tr>
<tr><td>**UN-HABITAT**
United Nations Human Settlements Programme</td><td>Date</td><td>DD</td><td>MM</td><td>YYYY</td></tr>
</table>

APPLICATION FOR REGISTRATION (CDC)

1. Name of CDC

2. Village

3. City/District

4. Date of Formation of CDC   (DD/MM/YYYY)

5. Number of Groups under CDC

6. Total number of group members under CDC

7. Total number of families in the geographic area of the CDC

8. Total population in he geographic area of the CDC

9. Description of the geographic boundaries of the settlement

a) North _____

b) South _____

c) East _____

d) West _____

10. Percentage of attendance in CDC meeting

11. Date of election of Office Bearers   (DD/MM/YYYY)

12. Date of adaptation of the constitution by the community   (DD/MM/YYYY)
(Please attach constitution)

13. Name of Office Bearers

Chairperson   Signature

Vice-Chairperson   Signature

Secretary   Signature

Treasurer   Signature

14. Approval by City/District

Annex 003

UN-HABITAT
United Nations Human Settlements Programme

Form Number

Date

| DD | MM | YYYY |

REGISTRATION (CDC)

The City/District/Province of

is pleased to confer the Registration of the Community Development Council

With this the CDC is assigned the Registration Number

With this Registration the CDC is authorized to conduct development activities on behalf of the community with the assistance of the Programme.

Signature of Programme Manager   Signature of Local Authority

Annex 004

UN-HABITAT
United Nations Human Settlements Programme

DAMAGE ASSESSMENT (Family Profile) (Page 1/2)

A. FAMILY INFORMATION

1. Occupant's Name

2. Address

3. NIC Number   4. Gender   Female   Male   5. Age

4. Marital Status   a) Married   b) Single   5. N° Households (living in the house)

c) Widow   d) Divorced   6. N° Persons (living in the house)

7. Land Ownership   8. Your livelihood before disaster?

a) Private Business/Industry   b) Trained Labour   c) Government/Service

d) Livestock   e) Private/Professional   f) Other

9. Information on Crop Damage   a) Cereals   b) Cash

10. How much it will impact on the future employment and food shortage?

11. How much it will impact on the business?

12. Health Conditions   a) Contamination of water resources   Y   N   b) Drinking water available   Y   N

13. Are the conditions of sanitation problematic?   Y   N   If yes, describe briefly

14. Is there a sufficient reserve of food for the affected family?   Y   N   If yes, how many days can last?

B. LOCATION OF HOUSE

15. District   12. Sub-district   13. Village

16. House Area   a) <20   b) 21-30   c) 31-40   d) 41-50   e) 51-100   f) 101-250   g) 251-500

17. House Plot Location   a) Primary Rd.   b) Secondary Rd.   c) Tertiary Rd.

18. Nearest Commercial Area   a) <50 m.   b) 51-500 m.   c) 501-1,000 m.   d) 1,000-1,500 m.

19. Did you own a shop?   Y   N   20. If yes, how many?

21. Was the house insured?   Y   N   22. Outstanding house loan?

23. Land loses due to

a) Landslide   b) Visible fault line   c) River bank erosion   d) Flood   e) Other

C. HOUSE DESCRIPTION

24. Type of Roof   25. Type of Wall   26. Load Bearing Masonry

a) Wooden Truss with CGI Sheets   a) Masonry in Mud Mortar   a) Rubble Masonry in Cement/Sand Mortar

b) Steel Truss with CGI Sheets   b) Brick Wall   b) Dressed Stone Masonry in Cement/Sand Mortar

c) Reinforced Brick Masonry Stab   c) Stone Wall   c) Brick Masonry

d) Reinforce Concrete Stab   d) Dry-stone Wall   d) Concrete Masonry

e) Wooden Beams with Mud Cover   e) Other   e) RCC Band at Plinth

f) Wooden frames with tiles   f) Other

27. RCC Frames Structure   Y   N   28. Floor (> 1 Story)

D. SCREEINING CRITERIA TRIGGERING RECONSTRUCTION GRANT

29. Type of Disaster   a) Earthquake   b) Flood   c) Drought   d) Other

Annex 004

UN-HABITAT
United Nations Human Settlements Programme

Form Number

Date

DD	MM	YYYY

DAMAGE ASSESSMENT (Family Profile) (Page 2/2)

30. Date of Occurrence [ ][ ][ ][ ][ ][ ][ ][ ] (DDMMYYYY)   31. Time of Occurrence [ ][ ][ ][ ][ ][ ]

32. Completely Destroyed/Partially/Collapsed (>25% CA)   Y N

33. Structurally Damaged House   Y N

34. Ground Failure Endangering Building Safety   Y N

35. Less than 250m from a Visible Fault Line   Y N

36. Other Aspects of Layout/Designs that may Endanger Structural Stability   Y N

If 60% of columns have developed cracks, then mark as "completely damaged/structural damage beyond repair" in Section F.
If answer of any of 5 questions in section 6 is YES, proceed directly to Section F, mark as unsafe; otherwise fill Section E.

