TURNING PRACTICE INTO POLICY

Linking good practice community-based disaster risk management with government policy and practice

tearfund

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Written by Paul Venton – independent consultant
with Tearfund staff members: Jessica Faleiro and Sarah La Trobe

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Tearfund is an evangelical Christian relief and development agency working with local partners to bring help and hope to communities in need around the world.

Contents

Acknowledgements 4

Executive summary 5

Acronyms 8

Glossary 9

Phase 1 Perspectives from communities and experts on good practice CBDRM 11

1 Introduction 13

1.1 Methodology 13

1.2 Structure of the report 15

2 Normality / pre-disaster development 19

2.1 Financial 19

2.1.1 Diversification of livelihoods 19

2.1.2 Development of hazard-resistant arable farming 19

2.1.3 Development of community savings schemes 19

2.1.4 Availability of pro-poor insurance 20

2.1.5 Protection of household assets 20

2.1.6 Group cost sharing 20

2.2 Natural 20

2.2.1 Protection and reintroduction of native trees 20

2.2.2 Water conservation and management 21

2.2.3 Fire protection 21

2.2.4 Maintenance of soil fertility 21

2.2.5 Natural resource protection 21

2.3 Physical 21

2.3.1 Hazard-resistant privately-owned buildings 21

2.3.2 Hazard-resistant public buildings 22

2.3.3 Provision of access roads, bridges and transportation 22

2.3.4 Hazard-aware land-use planning 22

2.3.5 Appropriate structural flood mitigation measures 23

2.3.6 Flood-resistant safe drinking-water supply 23

2.3.7 Development of people-centred early warning systems 23

2.4 Human 24

2.4.1 Awareness raising 24

2.4.2 Supporting local knowledge and coping mechanisms 24

2.4.3 Community disaster preparedness training 25

2.4.4 Child-focused disaster preparedness training 25

2.4.5 Training in earthquake-safe construction 25

2.4.6 Public health education for disaster 26

2.4.7 Development of strong local leadership for DRR 26

2.4.8 Gender sensitive programming 26

2.4.9 Livelihood-based capacity building 26

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2.5 Social 27
2.5.1 Assessment of disaster risk 27
2.5.2 Integrating disaster management responsibilities within community-based organisations 27
2.5.3 Development of a multi-stakeholder and multi-levelled approach to disaster planning 28

3 Emergency / chronic crisis 29
3.1 Financial 29
3.1.1 Utilising contingency funds 29
3.1.2 Avoiding the sale of assets 29
3.1.3 Equitable provision of aid 29
3.2 Natural 30
3.2.1 Utilising unaffected natural resources 30
3.2.2 Environmental protection 30
3.3 Physical 30
3.3.1 Community buildings used as evacuation shelters 30
3.3.2 Planned information dissemination 31
3.3.3 Protection of household belongings 31
3.4 Human 31
3.4.1 Emergency response through local volunteers and leadership 31
3.4.2 Provision of support to the most vulnerable 32
3.5 Social 32
3.5.1 Community participation with assisting agencies 32
3.5.2 Recognition of external sources of support 32
3.5.3 Protection of children at risk 32
3.5.4 Coordination among humanitarian aid providers 33

4 Recovery 34
4.1 Financial 34
4.1.1 Restoration of livelihoods 34
4.1.2 Access to fair financing 34
4.2 Natural 35
4.2.1 Restoration of the natural environment 35
4.3 Physical 35
4.3.1 Building back better with hazard-resistant construction 35
4.4 Human 36
4.4.1 Applying lessons learned 36
4.5 Social 36
4.5.1 Long-term multi-stakeholder planning 36
4.5.2 Recognition of extended social networks 36
4.5.3 Strengthening and developing community groups 36
4.5.4 Restoration of school education 36

5 Conclusion 37
5.1 The context of CBDRM activities 37
5.2 Climate change 37
5.3 Gaps 37
5.4 Towards Phase 2 of Turning Practice into Policy 38

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Phase 2 Challenges in linking good practice CBDRM with government policy and practice 39

1 Introduction 41

1.1 Research findings 41

1.2 Structure of the report 42

2 Research findings 43

2.1 Top-down issues: government-related issues that can hinder the allocation of resources for CBDRM 43

2.1.1 Competing priorities 43

2.1.2 Lack of financial resources 43

2.1.3 Low government capacity 44

2.1.4 Lack of supportive systems and structures 46

2.1.4.1 Emphasis on response 47

2.1.5 Lack of effective government decentralisation 48

2.1.6 Short time-frames 49

2.2 Bottom-up issues: community-related issues that can hinder the flow of information on CBDRM to government 50

2.2.1 Poor appreciation of the government context 50

2.2.2 Lack of understanding and clarity on good practice CBDRM 51

2.2.3 Lack of influence at government level 51

2.3 Shared issues: government- and community-related issues that can act as barriers to linking CBDRM with government policy and practice 52

2.3.1 Different perceptions of risk 52

2.3.2 Lack of trust 53

2.3.3 Lack of integration of DRR in development 53

2.4 The role of institutional donors 54

3 Conclusion 56

Appendices 59

A Summary of methodology 59

B Questionnaire for DRR specialists 60

C Contributing academics and practitioners 62

D Tearfund fieldwork 64

E Guidelines for facilitators 65

F Workshop details 68

G International DRR research questionnaire 70

Bibliography 71

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Following the Phase 1 research, over 30 academics and practitioners provided their opinions in response to Tearfund's survey questionnaire, which were incorporated both into the Phase 1 and Phase 2 research. This was extremely insightful and useful, and we are very appreciative of the time given. The names of all those who supported the project in this way are provided in Appendix C.

A workshop was held on 12 December 2006 in Teddington, UK, to discuss a draft of this report. The feedback from this event has resulted in significant changes and improvements. We are, therefore, very grateful for everybody's time in attending the workshop and for providing such important and challenging perspectives on the subject. The attendees are listed in Appendix F. In particular we would like to thank Fiona Perry for providing insights on HIV, and Professor Ian Davis for his involvement and guidance.

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Because of the number of people contributing to this research, a wide range of views and perspectives were analysed. Our hope is that most points have been satisfactorily captured and addressed within the report. However, the author takes responsibility for any omissions, discrepancies or errors, and further feedback is welcomed.

Finally, acknowledgement should be made that the research undertaken for the *Turning Practice into Policy* project is funded by DFID as a component of a wider DRR grant to Tearfund.

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Executive summary

A strong national policy framework is essential to support and scale-up Community-Based Disaster Risk Management (CBDRM). This is especially crucial in the context of global climate change, which is expected to increase the frequency and severity of hazards. It is increasingly recognised by NGOs, government and institutional donors that to achieve this 'scaling up' it is important not only to demonstrate good practice at the local level, but also to identify, and seek to address, the constraints on investment in CBDRM faced by national governments.

Consequently, between 2006 and 2007 Tearfund undertook an extensive piece of research among communities and governments in South, South East and Central Asia and Africa on CBDRM. This was done in two separate phases. Phase 1 focused on identifying good practice CBDRM, while Phase 2 focused on identifying challenges in linking CBDRM with government policy and practice, and methods to overcome them. The combined results are included in this report, and can be used by civil society, governments and institutional donors to generate increased governmental support for CBDRM.

Phase 1

In 2006 Tearfund and partner organisations undertook fieldwork with facilitators in local community focus groups in Afghanistan, Bangladesh, Burkina Faso, India, Indonesia, Malawi and Sri Lanka. This identified what local people considered to be good practice CBDRM, for example actions, measures or processes that they deemed had, or could have, a positive effect in reducing their vulnerability to the hazard(s) to which they are exposed.

To supplement these field findings, expert opinion was subsequently sought from academics and practitioners with specific experience of the subject. A workshop was held on 12 December 2006 where experts plus specialist members of Tearfund's staff considered and discussed a draft report. Feedback from the workshop has been incorporated into this report.

Phase 1 findings

In total, 53 examples of the type of intervention that can be considered good practice CBDRM were identified. These provide a broad range of approaches including structural, and non-structural, and within the different time contexts of Normality/Pre-disaster Development, Emergency/Chronic Crisis and Recovery. The interventions were categorised into Financial, Natural, Physical, Human and Social, based on the concept of sustainable livelihoods.[1] Tearfund found that there were three fundamental factors contributing to good practice CBDRM:

- **Good practice CBDRM is based on some important 'principles' that are applicable in most contexts.** These include the participation of local stakeholders in decision-making, the involvement of local government and the linkage with development plans. The adoption of appropriate principles will begin a process that should ultimately lead to the development of CBDRM measures, described in the Phase 1 report as 'examples'. These may include building houses on stilts in flood-prone areas, or the introduction of specific crops better able to withstand drought conditions.
- **Although specific examples of CBDRM can be almost limitless, they fall into a more manageable list of 'topics' and relate to the variety of different hazard settings found across the world.** These topics help create the CBDRM process as they indicate the range of options that can be discussed by stakeholders as part of prioritisation and decision-making. Topics include the

1 Adapted from the DFID *Sustainable Livelihoods Guidance Sheets*

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diversification of livelihoods and hazard-resistant construction, for example, and are the basis of the research findings in the Phase 1 report.

- **Good practice CBDRM can be thought of as operating in a loop: the 'principles' of CBDRM are applied to make improvements in the implementation of CBDRM 'topics', resulting in specific 'examples' of CBDRM.** The examples, and how effective they are at reducing risk, should be fed back into the broader continual learning process of a risk-reduction approach, so as to improve methods and understand emerging issues.

This does not all happen in a vacuum: it happens within a particular context. The context (such as the level of democracy and decentralisation) influences the CBDRM process. However the processes of decision-making regarding what risks exist, which ones are important, which ones can be reduced, and how best to achieve this will nearly always be different. Therefore the CBDRM examples adopted in one location at a particular point in time may well be very different from the CBDRM examples appropriate in another place or time, even when the exact same principles are followed.

The majority of evidence collected was found to be predominantly relevant in the context of normality/pre-disaster development, indicating that more emphasis is needed to determine good risk-reduction practice during periods of emergency/chronic crisis, and particularly recovery. Within these two periods it is noted that external aid providers tend to ignore or belittle existing community strengths and capacities. Consequently these crucial elements of sustainable recovery can commonly be undermined.

Phase 1 conclusions and recommendations

Understanding the context in which a particular CBDRM activity takes place is crucial. Commitment to valuing principles of good practice within the different topic boundaries leads to examples of good practice CBDRM. If the process is right, then the examples will follow (see **Figure 1: Diagram of good practice CBDRM**). However, principles of good practice can be applied globally. And ideas relating to how vulnerability is being reduced in some places can be drawn on to inspire similar actions elsewhere.

Country governments, donor institutions, non-governmental organisations and communities can use the Phase 1 research to identify what good practice CBDRM looks like, while noting that the report has not produced an exhaustive list of interventions.[2]

Phase 2

During 2006-07, Tearfund asked a number of expert disaster risk reduction (DRR) academics and practitioners around the world to identify challenges associated with linking CBDRM with government policy and practice; in other words, why CBDRM is not better supported by governments. This was done with the aid of a questionnaire, to which over 30 people responded (see **Appendices B** and **C**), and during the workshop hosted by Tearfund on 12 December 2006. In 2007 Tearfund also sought local and national governments' perspectives on CBDRM through a series of semi-structured interviews facilitated by Tearfund staff and partners in Afghanistan, Burkina Faso, Ethiopia, Malawi, Niger and Zambia (see **Appendix G** for the questionnaire used).

2 For further information about good practice in CBDRM please see www.proventionconsortium.org

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Phase 2 findings

DRR academics, practitioners and governments revealed a number of challenges in linking CBDRM with government policy and practice. These fall into three categories:

- **Top-down issues** Government-related issues that can hinder the allocation of resources for CBDRM
  - Competing priorities
  - Lack of financial resources
  - Low government capacity
  - Lack of supportive systems and structures
    - Emphasis on response
  - Lack of effective government decentralisation
  - Short time-frames
- **Bottom-up issues** Community-related issues that can hinder the flow of information on CBDRM to government
  - Poor appreciation of the government context
  - Lack of understanding and clarity on good practice CBDRM
  - Lack of influence at government level
- **Shared issues** Government and community-related issues that can act as barriers to linking CBDRM with government policy and practice
  - Different perceptions of risk
  - Lack of trust
  - Lack of integration of DRR in development

The report provides key methods to overcome these challenges, based on the views of those consulted, as well as Tearfund's own experience.

The challenges identified have significant implications for institutional donor organisations. Lack of financial resources and low (staff) capacity are key constraints hindering governments from making more progress. Donors can play a significant role in helping to address these two issues and creating a national political environment that supports CBDRM.

Phase 2 conclusions and recommendations

Country governments, donor institutions, non-governmental organisations and communities themselves all have an important part to play in addressing the identified challenges. Tearfund recommends that:

- **NGOs** use this research as an advocacy tool, and seek to influence governments at all levels, in collaboration with others. Seeking to understand government perspectives on DRR is an important starting point in developing a DRR advocacy strategy.
- **Governments** in disaster-prone countries work in consultation and partnership with vulnerable communities, NGOs and other local stakeholders to overcome the identified challenges.
- **Institutional donors** develop their own institutional capacity for DRR, in order to engage more effectively with national governments.

The political imperative for developing and developed country governments to act on these recommendations is provided by the Hyogo Framework for Action (HFA) 2005–2015,[3] endorsed by 168 governments at the World Conference on Disaster Reduction in 2005. One of the three strategic goals adopted at the WCDR is, *'The development and strengthening of institutions, mechanisms and capacities at all*

3 UN/ISDR (2005) *Hyogo Framework for Action 2005–2015: Building the Resilience of Nations and Communities to Disasters* (Kobe: United Nations).

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levels, in particular at the community level, that can systematically contribute to building resilience to hazards.' This strategic goal requires governments to work to address the challenges in linking good practice CBDRM with their policy and practice.

Tearfund believes that a key constraint to linking CBDRM with government policy and practice is civil society's lack of influence at government level. In light of increasing disasters and the onset of climate change, civil society needs to demand greater accountability from governments, advocating for greater political commitment to investing in building safer, more resilient communities.

Seed multiplication garden for drought-resistant cassava and sweet potato in Malawi.

Photo: DRR team / Tearfund

Acronyms

CBDRM	Community-based disaster risk management
CBO	Community-based organisation
DRR	Disaster risk reduction
INGO	International non governmental organisation
NGO	Non governmental organisation

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Glossary

For a comprehensive list of terminology of DRR refer to the UN / International Strategy for Disaster Reduction (ISDR) website: www.unisdr.org/eng/library/lib-terminology-eng%20home.htm

Where noted with the symbol * this glossary uses the UN/ISDR terminology. This helps to avoid confusion associated with different organisations using different definitions.

acceptable risk* The level of loss a society or community considers acceptable given existing social, economic, political, cultural, technical and environmental conditions.

capacity* A combination of all the strengths and resources available within a community, society or organisation that can reduce the level of risk, or the effects of a disaster.

Capacity may include physical, institutional, social or economic means as well as skilled personal or collective attributes such as leadership and management. Capacity may also be described as capability.

capital The five 'capitals' (financial, natural, physical, human and social) are best thought of as livelihood building blocks. In other words the different components that are drawn on when making livelihood choices.

financial* Savings and regular inflows of money

natural* Intangible public goods such as the atmosphere and biodiversity to assets used directly for production (trees, land etc)

physical* Transport, buildings, water and sanitation, energy, communications, tools and equipment

human* Skills, knowledge, ability to labour and good health

social* Networks, membership of formalised groups, relationships of trust, reciprocity and exchanges

climate change* The climate of a place or region is changed if over an extended period (typically decades or longer) there is a statistically significant change in measurements of either the mean state or variability of the climate for that place or region.

coping mechanism/ capacity* The means by which people or organisations use available resources and abilities to face adverse consequences that could lead to a disaster.

disaster* A serious disruption of the functioning of a community or a society causing widespread human, material, economic or environmental losses which exceed the ability of the affected community or society to cope using its own resources.

A disaster is a function of the risk process. It results from the combination of hazards, conditions of vulnerability and insufficient capacity or measures to reduce the potential negative consequences of risk.

disaster risk management* The systematic process of using administrative decisions, organisation, operational skills and capacities to implement policies, strategies and coping capacities of the society and communities to lessen the impacts of natural hazards and related environmental and technological disasters. This comprises all forms of activities, including structural and non-structural measures to avoid (prevention) or to limit (mitigation and preparedness) adverse effects of hazards.

disaster risk reduction* The conceptual framework of elements considered with the possibilities to minimise vulnerabilities and disaster risks throughout a society, to avoid (prevention) or to limit (mitigation and preparedness) the adverse impacts of hazards, within the broad context of sustainable development.

early warning* The provision of timely and effective information, through identified institutions, that allows individuals exposed to a hazard to take action to avoid or reduce their risk and prepare for effective response.

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emergency/ chronic crisis*
Refers to a period of time when loss of life, livelihood and significant household assets occurs. External assistance is usually required in the form of humanitarian aid. An emergency is likely to be related to a rapid-onset hazard, such as an earthquake. A chronic crisis is likely to refer to a slower deterioration in people's well-being on account of prolonged losses, accumulating to a point where people find it very hard to cope. Droughts are often associated with chronic crises, often exacerbated by conflict and insecurity.

engineered structures
Buildings and other structures that are designed and built by professionally trained individuals and organisations. Such structures should adhere to safe building codes and other legal requirements.

mitigation*
Structural and non-structural measures undertaken to limit the adverse impact of natural hazards, environmental degradation and technological hazards.

natural hazards*
Natural processes or phenomena occurring in the biosphere that may constitute a damaging event.

non-engineered structures
Buildings and other structures that are constructed by non-professionally trained local people based on traditional knowledge and experience and utilising locally available materials.

normality/ pre-disaster development
Refers to a period of time that local people would not consider to be unusual, and during which coping mechanisms are able to prevent a serious deterioration in the situation to a place where significant losses are suffered.

preparedness*
Activities and measures taken in advance to ensure effective response to the impact of hazards, including the issuance of timely and effective early warnings and the temporary evacuation of people and property from threatened locations.

recovery
Refers to a period of time after an emergency/chronic crisis where people are beginning to restore their own ability to undertake livelihood activities and rebuild communities.

resilience*
The capacity of a system, community or society potentially exposed to hazards to adapt, by resisting or changing in order to reach and maintain an acceptable level of functioning and structure. This is determined by the degree to which the social system is capable of organising itself to increase its capacity for learning from past disasters for better future protection and to improve risk reduction measures.

risk*
The probability of harmful consequences, or expected losses (deaths, injuries, property, livelihoods, economic activity disrupted or environment damaged) resulting from interactions between natural or human-induced hazards and vulnerable conditions.

Conventionally, risk is expressed by the notation: **Risk = Hazards x Vulnerability.** Some disciplines also include the concept of **exposure** to refer particularly to the physical aspects of vulnerability.

Beyond expressing a possibility of physical harm, it is crucial to recognise that risks are inherent or can be created or exist within social systems. It is important to consider the social contexts in which risks occur and that people therefore do not necessarily share the same perceptions of risk and their underlying causes.

structural/ non-structural measures*
Structural measures refer to any physical construction to reduce or avoid possible impacts of hazards, which include engineering measures and construction of hazard-resistant and protective structures and infrastructure.

Non-structural measures refer to policies, awareness, knowledge development, public commitment, and methods and operating practices, including participatory mechanisms and the provision of information, which can reduce risk and related impacts.

vulnerability*
The conditions determined by physical, social, economic, and environmental factors or processes, which increase the susceptibility of a community to the impact of hazards

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Turning practice into policy

PHASE 1 Perspectives from communities and experts on good practice community-based disaster risk management

1 Introduction 13

1.1 Methodology 13

1.2 Structure of the report 15

2 Normality / pre-disaster development 19

2.1 Financial 19

2.1.1 Diversification of livelihoods 19

2.1.2 Development of hazard-resistant arable farming 19

2.1.3 Development of community savings schemes 19

2.1.4 Availability of pro-poor insurance 20

2.1.5 Protection of household assets 20

2.1.6 Group cost sharing 20

2.2 Natural 20

2.2.1 Protection and reintroduction of native trees 20

2.2.2 Water conservation and management 21

2.2.3 Fire protection 21

2.2.4 Maintenance of soil fertility 21

2.2.5 Natural resource protection 21

2.3 Physical 21

2.3.1 Hazard-resistant privately-owned buildings 21

2.3.2 Hazard-resistant public buildings 22

2.3.3 Provision of access roads, bridges and transportation 22

2.3.4 Hazard-aware land-use planning 22

2.3.5 Appropriate structural flood mitigation measures 23

2.3.6 Flood-resistant safe drinking-water supply 23

2.3.7 Development of people-centred early warning systems 23

2.4 Human 24

2.4.1 Awareness raising 24

2.4.2 Supporting local knowledge and coping mechanisms 24

2.4.3 Community disaster preparedness training 25

2.4.4 Child-focused disaster preparedness training 25

2.4.5 Training in earthquake-safe construction 25

2.4.6 Public health education for disaster 26

2.4.7 Development of strong local leadership for DRR 26

2.4.8 Gender sensitive programming 26

2.4.9 Livelihood-based capacity building 26

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2.5 Social 27
2.5.1 Assessment of disaster risk 27
2.5.2 Integrating disaster management responsibilities within community-based organisations 27
2.5.3 Development of a multi-stakeholder and multi-levelled approach to disaster planning 28