E. DEGREE OF DESTRUCTION
a) Completely Damaged/Beyond Repair [ ]   b) Repairable Structural Damage [ ]   c) Negligible Structural Damage [ ]

Annex 005

UN-HABITAT
United Nations Human Settlements Programme

DD   MM   YYYY

VILLAGE/SETTLEMENT/COMMUNITY PROFILE (Page1/2)

A. GENERAL INFORMATION

1. Village ☐☐☐☐☐☐☐☐☐ 2. District ☐☐☐☐☐☐☐☐☐☐☐☐

3. Community Organization Y N 4. Community Organization Head ☐☐☐☐☐☐☐☐☐☐☐

5. Main source of community's income   a) Agriculture   b) Livestock ☐

   c) Handicraft ☐   d) Fruit Farming ☐   e) Other ☐

6. How much this source has been damaged?   <25% ☐   26~50% ☐   51~75% ☐   76~100% ☐

7. Total number of households in the village   Male headed ☐☐☐   Female headed ☐☐☐

8. Total inhabitants in the village   Male ☐☐☐☐   Female ☐☐☐☐

9. Total number of families moved out of the village after the disaster ☐☐☐☐☐

a) Widow ☐☐☐☐   b) Female headed ☐☐☐☐   c) Orphans ☐☐☐☐

d) Disabled ☐☐☐☐   e) Elderly ☐☐☐☐   f) Landless ☐☐☐☐

10. Total number of families returned to the village ☐☐☐☐☐

a) Widow ☐☐☐☐   b) Female headed ☐☐☐☐   c) Orphans ☐☐☐☐

d) Disabled ☐☐☐☐   e) Elderly ☐☐☐☐   f) Landless ☐☐☐☐

11. Topography of the village   a) Valley ☐   b) Main slope ☐   c) Steep slope ☐   d) Mixed ☐

12. Approximate elevation of the village ☐☐☐☐☐

13. The village is accessible by   a) Tarmac ☐   b) Gravel ☐   c) Track ☐   d) Footpath ☐

14. Total number of houses occupied by owner?

a) Widow ☐☐☐☐   b) Female headed ☐☐☐☐   c) Orphans ☐☐☐☐

d) Disabled ☐☐☐☐   e) Elderly ☐☐☐☐   f) Landless ☐☐☐☐

15. Total number of houses occupied by tenants?

a) Widow ☐☐☐☐   b) Female headed ☐☐☐☐   c) Orphans ☐☐☐☐

d) Disabled ☐☐☐☐   e) Elderly ☐☐☐☐   f) Landless ☐☐☐☐

16. How many persons are landless?

   Before the disaster   After the disaster

Male ☐☐☐☐   Female ☐☐☐☐   Male ☐☐☐☐   Female ☐☐☐☐

B. ASSESSMENT OF DAMAGES

17. N° of Families Affected ☐☐☐☐   18. Where are these families now?

   a) _____   b) _____   c) _____

19. N° of Families Displaced ☐☐☐☐   20. Displaced Place

   a) _____   b) _____   c) _____

21. N° of Persons Injured ☐☐☐☐   22. N° of Persons Dead ☐☐☐☐

23. N° of Persons Reported Missing (Rescue Team) ☐☐☐☐

24. Public Services Disrupted   a) Water ☐   b) Electricity ☐   c) Sewage ☐   d) Other _____

25. N° of Houses Fully Destroyed ☐☐☐☐   26. N° of Houses Partially Damaged ☐☐☐☐

27. Infrastructure Damaged   Location   Risk for affected population?

a) Roads (Damaged/Closed) ☐ _____ _____ Y N

b) Bridge/Culvert ☐ _____ _____ Y N

c) Dams/Embankments ☐ _____ _____ Y N

d) Community Facilities ☐ _____ _____ Y N

28. Communication: Are the communication facilities in operation? Y N

If yes, location _____ 29. Alternate communications facilities available Y N

If yes, location _____ 30. Exposure to landmines Y N

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Annex 005

UN-HABITAT
United Nations Human Settlements Programme

Form Number

Date

| DD | MM | YYYY |

VILLAGE/SETTLEMENT/COMMUNITY PROFILE (Page 2/2)