3 Emergency / chronic crisis 29
3.1 Financial 29
3.1.1 Utilising contingency funds 29
3.1.2 Avoiding the sale of assets 29
3.1.3 Equitable provision of aid 29
3.2 Natural 30
3.2.1 Utilising unaffected natural resources 30
3.2.2 Environmental protection 30
3.3 Physical 30
3.3.1 Community buildings used as evacuation shelters 30
3.3.2 Planned information dissemination 31
3.3.3 Protection of household belongings 31
3.4 Human 31
3.4.1 Emergency response through local volunteers and leadership 31
3.4.2 Provision of support to the most vulnerable 32
3.5 Social 32
3.5.1 Community participation with assisting agencies 32
3.5.2 Recognition of external sources of support 32
3.5.3 Protection of children at risk 32
3.5.4 Coordination among humanitarian aid providers 33

4 Recovery 34
4.1 Financial 34
4.1.1 Restoration of livelihoods 34
4.1.2 Access to fair financing 34
4.2 Natural 35
4.2.1 Restoration of the natural environment 35
4.3 Physical 35
4.3.1 Building back better with hazard-resistant construction 35
4.4 Human 36
4.4.1 Applying lessons learned 36
4.5 Social 36
4.5.1 Long-term multi-stakeholder planning 36
4.5.2 Recognition of extended social networks 36
4.5.3 Strengthening and developing community groups 36
4.5.4 Restoration of school education 36

5 Conclusion 37
5.1 The context of CBDRM activities 37
5.2 Climate change 37
5.3 Gaps 37
5.4 Towards Phase 2 of Turning Practice into Policy 38

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1 Introduction

In order to reduce risks associated with disaster, community-based disaster risk management (CBDRM) needs to be further strengthened and promoted in an increasingly hazardous world with rising numbers of vulnerable people. However, for localised community-based work to reach its full potential it cannot function in isolation from the broader context where risk is generated. The aim of the *Turning Practice into Policy* research project is to provide a tool for Tearfund partners and other NGOs to aid or encourage them in their disaster risk reduction (DRR) advocacy work with local, provincial and national government.

Phase 1 of Turning Practice into Policy

Before developing advocacy initiatives on DRR, it was considered necessary to increase understanding of what good practice CBDRM is, based on field research in various different contexts and supported by expert opinion from academics and practitioners who specialise in this subject.

The increased awareness and appreciation of CBDRM presented in this report will:

- help build capacity on this subject among Tearfund partners (and others)
- provide a firm foundation to later approach government officials equipped with sound evidence of locally effective risk reduction. This is why the research project is called *Turning Practice into Policy*.

The identification of good practice CBDRM complements work undertaken by the Asia Disaster Preparedness Centre (ADPC) in developing *Critical Guidelines of Community-Based Disaster Risk Management*,[4] and the BOND [5] DRR network's development of indicators to help determine *Characteristics of a Disaster-resilient Community*.[6] Whereas the ADPC and BOND DRR network initiatives can be considered as 'nutrition guides' covering key principles and concepts of CBDRM, this Tearfund research is more of a 'recipe book' with a selection of different CBDRM topics and examples.

The bibliography provides details of further relevant material on CBDRM.

1.1 Methodology

Fieldwork

Tearfund emphasised that the community's perspective on what is and is not good practice should take precedence over an external/outsider opinion. Therefore the first part of the research was based on fieldwork undertaken by Tearfund facilitators with the support of Tearfund partners.[7] Focus group meetings were held in hazard/disaster-prone communities of Afghanistan, Bangladesh, Burkina Faso, India, Indonesia, Malawi and Sri Lanka in places where Tearfund partners have a relationship with community members. Facilitators used common guidelines [8] to aid the focus group meetings.

There are many other local stakeholders besides a selection of residents from a sample group of villages that influence or have an important perspective on the local risk context, including, for example, the private

4 ADPC (2006) *Critical Guidelines of Community-Based Disaster Risk Management* (Bangkok: ADPC).

5 British Overseas NGOs for Development

6 Twigg J (2007) *Characteristics of a Disaster-resilient Community* (London: BOND DRR network).

7 See Appendix D: Tearfund fieldwork

8 See Appendix E: Guidelines for facilitators

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sector, religious institutions, political party representatives, and the emergency services. These were not included as part of the research because of time constraints. An effective CBDRM strategy should be based on a more inclusive process.

Expert opinion

Expert opinion was sought from academics and practitioners with specialist experience of the subject from within the target countries, and also internationally, so as to widen the scope of the research and build on the community fieldwork findings.

Thirty-four academics and practitioners [9] responded to a survey questionnaire [10] with high quality material and recommendations. As a result of the strength of the feedback it was felt that the report would be structured around expert opinion and supplemented with the fieldwork findings, rather than the other way around.

Experts made some recommendations regarding relevant resources, which have been included and referenced within the bibliography.

Workshop

A draft report was written for discussion at a workshop held on 12 December 2006 in Teddington, UK,[11] attended by expert academics and practitioners, together with specialist Tearfund staff members. Participants discussed the initial findings on good practice CBDRM.[12] Feedback from the workshop has been incorporated in this report.

Analysis

Issues surrounding good practice CBDRM were identified from a combination of the Tearfund fieldwork and the expert opinion of academics and practitioners, plus the selective input of the author. Therefore this report does not constitute an exhaustive list of good practice, but rather information provided from these sources.

In the course of the research the context-specific nature of CBDRM became increasingly evident as the collected information was analysed. This was emphasised by numerous academics and practitioners. One specific example of good practice identified in one location in a certain period of time is not necessarily good practice in another place, time or context. Instead the process that led to the initiative is more important than the product (ie: the example) given.

However, some key topics of good practice CBDRM did emerge through the research. These are not specific examples of CBDRM (such as building houses on stilts in flood-prone areas) and are not general principles of CBDRM (such as ensuring widespread participation). Instead they are somewhere in between (see **Figure 1**).

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9 See Appendix C: Contributing academics and practitioners

10 See Appendix B: Questionnaire for disaster risk reduction specialists

11 See Appendix F: Workshop details

12 Experts also discussed the challenges associated with connecting CBDRM with government policy and practice. Therefore feedback from the workshop has been incorporated in the Phase 2 report.

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1.2 Structure of the report

The topics that have been identified as good practice CBDRM appear as the headings of the sections of the report. Under each of these headings is a narrative which includes some specific examples that are context-dependent, but help to explain the type of measure envisioned for the topic covered. Some case studies from Tearfund and experts, quotes and selected references from the bibliographical material are also included to supplement the narrative. These are indicated either in italics or in boxes.

Findings were analysed and captured in a framework that forms the basis of the structure of this report. The framework firstly considers the temporal (time) context. These are categorised into three phases: **normality / pre-disaster development**, **emergency / chronic crisis**, and **recovery**. These time-related categories provide a general sense of the context in which good practice CBDRM was identified through fieldwork or through questionnaire responses.

- **Normality / pre-disaster development** refers to a period of time that local people would not consider to be unusual, and during which coping mechanisms are able to prevent a serious deterioration in the situation to a place where significant losses are suffered.
- **Emergency / chronic crisis** refers to a period of time when loss of life, livelihood and significant household assets occurs. External assistance is usually required in the form of humanitarian aid. An emergency is likely to be related to a rapid-onset hazard, such as an earthquake. A chronic crisis is likely to refer to a slower deterioration in people's well-being on account of prolonged losses, accumulating to a point where people find it very hard to cope. Droughts are frequently associated with chronic crises, often exacerbated by conflict, insecurity and HIV.
- **Recovery** refers to a period of time after an emergency/chronic crisis where people are beginning to restore their own ability to undertake livelihood activities and rebuild their communities.

In reality people do not always distinguish between phases like this. In a prolonged drought or in areas regularly affected by flooding for example, the 'disaster' situation becomes normality. Similarly, due to high levels of prevalence, HIV may be thought of as having impacts in terms of leading to an emergency/chronic crisis as well as being part of normality/pre-disaster development.[13] Therefore these periods of time may well merge together, and it may be hard or unnecessary to distinguish when chronic crisis becomes recovery and recovery becomes normality.

Once an example has been assigned to the most relevant of these three periods of time, the framework then further categorises findings according to 'capital'. The five types of capital – **financial**, **natural**, **physical**, **human**, and **social** – are described in **Table 1** on the following page.[14]

13 An HIV epidemic has marked social and economic impacts in societies where seroprevalence levels are in the range of 10–40%.

14 Adapted from the DFID *Sustainable Livelihoods Guidance Sheets*

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TABLE 1
The five types of capital

Financial capital	Financial capital refers to savings and regular inflows of money. Savings can be held in the form of: – cash – bank deposits – liquid assets such as livestock and jewellery – credit. Regular inflows of money refer to: – earned income – pensions – remittances.
Natural capital	There is a wide variation in the resources that make up natural capital, from intangible public goods such as the atmosphere and biodiversity to assets used directly for production (trees, land etc).
Physical capital	Physical capital comprises basic infrastructure and producer goods. Infrastructure can refer to: – transport – shelter and buildings – water supply and sanitation – energy – access to information (communications). Producer goods are the tools and equipment that people use (they may be owned on an individual or group basis or accessed through rental).
Human capital	Human capital represents the skills, knowledge, ability to labour and good health that together enable people to pursue different livelihood strategies and achieve their livelihood objectives.
Social capital	The social resources on which people draw are developed through: – networks and connectedness that increase people's trust and ability to work together and expand their access to wider institutions – membership of more formalised groups which often entails adherence to mutually-agreed or commonly-accepted rules – relationships of trust, reciprocity and exchanges that facilitate co-operation, reduce costs and may provide the basis for informal safety nets among poor people.

One of the strengths of this research is that it demystifies CBDRM by providing a clear list of topics and some examples that have been organised within separate categories. However, care is required when categorising CBDRM in this way as it can appear to fragment this multi-disciplinary subject, undervaluing the importance of integrated themes.

Explanation of Figure 1 (see opposite)

1 Good practice CBDRM is based on some important **'principles'** that are applicable in most contexts, for example the participation of local stakeholders in decision-making, the involvement of local government, and the linkage with development plans. When adopting the appropriate principles a process will begin that should ultimately lead to the development of CBDRM measures, described here as **'**examples**'**. These may include building houses on stilts in flood-prone areas, or the introduction of specific crops better able to withstand drought conditions.

2 Although specific examples of CBDRM can be almost limitless, they do fall into a more manageable list of **'topics'**. These topics help create the CBDRM process as they indicate the range of options that can be discussed by stakeholders as part of prioritisation and decision-making. Topics include the diversification of livelihoods and hazard-resistant construction, and are the basis of the research findings in this report.

3 The process of good practice CBDRM can be thought of as operating in a loop: the 'principles' of CBDRM are applied to make improvements in terms of various CBDRM 'topics', resulting in specific '**examples**'

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FIGURE 1
Diagram of good practice CBDRM

See previous page for explanation

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of CBDRM. The examples, and how effective they are at reducing risk, should be fed back into the broader continual learning process of a risk-reduction approach so as to improve the way things are done and stay on top of emerging issues.

This does not all happen in a vacuum, regardless of other issues: it happens within a particular **context**. The context describes influences on the CBDRM process such as the level of democracy and decentralisation, the cultural norms, the influence of legislation, and the degree of gender equity. However, the processes of decision-making regarding what risks exist, which ones are important, which ones can be reduced, and how best to achieve this will nearly always be different. Therefore the CBDRM examples adopted in one location at a particular point in time may well be very different from the CBDRM examples appropriate in another place or time, even when the exact same principles are followed.

Phase 2 of Turning Practice into Policy

It is important to recognise that the research presented in this report is the first phase of a larger Tearfund initiative. While this first phase focuses on identifying good practice CBDRM based on fieldwork and expert academic and practitioner opinion, the second phase focuses on identifying the challenges in linking good practice CBDRM with government policy and practice. In order to achieve this, government perspectives were sought from Afghanistan, Burkina Faso, Ethiopia, Malawi, Niger and Zambia, and expert academic and practitioner opinion was also collected and analysed. Findings are presented in the Phase 2 report that follows on from this one. By combining the two phases, Tearfund partners and other NGOs will be in a strong position to develop advocacy initiatives that suit their own country and location context.

Raised handpump for safe drinking-water in India.

Photo: DRR team / Tearfund

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2 Normality / pre-disaster development

Normality / pre-disaster development refers to a period of time that local people would not consider to be unusual, and during which coping mechanisms are able to prevent a serious deterioration in the situation to a place where significant losses are suffered.

DRR should be integrated with development plans and activities in hazard-prone environments. This section provides examples of the type of approach or activity that can lead to an effective reduction in the risk of disaster faced by vulnerable communities.

2.1 Financial

2.1.1 Diversification of livelihoods

Dependence on one source of income that is vulnerable to the occurrence of hazards leaves households at risk. This is particularly relevant for agricultural-based livelihoods, and is of increasing concern on account of the direct impact of climate change on the agricultural sector. Therefore alternative livelihoods and a diversification of income-earning opportunities, particularly in non-agricultural sectors, should be promoted.

CASE STUDY
India

The communities in Srikakulam District have undergone training in making fabricated boats. The fabricated boats carry more people, more fish, last longer and increase income. After the training the communities got a loan from the local banks and started making boats. These boats are used locally and also sold. The additional income helped the families strengthen their resilience to disasters and the boats are also useful for rescue and evacuation during disasters. **N Hari Krishna, Oxfam America**

2.1.2 Development of hazard-resistant arable farming

In light of climate changes, arable farming activities need to be flexible, adaptable and aware of the ways in which hazards, especially weather-related, can affect productive growth. Varieties of crop grown should be those best able to cope with the local hazard characteristics that may be experienced. Crops may require resistance against drought (eg: less water requirement), flood (eg: ability to withstand inundation), and the ingress of salt in coastal areas due to cyclones and storm surges (eg: a tolerance of soil salinity). The scheduling of agricultural activities also needs to take into account potential hazard seasons to minimise risk of damage and loss. Seed banks should be developed and used as a safeguard against any losses sustained. Methods to maximise yield will protect income and consequently develop household resilience. This can be developed through the choice of crop, the use of fertilisers and sound agricultural methods such as the building of small anti-erosion barriers and similar methods to retain rainfall runoff.

2.1.3 Development of community savings schemes

Savings schemes that are accessible to local groups, particularly women's groups, can be drawn on in times of need. These include an account of losses experienced due to the impact of a hazard. Whereas an individual may be unable to meet the savings criteria of a local bank or may be denied access to financial services in other ways, as a group it is more feasible that funds may be invested in this way. Besides the development of a financial resource for the benefit of individual members, schemes such as these also have secondary benefits in terms of developing improved cooperation and cohesion within a group and the local community.

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TEARFUND CASE STUDY
India

In India, some self-help groups (SHGs) have been provided with livestock such as goats and cows for micro credit. Where necessary, the women are provided with extra skills in livestock management and then the profits that are generated from the sale of milk and other products are placed back in the general savings fund. The women then communally decide whether to distribute the profits or put them back into maintaining or expanding the herd. They also decide whether to lend some of the fund to members for personal use. In Bhadrak, Orissa SHGs have collectively saved Rs 20,614 and subsequently have attracted a Rs 20,000 loan from the State Bank of India under a government scheme.

2.1.4 Availability of pro-poor insurance

Vulnerability and poverty are closely related. For the most vulnerable communities living in hazardous environments, having sufficient money to be able to afford to insure what few possessions they have, such as houses and livelihood assets, is normally far beyond their means. This undermines the ability of poor people to recover from any sustained losses. Supporting linkages between those who are poor and those offering insurance may open up opportunities otherwise unavailable.

CASE STUDY
India

Insurance companies were not interested in doing business with … remote and poor communities due to transaction costs and unattractive premium payments. However, the youth of the communities with the help of local NGOs ARTIC and SAKTI were trained in insurance business and settling claims. 1,000 families were insured in one district and the youth have also later become independent insurance advisors. Prompt settlement of claims helped more communities to insure. **N Hari Krishna, Oxfam America**

2.1.5 Protection of household assets

Household assets refer to possessions such as livestock, jewellery, tools and equipment, homes and land. These assets should be protected from hazards. In the absence of being able to draw on a reserve of money, poor people are likely to sell assets in hard times to pay for essentials such as food. Unfortunately this practice results in low market prices which increases household poverty and vulnerability to future hazards. Therefore every effort should be made to limit the need for those who are poor to be forced to sell belongings. Stock-piling of food and non-food items during productive periods to safeguard against harder times is one method of protecting assets.

2.1.6 Group cost sharing

Whereas individual members of a community may not be able to afford to purchase an item that will aid them in their livelihood, such as an irrigation pump, a group may be able to share the cost and the item's use. Strengthened livelihoods will improve resilience against hazards, and social cohesion is also likely to improve through this approach.

2.2 Natural

2.2.1 Protection and reintroduction of native trees

Increasing population with demands for wood, an increase in the urban environment and large-scale commercial plantation schemes have resulted in massive and exploitive deforestation. On a local scale the removal of native trees, mangroves and other vegetation leads to an increased risk of disaster due to

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the loss of a protective barrier against strong winds, an increase in landslide risk on slopes, an increase in exposure to the threat of storm surge, less soil absorbency for flood waters, and a greater threat of erosion. On a macro-scale deforestation is reducing the earth's capacity to absorb harmful levels of carbon dioxide, a major greenhouse gas. The protection and reintroduction of native species of trees and other vegetation will restore a natural balance that protects the land, the planet and its local and global inhabitants.

CASE STUDY
Vietnam

Large-scale mangrove reforestation to protect coastal dikes for several communities and their rice fields proved their protective power during Typhoon Damrey in September 2005. **Knud Falk, Danish Red Cross**

2.2.2 Water conservation and management

The implications of climate change mean that millions of people around the world will have to find ways to adapt to new, or worse, water-stressed environments as drought and flood conditions become more frequent and severe. On a macro-scale for flood plains measures to manage the situation should be based on 'living with floods', rather than emphasising a 'control' perspective. This approach needs to be based on entire watersheds rather than localised schemes. At the local level drainage channels should be maintained. To conserve water in a context of drought the maintenance of community ponds (that can be used for fish cultivation, irrigation etc) and household rainwater harvesting should be promoted and supported.

2.2.3 Fire protection

Fireguards and barriers should be used to limit or prevent the spread of wild fires in open areas. In urban and village settings the spread of fire from house to house can also be rapid, particularly in unplanned slums. Risks should be assessed, awareness raised and local measures employed to reduce the likelihood of fire and to ensure an effective emergency response.

2.2.4 Maintenance of soil fertility

For productive agricultural use, soil needs to be protected against erosion and nutrient depletion to maintain its fertility. This can be achieved through agricultural methods such as crop rotation, terracing of slopes, and the use of manure and other fertilisers.

2.2.5 Natural resource protection

Population expansion, combined with the typically exploitive methods of securing short-term gain from the environment to the detriment of long-term sustainability, has implications for the natural resource base and the health of the environment on which we all depend. By adopting sustainable methods of utilising natural resources, with benefits shared equitably, more livelihoods can be protected with subsequent reductions in vulnerability.

2.3 Physical

2.3.1 Hazard-resistant privately-owned buildings

Buildings should be built (or rehabilitated) based on an awareness of the possible impacts of local hazards, such as earthquakes, floods and cyclones, and engineered accordingly within acceptable levels of risk.

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Regular inspection is then required to maintain structures. Construction techniques need to be appropriate to the area using local materials, but should still provide adequate safety, for example in flood-prone areas the use of stilts, lofts and deep foundations; in areas prone to strong wind the shape of roofs and how they are tied down, which influences the chance of damage; in seismic zones walls and roofs, which are tied and, under extreme circumstances, built to collapse 'safely'.

CASE STUDY
Central America

Poor quality construction was one of the causes that provoked the collapse of houses in the earthquakes of 2001 in El Salvador. **Hilda Elena Romero de Bojórquez, Asociación A-Brazo**

2.3.2 Hazard-resistant public buildings

Authorities have a special duty-of-care to construct and maintain hazard-resistant public buildings that are designed to appropriate safety standards. This is particularly important for 'critical facilities' such as hospitals, schools and places where large numbers of people congregate or emergency operations are to be controlled. At a local level, public buildings such as a school, church or mosque, can provide an extra function during an emergency as an evacuation shelter. These buildings should be positioned in the safest areas, and their dual functioning agreed in advance with the local community.

2.3.3 Provision of access roads, bridges and transportation

Enabling people to move freely by providing and maintaining roads, bridges and other infrastructure enhances access to important goods, services and markets. This can be particularly important for livelihood activities. Well-planned routes are also critical to aid evacuation in an emergency. The availability of boats in a flood is important to protect lives and to help prevent communities from becoming isolated from markets.

TEARFUND CASE STUDY
India

Six approach roads constructed in Orissa (Chariburti, Bouriyabanks, Kelasahi, Tiadisahi, Muturigarh Salapur and Oralibindgha) have ensured accessibility for the villagers, and especially for children to continue their education during the rainy season. Improved access for the villagers to market and work places will enable them to meet their basic needs during floods.

CASE STUDY
Mountainous areas of Northern Philippines

Access was provided to the town centres through the building of bridges and footpaths so that the people could sell their produce and buy what they need. Because the terrain is high, sloping and slippery during [the] rainy season, people had difficulty in travelling when there were no cemented footpaths. Crossing the river was impossible. **Zenaida Delica-Willison, UNDP**

2.3.4 Hazard-aware land-use planning

Homes and businesses should not be built in unsafe areas, for example on steep slopes or flood plains. However, the most unsafe land is often the cheapest, and therefore is the only option available to poor people. Such groups are likely to prioritise the everyday problems they experience, which can be lessened by living in an unsafe area but with access to work opportunities, over the less likely risk of disaster. Alternative locations that do not impinge on livelihood activities and other interests of those affected should be sought, and unsafe areas improved where possible (eg: slope stabilisation).