31. Nearest Airport/Helipad _____   Damaged ☐   Closed ☐

32. Food Supply: Is food still available at the village market? | Y | N |

33. Are supplying channels functioning? | Y | N |

C. IMMEDIATE NEEDS FOR EMERGENCY RESPONSE

34. Task/Item	Quantity Needed	Beneficiary Group	Action taken
a) Property Damaged			
b) Infrastructure Damaged			
c) Health Conditions			
d) Food Supply			

35. Accessible mode of transport for relief/rehabilitation activities

D. AGENCIES WORKING

36. Agency	Contact Details	Type of Work	Involved in Relief?

E. VILLAGE MAP

37. Sketch the map showing the situation of the village immediately after the disaster

Annex 006

1. Contract Number

2. Contract Date (DDMMYYYY)

THIS Community Contract is entered into on the above date by UN-HABITAT represented by the Project Manager of ....[project title].......... in .....[country]..... with the following Community Development Council (hereinafter referred to as the "Contractor") represented by the Chairperson and Treasurer.

3. Name of Community Development Council

4. Registration Number

5. Location

6. City/Town

WHEREAS UN-HABITAT desires to engage the services of the Contractor on the terms and conditions hereinafter set forth, and WHEREAS the Contractor is ready and willing to accept this engagement of services with UN-Habitat on the following terms and conditions.

NOW, therefore, the parties hereto agree as follows:

I. The Work
The Contractor will implement the project as described in the attached approved project application, which forms and integral part of this contract.

II. Duration
This contract will come into immediate effect and expire on the date of the Contractor's written notification that the project has been finalized or on..whichever comes earlier.

III. Payments
As full consideration for the services performed by the Contractor under the terms of this Community Contract UN Habitat shall make available a total sum of ......………………….......... to the Contractor on instalment basis as described below upon signature of this contract. All payments shall be in local currency and in cheque or bank transfer.

No.	Percentage	Amount
First Instalment		
Second Instalment		
Third Instalment		
Fourth Instalment		
Total		

Bank Name

Bank Address

Account Number

Account Title

IV. General Provisions
a) The Contractor shall carry out all services under this contract with due diligence and efficiency as per the attached designs, specifications and time schedules.

b) The Contractor shall act at all times so as to protect and not be in conflict with the interests of the UN-HABITAT and will take all reasonable steps to keep all expenses to a minimum.

c) The Contractor will ensure that there is no improper utilization of the money or materials during construction.

d) The Contractor is not permitted to use the funds provided by UN-HABITAT for activities or works other than the agreed project activities.

e) UN-HABITAT undertakes no responsibilities in respect of life, health accident, travel or any other insurance coverage, which may be necessary or desirable for the purpose of this contract or for personnel performing services under this contract.

f) The rights and obligations of the Contractor are limited to the terms and conditions of this contract. Accordingly, the Contractor and personnel performing services on its behalf shall not be entitled on any benefit, payment, compensation or entitlement except as provided in this contract.

g) The Contractor shall be solely liable for claims by third parties arising from the Contractor's negligent acts or omissions in the course of performing this contract and under no circumstances shall UN-HABITAT be held liable for such claims by third parties.

h) All funds that remain unutilised after completion of project activities or any interest earned on the funds while held by the Contractor shall be disposed by the Contractor in consultation with UN-HABITAT.

i) Either party may terminate this contract before completion of the contract by giving notice in writing to the other party. The period of notice shall be fourteen days.

j) Nothing in or relating to this contract shall be deemed a waiver of any privileges and immunities of the UN-HABITAT.

k) Any controversy or claim arising out of or in accordance with this contract or any breach thereof shall, unless it is settled by direct negotiation, be settled in accordance with the Arbitration Rules of the UN Commission on International Trade Law as at present in force. The parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy of claim.

V.   Records, Information and Reports

a) The Contractor shall maintain accurate and complete records in respect of the services to be performed under this contract.

b) The Contractor shall furnish, compile and make available at all times to UN-Habitat all accounts, records or information, oral or written, which UN-Habitat may reasonably request for inspection in respect of the services performed by the Contractor.

c) Should it become evident that an extension of the duration is required, or that any other change should be made, the Contractor will inform UN-HABITAT in writing.

d) The Contractor undertakes to inform UN-Habitat in writing of the completion of the work.