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2.3.5 Appropriate structural flood mitigation measures

The dominant approach to disaster management has focused attention on attempting to control floods through the building of embankments. In the majority of cases this has led to a deepening of the problem, rather than a solution. Before structural measures are adopted all relevant stakeholders, including poor people and those most vulnerable, need to participate fully in the decision-making process. Large-scale schemes should only be developed based on implications for the entire watershed, and it should be borne in mind that all structural measures require costly and time-consuming maintenance.

LITERATURE REVIEW

'Flooding is critical for sustaining ecological processes along rivers in most arid and semi-arid parts of the world. In many parts of the world floodwater is seen not simply as essential for human activities but as life itself.' (Handmer, 2000)

'The philosophy of widespread dyke building is counter-productive by allowing vulnerable activities onto the flood plain, engendering a false sense of security, and aggravating the flood problems downstream.' (Tobin, 1996)

2.3.6 Flood-resistant safe drinking-water supply

Hand pumps that are positioned beneath flood levels are useless during a flood when they become submerged. This forces the affected communities to drink unclean water, with detrimental effects on their health. After the flood low-lying hand pumps are often blocked with sediment and require clearing which further prolongs the problem. Hand pumps and other means of accessing clean water must be constructed above flood levels on platforms or high ground.

'The hand pumps are the only source of water, but the old ones are all underground now or are blocked. In the past we drank contaminated water from the river, we would have to move the filth away with our hands.'
Kumri Devi, local villager, Bihar, India

2.3.7 Development of people-centred early warning systems

The four elements of an effective early warning system are: *risk knowledge, monitoring and warning service, dissemination and communication, response capability*.[15] If any of these components fail then the system itself will fail and vulnerable communities will be struck. It is important to make accurate predictions and forecasts, especially regarding the new impacts associated with climate change, but frequently early warning is dominated by risk knowledge and monitoring by the science community (meteorologists, seismologists etc) and high-level institutions, including national government. Early warning systems must however be 'people-centred' to be effective. This ensures that the latter components of an early warning system, dissemination and communication and response capability, receive adequate attention. Radio or television can help disseminate a message widely, and a team of trained volunteers with megaphones can help provide essential clear instructions at a local level. Training and practise drills, that help build confidence and trust in the system, are required to help ensure that lives are saved.

15 Platform for the Promotion of Early Warning: http://www.unisdr.org/ppew

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2.4 Human

2.4.1 Awareness raising

People's perceptions of risks differ. Often risks associated with disasters are given a low priority as they are considered unlikely, or unavoidable, or both. The reality is often different. Disaster risks can be much higher than people perceive but more importantly, much can be done to reduce risk within normal day-to-day development activities. Awareness raising is therefore a crucial element in DRR. It is particularly relevant to deal with low return period hazards, such as earthquake risks, and new risks associated with climate change. Awareness raising on how HIV spreads, including through individual risky behaviour and cultural traditions, is also extremely important to mitigate against the further spread of the virus.

TEARFUND CASE STUDY
Bangladesh

In a bid to raise the profile of DRR education and awareness, HEED commemorated the International Day for Natural Disaster Risk on 11 October 2006 in all project areas. They took the opportunity to organise rallies, develop banners, coordinate debates and oratory competitions in schools across the areas, facilitate tree-planting, and engage the media, ending with a high-profile prize giving ceremony for winning schools. They hope in future years that this will be a day when HEED can advocate for specific issues related to DRR at both national and local levels.

TEARFUND CASE STUDY
Afghanistan

In the village of Rawani, in Dand district, volunteers were being recruited to participate in a risk reduction project. When the activities were outlined to them the communities refused to participate without a cash incentive. The team replied that there would be no such incentive but again explained the value of the project through gaining knowledge of disasters, how to prepare for them and then reduce the risk. After several group meetings, and having heard much more about the content of the lessons on disaster management, the village elder said, *'Don't give me anything, please just come here and give us your information and awareness about disasters.'*

2.4.2 Supporting local knowledge and coping mechanisms

Solutions imposed by 'outsiders' on local people are unlikely to be effective, as they will not be sustainable. However, recognising and strengthening indigenous knowledge and coping mechanisms, such as taking heed of natural warning signals, provides a firm foundation for long-term risk reduction. In some situations such as farming or construction, new approaches and technology may enhance local resilience. However, local people should decide if these techniques are to be introduced. Demonstration exercises can be used to support this process.

LITERATURE REVIEW

'The starting point for sustainability in [CBDRM] lies in recognising and understanding the importance of the indigenous coping mechanisms of communities vis-à-vis the impact of disasters.' (UNCRD, 2003/2004 and Alam, 2004)

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2.4.3 Community disaster preparedness training

As disasters directly impact communities rather than governments, the military, NGOs and the emergency services, they should receive priority for disaster preparedness training, rather than just response organisations. A well-prepared community, with community members taking up designated roles and coordinating pre-planned actions, provides local capacity that is able to respond rapidly and appropriately. Training should include tasks such as first aid, search and rescue, and evacuation.

'Now that we have become organised, we all feel safer.' Heera Paswan, local villager, Bihar, India

'Training is perhaps more important than any physical measure in one key aspect. It is dynamic. If you build a flood protection measure it relates to our current knowledge of flood protection. If you train someone well, they will be able to respond to situations 30 years from now.' Comment made by Professor Ian Davis at the workshop

CASE STUDY
India

In an horizontal approach, the communities trained in disaster management by Oxfam initiated the same process in many other villages. That ensured horizontal spread of skills and awareness and also created a strong network of community institutions. **N Hari Krishna, Oxfam America**

2.4.4 Child-focused disaster preparedness training

Prior to the occurrence of a disaster the poorest and most vulnerable adults are primarily concerned about day-to-day survival by earning a living. Devoting time to learn about potential future disasters and how they can be avoided or mitigated is not necessarily a priority. Children, though, are likely to be more receptive to learn, and in turn they can spread a disaster preparedness message that they have learned at school within their own home. Focusing disaster awareness and education on children is likely to be well received within the community as a whole, as children are both specially valued and considered among the most vulnerable. Therefore integrating disaster preparedness training within the school curricula is an effective way of helping to develop a culture of safety within society as a whole.

TEARFUND CASE STUDY
Darfur

Tearfund Disaster Management Team (DMT) found child-focused health education very valuable during an emergency to ensure health messages are passed on to the children and the family. However, in Darfur this has extended to include some disaster preparedness messages. Children who attend children's clubs in the Internally Displaced People (IDP) and refugee camps are taught about the dangers of attack and rape and how they can reduce their vulnerability. This is particularly targeted to those Chadian refugees who cross the borders regularly and are highly vulnerable.

LITERATURE REVIEW

'Education is the fundamental bedrock of disaster risk reduction.' (Davis, 2004)

2.4.5 Training in earthquake-safe construction

Training engineers, architects and masons in safe construction practices, especially in active seismic zones, will help prevent damage and collapse. Following building codes for engineered structures is of prime importance. Awareness of techniques to improve non-engineered structures is also important as these account for the majority of buildings used by poor people. However, it is typical for construction

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to be undertaken using unsafe practices, until in the aftermath of a disaster when more attention is given to the subject.

2.4.6 Public health education for disaster

Health education is important under normal circumstances so as to reduce morbidity levels and protect lives, but awareness of health risks associated with disasters and their aftermath can be even more critical. Flood waters, for instance, can contaminate drinking water and carry water-borne diseases, and drought can lead to malnutrition which exposes people to more risk of health problems. It is highly relevant, in the context of preparing for a disaster situation, to raise awareness of diseases and how they can best be avoided and treated.

2.4.7 Development of strong local leadership for DRR

Without strong local leadership, measures to reduce risk over a sustained period of time and in light of significant challenges are likely to fail. An externally-driven programme is highly unlikely to continue to deliver benefits beyond the scope and time-frame of the intervention, whereas with inspired local leadership DRR may be integrated within the everyday functioning of the community as a whole, with long-lasting benefits.

2.4.8 Gender sensitive programming

It is quite common for women to be classed as among 'the most vulnerable', as if all women were the same. This is clearly not true: some women may have more power and influence than others, some may have more wealth than others, some may live in a better location than others and some may have better health than others etc Some may be less vulnerable than some men. However, in general, special attention should be given to the consideration of women's vulnerability, as gender commonly plays a significant role in the way hazards impact the lives of people in developing countries. This may mean that attention is given to women's literacy skills, for example, to ensure that women are not excluded from receiving and understanding disaster awareness messages and warnings.

2.4.9 Livelihood-based capacity building

Understanding what capacities a community or household desires, as opposed to deciding externally what capacities a community or household should have, places 'capacity building' in the context of the people it aims to assist. Therefore if a connection is made between disasters and development, and as such people undertake their livelihood activities in the knowledge of how disasters could affect them, any locally-driven capacity building is likely to enhance disaster resilience. People may choose to develop capacities to help them cope with all manner of threats. For example, people may wish to develop skills that enable them to adjust their livelihood strategy to cope with desertification and drought, or they may be interested in implementing new water-harvesting techniques, and so on.

CASE STUDY
India

In India many farmers focus on the education of children so that at least some family members can move out of farming into non-farm activities thus providing the family as a whole with an alternative income source during flood or drought periods. Other skills (diamond polishing in Gujarat etc) are used in similar ways.
Marcus Moench, ISET

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2.5 Social

2.5.1 Assessment of disaster risk

Without an awareness and understanding of the risks, solutions are going to be hard to find. This is particularly so if the causes of risk are not identified and addressed. Disaster risk assessment can be used as an entry point for integrating DRR activities within development programming. Different perspectives on risk and levels of acceptable risk will become apparent to participants through this process. Good practice risk assessment emphasises the process over the product, and therefore a regular analysis of changing vulnerabilities, capacities and hazards is necessary for communities to maintain and improve their resilience to disaster. This calls for the full participation of a wide range of people and organisations, including those who may normally be excluded from decision-making. Organisations with access to climate change predictions also need to be better connected into the assessment process.

In low prevalence countries, where vulnerabilities towards HIV are high but communities do not see or understand the potential impact an AIDS crisis could have, a problem tree tool can been used. This encourages participants to think through the effects of vulnerabilities such as poverty, gender inequality, environmental and post-conflict issues which often point towards detrimental coping mechanisms that may increase the spread of HIV.

LITERATURE REVIEW

'How community risk assessment is done is as important as its findings … Participation is critical. In particular, analysis is done with vulnerable groups.' (Twigg, 2005)

'The [risk] map is very useful: green spots indicate disabled people; red spots indicate where the old people live. It means that volunteers know where the most vulnerable people live and they can rescue them when the floods come. The map also helped us see where the road should be built. It's now used to evacuate the whole village.'
Dinesh Paswan, local villager, Bihar, India

TEARFUND CASE STUDY
Malawi

The effectiveness of the Participatory Assessment of Disaster Risk (PADR) process (Tearfund's approach to disaster risk assessment) has gone beyond expectations with some of Tearfund's partners in Malawi. Emmanuel International reports that the response by communities was greater than they had expected. In one village, more than 250 participants attended. Another partner, Eagles, reported that the involvement of non-beneficiaries in the flood mitigation activities (designed as a result of the PADR process) has increased understanding of the community as a whole. AGREDS also reports an impact wider than their immediate target groups because of the sharing of information among community members. EAM used the PADR process to discuss the place of women in decision-making within their target communities. They carried out a short survey that showed 78 per cent of participants would favour a boy child over a girl child. This has provided a platform to begin to effect change on gender inequality.