Agreed on behalf of UN- HABITAT:

Name	Position	Signature
………………………………………………………	*Project Manager*	……………………………

Agreed on behalf of Contractor:

1. Name	Position	Signature
………………………………………………………	*Chairperson*	……………………………

2. Name	Position	Signature
………………………………………………………	*Treasurer*	……………………………

Witness:
(Representatives of the Local Authority can be signatories for witness)

1. Name	Position	Signature
……………………………………………………	…………………………………	……………………………

2. Name	Position	Signature
……………………………………………………	…………………………………	……………………………

Annex 007

UN-HABITAT
United Nations Human Settlements Programme

Form Number

Date [DD] [MM] [YYYY]

FUND APPLICATION

A. GENERAL INFORMATION

1. Name of District/City
2. Name of Settlement
3. Name of Community Development Committee
4. Registration Number
5. Number of Families in the Settlement
6. Description of the Work (attach drawing)
7. Total cost of the Work (attach detail estimate)
8. The number of families benefiting from this work
9. The number of children benefiting from this work
10. The number women benefiting from this work

B. BANKING DETAILS

11. Name of Bank Account
12. Account Number
13. Sort Code
14. Name of Bank
15. Branch
16. Address

C. COMMUNITY DEVELOPMENT COUNCIL

17. Chairperson Name   Signature

18. Secretary Name   Signature

19. To/Community Mobilizer   Signature

20. District Manager   Signature

D. PROJECT MANAGEMENT

21. Application Received Date   (DD/MM/YYYY)
22. Authorization Requested Date   (DD/MM/YYYY)
23. Authorization Date   (DD/MM/YYYY)
24. MOD Number
25. Allotment Code
26. Contract Signed Date   (DD/MM/YYYY)
27. District Manager   Signature

27. National Project Manager   Signature

Annex 008

<table>
<tr><td></td><td></td><td>Form Number</td><td></td></tr>
<tr><td>**UN-HABITAT**
United Nations Human Settlements Programme</td><td></td><td>Date</td><td>DD MM YYYY</td></tr>
</table>

COMMUNITY CONTRACT WORKSHOP AGENDA

Draft Agenda   Time: 3.30 Hours

Time Table	Activity	Who does	Time needed
INTRODUCTION: THE CONTRACT			
9:30- 10:00	▪ Readout the conditions of contract ▪ Type of Contract ▪ Value of Contract ▪ Length of Contract ▪ Method of Payment ▪ Accountability and openness ▪ Responsibilities of CDC ▪ Jobs and skills ▪ Supervisory and Unskilled ▪ Purchasing and storing ▪ Payments ▪ No sub-agents ▪ No percentage payments.	▪ Local Authority ▪ Engineer ▪ CDW	30 minutes
EXERCISE 1: REQUIREMENTS AND ROLES			
10.00 – 10.30	▪ Materials ▪ Tools ▪ Labour ▪ Money	2 to 3 groups	30 minutes
GROUP PRESENTATION AND DISCUSSION			
10.30 – 11.00		Workshop	30 minutes
EXERCISE 2: PROCEDURES			
11.00 – 11.30	Record keeping ▪ Materials ▪ Labour ▪ Money	2 to 3 groups	30 minutes
GROUP PRESENTATION & DISCUSSION			
11.30 – 12.00		Workshop	30 minutes
EXERCISE 3: TECHNICAL PRESENTATION			
12.00 – 12.30	▪ Supervision ▪ Measurement ▪ Payment ▪ Forms	Local Authority /Project Engineer	30 minutes
TECHNICAL DISCUSSION AND CLOSE			
12.30 – 13.00		Workshop	30 minutes

Annex 009

UN-HABITAT
United Nations Human Settlements Programme

Form Number [   ]

Date [DD][MM][YYYY]

PROGRESS PAYMENT CERTIFICATE

1. N° of the Bill [   ]

2. Contact N° [   ] Date [   ] (DDMMYYYY)

3. Name and N° of the CDC [   ]

4. Name of City/Province [   ]

5. Date of Commencement

    a) As per contract [   ] (DDMMYYYY)

    b) Actual [   ] (DDMMYYYY)

6. Date of Completion [   ] (DDMMYYYY)

7. Date of Measurement [   ] (DDMMYYYY)

Quantity			Item of Work	Unit	Rate	Amount		
Up to previous bill	Since last bill	Total				Up to previous bill	Since last bill	Total
1	2	3	4	5	6	7	8	9

We have jointly taken the measurement and recorded by me (Payment Certifier)
Certify that the work is satisfactory and according to specifications.

Payment due [   ]

    Signature Chairperson CDC   Signature Supervisor Engineer   Signature District Manager

Recommended for payment   Payment Approved

(Local currency) [   ]

Acknowledgement