2.5.2 Integrating disaster management responsibilities within community-based organisations

By integrating disaster management functions within existing community groups, committees or organisations (CBOs), not only does the community benefit from trained individuals able to protect members of the community in the face of disaster, but the arrangement is lodged within a familiar structure that has longevity and a year-round function. A stand-alone team of disaster response volunteers, by contrast, can become obsolete for much of the time and consequently lose their motivation and commitment. The CBO is also well placed to represent the needs of the community to others, including in an emergency, and can coordinate with other groups when necessary for greatest effectiveness.

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'[The village development committee] attend monthly meetings to discuss our situation. We look at when and how we will get employment; we look at how the floods will disrupt our lives; and we discuss counter measures to decrease the effects of the floods and ensure our families survive the monsoon period.' Dinesh Paswan, local villager, Bihar, India

2.5.3 Development of a multi-stakeholder and multi-levelled approach to disaster planning

Managing the risks associated with disasters is a complex process. Risk is experienced locally, but its causes may be generated elsewhere. Many different organisations, groups and individuals both within and outside the community must play a role for DRR to be effective. Within a local community there are likely to be different livelihood groups, CBOs, religious institutions and so on. Externally there are government departments, the private sector, UN agencies, INGOs and NGOs. All will have different perceptions of disaster risk, different agendas, and different ideas. Effective DRR requires an integrated approach that involves as many stakeholders as possible working towards a shared goal. Not only will this approach reduce risk locally, but it will also have benefits beyond target areas. Different stakeholders must be recognised and connections made through meetings. In particular, involving local government officials in risk assessment exercises should be attempted in an effort to develop a shared understanding of the problem and how to address it.

In many countries, in order to reduce the impact of HIV it is important to ensure that local and national laws and policies help to elevate and protect people against vulnerabilities towards this disease. Issues would include access to health care and clean water, laws against gender-based violence and land inheritance. In addition it is important to realise that customary laws often have more power than national laws.

LITERATURE REVIEW

'It is imperative from the very beginning to ensure collaboration with local authorities in order to ground the preparedness concept firmly in local planning, gain technical and financial support for implementing mitigation measures, and ensure long-term sustainability.' (Allen, 2004)

Photo: EAGLES Relief and Development, Malawi

Multi-stakeholder flood mitigation to protect farmlands and homesteads in Malawi.

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3 Emergency / chronic crisis

Emergency / chronic crisis refers to a period of time when loss of life, livelihood and significant household assets occurs. External assistance is usually required in the form of humanitarian aid. An emergency is likely to be related to a rapid-onset hazard, such as an earthquake. A chronic crisis is likely to refer to a slower deterioration in people's well-being on account of prolonged losses, accumulating to a point where people find it very hard to cope. Droughts are frequently associated with chronic crises, often exacerbated by conflict and insecurity.

DRR should be integrated with emergency response activities and in the context of long-term chronic crises. This will ensure that local capacities are not undermined and will maximise the chances of the community achieving sustainable recovery in the context of exposure to future hazards.

3.1 Financial

3.1.1 Utilising contingency funds

Locally managed funds should be used in times of disaster for the benefit of the members of the scheme. This works best when a 'disaster' befalls a small number of people/households, rather than all members of the scheme. Borrowings could be in the form of seeds and other consumables, as well as money, to help with the purchase of essential items.

TEARFUND CASE STUDY
India

In recent floods in Orissa, the raised platforms enabled the village of Muturigarh to have continued access to clean water, and the Village Disaster Management Committee (independent of facilitation) also decided to use the communal village development funds to create a community kitchen to feed those who were displaced for two days.

3.1.2 Avoiding the sale of assets

The worst affected in an emergency or chronic crisis may be forced to sell their possessions because they require cash to purchase essential items, but in a weak market commodities will realise low prices. Once markets recover, these same commodities will then cost more than their selling price, producing a cycle of poverty and increased vulnerability. Of course selling possessions in hard times, particularly productive ones such as livestock and tools, also limits the earning potential of the seller and so the situation deteriorates further. Income-generating opportunities are needed to help safeguard household assets.

3.1.3 Equitable provision of aid

When humanitarian aid is distributed among an affected population the distribution must be equitable. Besides the humanitarian imperative of fair delivery of assistance, any favouritism of some groups and individuals over others will develop social rifts that undermine recovery. Transparency in decision-making will strengthen confidence in the system and help to ensure that corruption does not influence the process.

'The most powerful people get what they can or they use their influence to get what they need.' Mukhia Safdar Imam, local villager, Bihar, India

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3.2 Natural

3.2.1 Utilising unaffected natural resources

During a flood some trees and plants provide buoyancy and can be used to build rafts. High ground is a resource that becomes invaluable, and a safe water supply should be available in these locations. Support should be provided to ensure that affected populations can reach such areas in safety. Flood waters themselves are naturally-occurring processes. When people inhabit flood plains disasters occur, but a naturally-occurring flood brings important nutrients and can provide opportunities for fishing. In drought situations, water-sharing agreements should be implemented. Wild foods are sometimes available and used as a means of survival by affected communities. These indigenous coping mechanisms need to be understood and strengthened.

'Floods are acts of God, but flood losses are largely acts of man.' The Geographer Gilbert F White in a paper for the University of Chicago, 1945

3.2.2 Environmental protection

During an emergency or chronic crisis decisions are made that often achieve only short-term goals, while simultaneously having detrimental long-term implications. Trees, for example, should not be cut down to be used for construction or fuel other than from forests that are managed to be renewable. Otherwise deforestation will solve one immediate problem to the detriment of wider needs over the long term. In all circumstances, environmental impact assessments should be undertaken to ensure that humanitarian operations do not have an adverse impact on the environment.

TEARFUND CASE STUDY
Darfur

In Darfur the crisis has made it extremely dangerous for women and children to collect firewood due to the possibility of attack. This issue has been exacerbated as internally displaced people (IDP) camps grow bigger and women have to venture further afield. These growing populations in a small space will also increase the chances of environmental problems as there is more demand for fuel. Tearfund recognised this problem, as did other key NGOs, and has encouraged households to build mud stoves that have three important advantages. Firstly, they use only half the amount of fuel than an open traditional three stone fire. Secondly, as they use less firewood it means the women and children will spend less time looking for firewood. Thirdly, the mud stoves protect children from an open fire and potential burns; a common hazard in crowded compounds.

3.3 Physical

3.3.1 Community buildings used as evacuation shelters

Community buildings, such as schools, community centres, and religious buildings very often provide shelter for people during a disaster. Disaster preparedness training should strengthen this function so that people know which building(s) to take refuge in, who will be coordinating the emergency response, and so on. Because these buildings provide a service locally throughout the year there are several benefits in their dual functionality; they are maintained, their location is known, the best route to reach them is familiar etc. Purpose-built shelters, perhaps for cyclones, should also have other functions throughout the year. Otherwise their lack of use in normal times will limit the effectiveness of their purpose during disaster.

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3.3.2 Planned information dissemination

During an emergency the normal means of communication within an affected local community, into the affected community from outside, and out from the affected community to others may be disrupted. For example, radios that rely on electricity will not work if the supply is cut off. However, information dissemination and communication in general is critical. Therefore methods to ensure that messages can be shared need to be put in force. Radio batteries may have short-term benefit, but the use of megaphones by trained community members and officials can be effective, and in many areas text messages on mobile phones are increasingly widespread.

3.3.3 Protection of household belongings

Insurance, savings, wealthy family members, and government compensation etc are less likely for the poorest and most vulnerable groups. The protection of belongings, therefore, has a significant economic angle, as their loss is not easily remedied. In the event of a flood, cyclone and storm surge valuables should be buried underground in protective bags or containers for collection later on. Some items can be positioned above flood waters on roofs and in lofts. Floating aids can also help ensure that tools and equipment are not lost.

3.4 Human

3.4.1 Emergency response through local volunteers and leadership

Local people are on the scene of an emergency and have prior knowledge of the affected area and people. Therefore locally-driven response is capable of being efficient and effective. Trained volunteers should undertake search and rescue, first aid, needs assessment, distribution of relief aid, management of evacuation centres, and so on. Strong local leadership and a united local response can provide a form of psycho-social support to a traumatised community. Those offering support from outside the local community should support this type of initiative.

Storage boxes buried to protect high-value assets from flood water in Bangladesh.

Photo: HEED Bangladesh

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TEARFUND CASE STUDY
Philippines

Local response teams are very effective and are quickly on the disaster scene. This was the case during recent earthquakes, a volcanic eruption, and a small tsunami in Indonesia in 2006. **Knud Falk, Danish Red Cross**

3.4.2 Provision of support to the most vulnerable

The social and economic characteristics of a local community prior to the occurrence of the emergency or chronic crisis would have created conditions where some were more vulnerable than others. Some women, for example, may bear the responsibility to care for the sick, perhaps to the detriment of earning a wage. As the emergency or crisis unfolds these groups and individuals are likely to experience greatest loss and could have greatest difficulty in recovering. The dynamics of this vulnerability need to be identified, and attempts made to remedy it prior to the provision of any support.

3.5 Social

3.5.1 Community participation with assisting agencies

During a disaster, humanitarian aid workers, government officials, the military, and others who arrive from outside an affected area to help, have often been criticised for treating those affected as victims rather than survivors with strengths and capacities. Local community members should be at the forefront of humanitarian efforts and engaged in activities to the greatest degree possible, for example community involvement in the running of shelters. In order to make the best decisions possible, outside agencies rely on effective communication with those affected. Actions should be culturally sensitive, which requires an understanding of people's perspective and outlook. Local people should be asked for their ideas and solutions to problems rather than imposing ideas and solutions on them.

3.5.2 Recognition of external sources of support

Those affected by an emergency or a chronic crisis may draw on support provided by various sources – churches and other religious institutions, neighbouring communities who, for example, may provide emergency accommodation, and extended family members. Recognising and helping facilitate this support is important. In a chronic crisis, such as a drought, a family member may migrate to another area to earn money to support those left behind.

LITERATURE REVIEW

'In the Philippines context, the family far outweighs government or civil society institutions as a provider of safety-net support to resist shocks and stresses.' (Allen, 2006)

3.5.3 Protection of children at risk

Children are commonly referred to as among the most vulnerable. Special provision is required during an emergency or chronic crisis, and in its aftermath, to ensure that children affected (maybe through the loss of parents, injury, disease, trauma etc) receive appropriate care and support. Among other needs, safe areas should be provided, psycho-social support should be available, and schooling should begin at the earliest opportunity.

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TEARFUND CASE STUDY
Darfur

In Darfur children's clubs were set up to disseminate messages on health and hygiene to ensure safe public health practices in the camps. However, these clubs were also a support for children traumatised during the conflict. Children are encouraged to draw pictures, to play with toys and so feel protected and supported in a safe environment. Thousands of children attend the weekly clubs and the community has been very accepting and thankful for the activities.

3.5.4 Coordination among humanitarian aid providers

In major disasters, such as the Indian Ocean tsunami, the Orissa super-cyclone, the Bam and South Asia earthquakes, a huge influx of UN agencies, government officials, INGOs, NGOs, media personnel and volunteers arrive on the scene. Initially their primary aim is to identify what has happened and what is needed. Affected communities are inundated with people carrying out assessments. Very often the vast majority of people who arrive and ask questions are never seen again. This leads to frustration in the affected communities. While it is hard to find ways to prevent overlaps with other agencies, a determined effort is required to minimise duplication and other issues in aid delivery that can lead to tensions between external agencies and the local population, and between different groups of the local population itself. Coordination meetings and systems should be set up to ensure interventions are complementary, do not duplicate earlier actions and minimise the pain and trauma experienced by those affected.

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4 Recovery

Recovery refers to a period of time after an emergency/chronic crisis where people are beginning to restore their own ability to undertake livelihood activities and rebuild communities.

DRR should be integrated with recovery activities. The lessons learned from the experience of the emergency or chronic crisis should be drawn on during this 'window of opportunity', when resources, political will and community interest are likely to be at their peak.

4.1 Financial

4.1.1 Restoration of livelihoods

The restoration of livelihoods and sources of income that enable people to rebuild their own lives, rather than rely on handouts of humanitarian aid, should be placed high on the agenda of those who seek to offer assistance. Cash-for-work can be used to engage people in the recovery process while supporting them with a source of income. However, the main aim should be to generate conditions that enable long-term livelihood activities to become re-established, for instance, maintaining access to markets and providing cash support for the rehabilitation of livelihoods. Even while people are displaced within evacuation centres and camps, they can become engaged in handicraft production. In the aftermath of an emergency or chronic crisis, and in light of experience, alternative forms of livelihood that are not so vulnerable to the effects of future hazards may be considered.

4.1.2 Access to fair financing

From the use of contingency funds and savings to loans and remittances, various options may exist to help finance a household's and community's recovery. Special attention should be given to the terms of these financial mechanisms. For example, loans taken out to replace lost agricultural equipment or livestock may come with burdensome interest rate repayment conditions. These can lock the buyer in to a precarious state of economic vulnerability where any loss in income, through a poor harvest for instance, results in escalating charges. Therefore options such as pro-poor micro-credit loans should be available. Community contingency funds and household savings may be used. Steps should be taken to ensure that mechanisms for access to external financial resources (such as migrant remittances) are functioning, as well as informal local financing arrangements (such as borrowing from a shop). Start-up capital may be required to support the introduction of new initiatives geared at developing new business opportunities for community members.

4.2 Natural

4.2.1 Restoration of the natural environment

Environmental degradation can be linked to some disasters: deforestation leading to landslides, water-hungry agricultural practices leading to the drying up of rivers and underground aquifers resulting in drought etc. Our dependence on the natural environment places it centrally in the attainment of sustainable development. In the recovery process care is required to ensure that the environment is not damaged. Indeed, due to the occurrence of the disaster, new initiatives to restore the natural environment, and in doing so protect lives and livelihoods, may be given a higher political priority. The planting of trees and coastal mangroves is a clear example of what is needed. Greater attention should also be placed on

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Government-provided water cistern in India.

Photo: DRR team / Tearfund

practices such as water conservation and harvesting, organic farming, and livelihoods that are not so heavily dependent on depleted and degraded natural resources.

CASE STUDY
India

The coastal communities with the help of the forest department nurtured and developed mangroves on the coast in hundreds of hectares. The mangroves function as a shield from gale winds, reduce flooding, increase fish breeding and provide a source of income for the communities. **N Hari Krishna, Oxfam America**

4.3 Physical

4.3.1 Building back better with hazard-resistant construction

In the aftermath of a disaster there is a new opportunity to integrate good practice design in reconstruction methods. The hazard that triggered the emergency or characterised the chronic crisis should not be the sole focus of DRR efforts. Buildings and infrastructure, communications, transport and all other aspects of the physical environment should be protected against the range of hazards they are exposed to. Houses destroyed by floods should be reconstructed off the flood plains or built on stilts or raised platforms, but also with structures able to withstand cyclones if this is a risk. Buildings that collapsed in an earthquake need to withstand future shocks, but also be positioned away from areas susceptible to landslide etc. Where dykes and embankments have failed they need to be repaired, but special attention should be given to this policy of containing floods, as it very rarely works adequately and requires constant maintenance. Advocacy on construction policies, so as to ensure that disaster risks are factored in, is important and at its most effective after an emergency.

LITERATURE REVIEW

'The least sustainable of options include further raising of flood defences to constrain a river 'within bank', or the construction of new defences to provide protection to new urban areas on the flood plain.' (ICE, 2001)

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4.4 Human

4.4.1 Applying lessons learned

People tend to be more reactive than proactive. This is a central challenge regarding planning for potential disasters at all levels. However, after an emergency or as a group emerges from a chronic crisis, there is a 'window of opportunity' as lessons learned can be applied to help mitigate future disasters. In most cases the lessons will be based on aspects of the community that were not adequately resilient to the hazard. New approaches to improve resilience can now take hold, perhaps based on training to undertake new livelihood activities, to diversify with different crops, to determine improved evacuation procedures etc. The benefit of knowing first aid skills may be more apparent now, in which case people may be more ready to be trained in this field. Analysing what happened during the emergency may also highlight areas where the community was well organised and prepared. Perhaps an early warning system was effective. This should be strengthened, and its scope widened for even greater benefit. Capturing all these lessons, a contingency plan should be developed with widespread participation to help guide the community's actions if put at risk again in the future.

4.5 Social

4.5.1 Long-term multi-stakeholder planning

Key components regarding planning after a disaster are that local participation in the planning process is central and the plan's objectives are based on a long-term horizon, rather than an attempt at a quick fix. The most vulnerable members of a community must be included within the planning process so that their needs are met and future risks reduced. Others involved should ensure that a multi-disciplinary perspective is considered, for instance both physical and social scientists' views need to be taken into account. Improved ties between the local community and external groups should be forged as the planning process occurs.

4.5.2 Recognition of extended social networks

In determining people's capacity to withstand the impact of a hazard, an often over-looked consideration is the role of extended social networks, particularly the extended family. For example, many Gujaratis affected by the earthquake in 2000 received assistance from family members living in Europe and the US. Significant levels of periodic and permanent migration occur, often from rural to urban environments, to join family members or other known groups as a coping mechanism in an attempt to escape poverty and vulnerability.

4.5.3 Strengthening and developing community groups

The community will have a common history and a sense of solidarity generated through the shared negative experience of surviving an emergency or chronic crisis. This should be recognised and taken advantage of in order to enrich and strengthen its identity. Existing community groups can be encouraged to incorporate new activities aimed at reducing their vulnerability.

'The whole village works together as a family to rebuild the houses.' Heera Paswan, local villager, Bihar, India

4.5.4 Restoration of school education

Ensuring that children can return to school as soon as possible helps a community sense a return to normal, with important psycho-social benefits. In light of experiences, there is an opportunity to advocate for disaster preparedness to be integrated within the school curricula. This could be achieved as part of existing subjects.

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5 Conclusion

5.1 The context of CBDRM activities

Understanding the context in which a particular CBDRM activity takes place is crucial. Numerous academics and practitioners who provided feedback to this project were careful to point out that much care is required in this area. Otherwise the report could imply that one specific example of good practice identified in one location in a certain period of time is also good practice in another place and context. In fact it may not even be considered good practice in the same place but at a different point in time or in the view of a different person. It is the local **process** that leads to the example of good practice CBDRM being cited that is most important. If the process is right, then the examples will follow.

'Risk reduction measures are community specific. Instead of focusing on measures that work in a specific context, it would be good to focus on the processes of how interventions are being socially constructed (process of trust building, values and power dynamics, negotiation outcomes, skills and knowledge, nature of participation, and the different ways of looking at the world).' Annelies Heijmans in her questionnaire response

Having said this, principles of good practice can be applied globally. And ideas relating to how vulnerability is being reduced in some places can be drawn on to inspire similar actions elsewhere. But extracting one specific example and assuming that it can be introduced successfully elsewhere will probably fail, and will definitely not lead to the full breadth of potential that the process of CBDRM can attain (see **Figure 1: The process of good practice CBDRM**).

5.2 Climate change

Good practice CBDRM should take account of the implications of climate change and should therefore also encompass climate change adaptation (CCA) strategies. This report refers to the importance of raising awareness and developing methods to adapt to the changes that have already occurred and are being predicted. However, examples of adaptation strategies to future, more extreme, hazards have not been directly identified in this report through fieldwork or through expert opinion. This is probably because adaptation to climate change has traditionally been dealt with as a separate subject from DRR and therefore was not investigated. This segregation should be rectified in the field and at policy level. The converging subject, of DRR encompassing climate change adaptation, should be systematically integrated within relief and development programming as a matter of urgency.

5.3 Gaps

In total, 53 examples of the type of intervention that can be considered good practice CBDRM have been identified in this report. These provide a broad range of approaches including structural, and non-structural, and within contexts of normality/pre-disaster development, emergency/chronic crisis and recovery. Also, examples can be considered to fall primarily within different categories as determined by sustainable livelihoods thinking: **financial**, **natural**, **physical**, **human** and **social**.

Data was collected from a small collection of villages in seven countries, from thirty-four academics and practitioners with specialist knowledge of this subject and from workshop attendees. Whilst this is considered to be a relatively strong basis on which to draw some conclusions, gaps inevitably exist and the research could be strengthened by the collection of more data. There are many other local stakeholders, besides a selection of residents from a sample group of villages, that influence or have an important perspective on the local risk context, for example, the private sector, religious institutions, political party

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representatives, the emergency services . These were not included as part of the research due to time constraints. An effective CBDRM strategy would need to be based on a more inclusive process.

The framework on which the research was undertaken and this report is based provides a very useful template to aid this process. The gaps that appear to be emerging are:

- **Africa** The majority of examples came from Asia. Further work is required to identify good practice within a non-Asian context, particularly African.
- **Conflict** Insufficient opportunity has been given to identify the way in which conflict influences good practice CBDRM.
- **Emergency / chronic crisis and recovery** The majority of evidence collected was found to be predominantly relevant in the normality / pre-disaster development period, indicating that more emphasis may be needed to determine good practice during an emergency / chronic crisis and during recovery. Conversely, there was an even spread of examples across the five different sustainable livelihoods categories, indicating that this is a useful framework for analysis.
- **Risk assessment** There is a surprising lack of examples in relation to the identification of risk, from the perspective of the community. Measures are unlikely to lead to effective risk reduction if risk understanding and awareness is not the basis of action.
- **Urban** There is a lack of evidence of CBDRM within an urban context. This is probably an indication of a broader problem concerning a dominant NGO focus in rural environments.

5.4 Towards Phase 2 of Turning Practice into Policy

The topics of good practice CBDRM identified in this report, and the specific examples that have been adopted in some places, hopefully provide some useful clarity on the subject. However, clarity in itself is not sufficient. It is a step that hopefully will inspire further action, not least as connections between local community and government are strengthened. In this regard the broad range of topics in the report, included as section headings, highlight that many different sectors play a role in risk reduction, such as education, agriculture, health and infrastructure. This indicates that an equally broad range of government ministries, with responsibilities for these sectors, must all play their part. It is not only the responsibility of disaster relief/management departments or ministries.

The research presented in this report is therefore the first phase of a larger Tearfund initiative. While this first phase focused on identifying good practice CBDRM based on fieldwork and expert academic and practitioner opinion, the second phase focuses on identifying challenges in linking good practice CBDRM with government policy and practice. Findings are presented in the Phase 2 report. By combining the two phases, Tearfund partners, and other NGOs, will be in a strong position to develop DRR advocacy initiatives that suit their own country and location context.

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Turning practice into policy

PHASE 2 Challenges in linking good practice community-based disaster risk management with government policy and practice

1 Introduction 41

1.1 Research findings 41

1.2 Structure of the report 42

2 Research findings 43

2.1 Top-down issues: government-related issues that can hinder the allocation of resources for CBDRM 43

2.1.1 Competing priorities 43

2.1.2 Lack of financial resources 43

2.1.3 Low government capacity 44

2.1.4 Lack of supportive systems and structures 46

2.1.4.1 Emphasis on response 47

2.1.5 Lack of effective government decentralisation 48

2.1.6 Short time-frames 49

2.2 Bottom-up issues: community-related issues that can hinder the flow of information on CBDRM to government 50

2.2.1 Poor appreciation of the government context 50

2.2.2 Lack of understanding and clarity on good practice CBDRM 51

2.2.3 Lack of influence at government level 51

2.3 Shared issues: government- and community-related issues that can act as barriers to linking CBDRM with government policy and practice 52

2.3.1 Different perceptions of risk 52

2.3.2 Lack of trust 53

2.3.3 Lack of integration of DRR in development 53

2.4 The role of institutional donors 54

3 Conclusion 56

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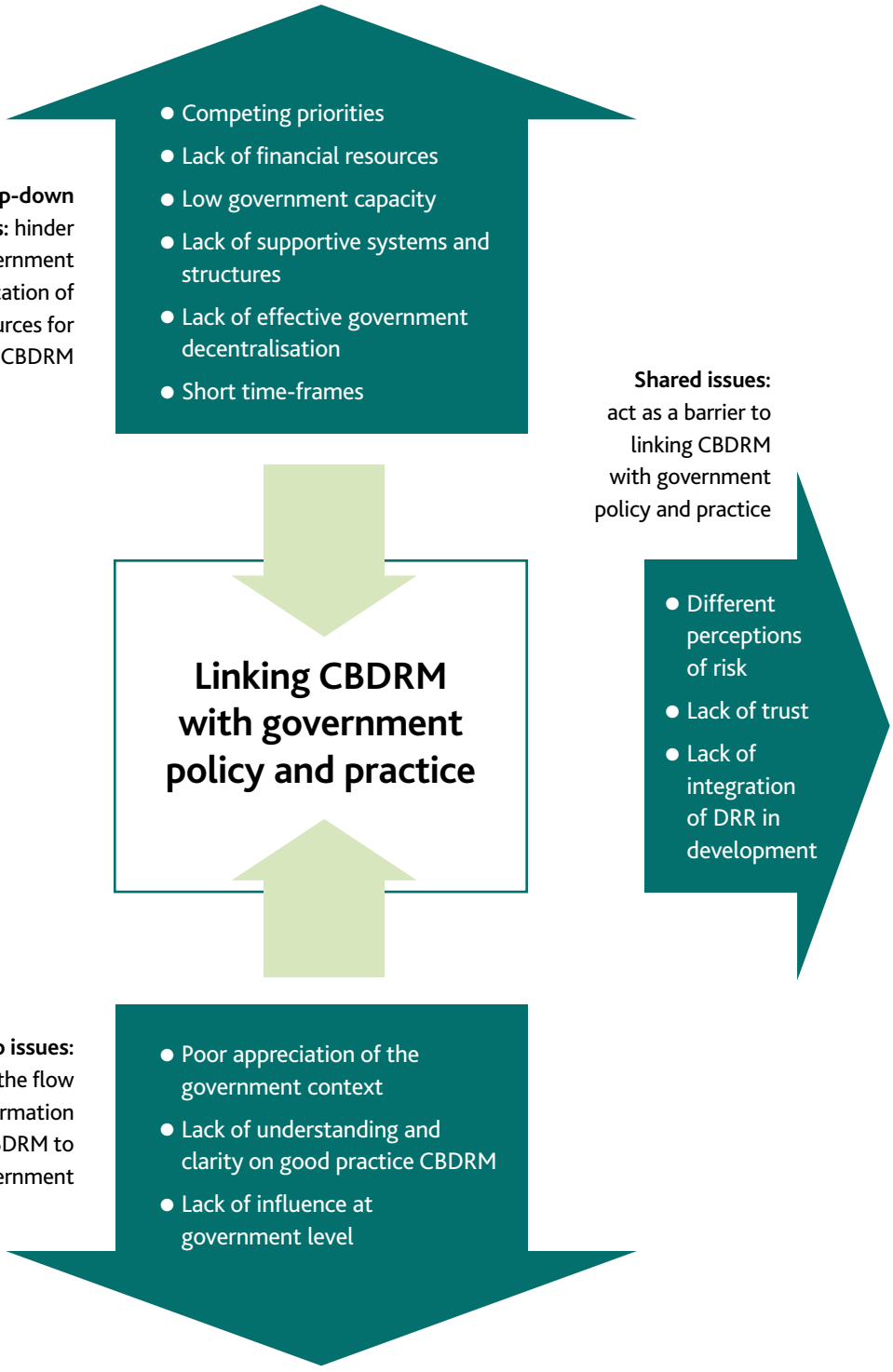
FIGURE 2
Challenges identified by DRR experts and government officials



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1 Introduction

Tearfund believes that Community Based Disaster Risk Management (CBDRM) should be supported and scaled up through a strong national policy framework. To achieve this 'scaling up' it is important not only to demonstrate good practice at local level but also to identify, and seek to address, the constraints on investment in CBDRM faced by national governments and institutional donors. While Phase 1 of Tearfund's *Turning Practice into Policy* research project focused on identifying good practice CBDRM, Phase 2 focuses on identifying challenges in linking CBDRM with government policy and practice.

The relatively small number of locations where CBDRM is currently enhancing relief, rehabilitation and development work needs to be increased in order to benefit a wider group over a much larger area. Moreover, the causes of people's vulnerability must be tackled. It is therefore crucial for government at local, provincial and national levels to integrate CBDRM into its relief and development policy and practice.

Tearfund is concerned, however, that even in countries highly vulnerable to disasters, there is insufficient government support for CBDRM. This concern motivated us to investigate the challenges associated with linking CBDRM with government policy and practice, and to identify methods to overcome them. The research findings will be of interest to civil society, governments and institutional donors, and specific recommendations for each of these groups are presented in the conclusion.

1.1 Research findings

During the course of 2006–07, Tearfund asked expert disaster risk reduction (DRR) academics and practitioners around the world for their views on the challenges involved in linking CBDRM with government policy and practice.[16] More than 30 people responded.[17] Governments in six disaster-prone countries were also asked for their views, through semi-structured interviews undertaken by Tearfund staff and partner organisations working in these countries.[18] A number of challenges were identified by DRR experts and government officials. These fall into three categories (see **Figure 2**):

- **Top-down issues** Government-related issues that can hinder the allocation of resources for CBDRM.
- **Bottom-up issues** Community-related issues that can hinder the flow of information on CBDRM to government.
- **Shared issues** Government- and community-related issues that can act as barriers to linking CBDRM with government policy and practice.

DRR practitioners, academics and governments also provided their opinions on the role of donor institutions in supporting CBDRM. These opinions, as well as some additional analysis from Tearfund, are described in the report.

Figure 2 (opposite) illustrates that government resources flowing down from the top and community-level information flowing up from the bottom need to meet in order to link good practice CBDRM with government policy and practice. The illustration shows six issues hindering governments from allocating resources in support of CBDRM, three issues hindering the flow of information on CBDRM to government, and three 'shared issues' acting as a barrier to linking good practice CBDRM with government policy and practice.

16 See Appendix B for the questionnaire sent to academics and practitioners

17 See Appendix C for the names of those who responded

18 The questionnaire that was used to guide these interviews is included as Appendix G.

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1.2 Structure of the report

The structure of this report is based on the 'top-down', 'bottom-up' and 'shared' issues categories illustrated on page 40. Within each of these three categories, a number of specific challenges have been identified. The explanation for each begins with a quote from an academic or practitioner.[19] This is followed by a brief analysis based on the collective opinion of the DRR experts consulted by Tearfund. In some cases Tearfund has provided further analysis based on previous research or experience. Government perspectives, based on the semi-structured interviews undertaken by Tearfund staff and partner organisations, are also provided.

Expert academics and practitioners also provided suggestions on how to make progress in linking CBDRM with government policy and practice: these are included under the heading **Towards a solution**. Similarly, **Case study** examples are also included. These either highlight a specific challenge or describe areas where a degree of success has been achieved. These case studies are not detailed, but do provide sufficient information to encourage similar action by others. Finally, in each section Tearfund has proposed **Key method(s) to overcome the challenge**, based on the research findings. The role of institutional donors is discussed in **Section 2.4.**

Photo: HEED Bangladesh

Disaster management training for government officials and NGOs in Bangladesh.

19 The quotes have not been altered, except for some minor editing of grammar.

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2 Research findings

2.1 Top-down issues: government-related issues that can hinder the allocation of resources for CBDRM

2.1.1 Competing priorities

'In many countries DRR is not a priority.' Annelies Heijmans, Wageningen University

This research has found that the demands of other sectors and issues, such as health, education, infrastructure development and environmental management, are often perceived as being competing agendas and not complementary to DRR. This is particularly relevant in developing countries and areas that have not recently experienced disaster.

In Tearfund's experience, the level of priority given to DRR varies considerably among organisations, government departments and even their individual staff members. Moreover, despite the risk to their lives and livelihoods, even community members may not recognise the relevance of DRR, since they are primarily concerned about more immediate issues, such as daily wages or the well-being of their children. Tearfund believes that while priorities cannot be dictated, it is important to influence priorities and agenda-setting through raising awareness of the importance of DRR.

GOVERNMENT PERSPECTIVE
Burkina Faso

'The lack of resources available to the government… means that it prioritises health and education.' Spokesperson for CONASUR (National Council of Emergency Aid)

Towards a solution

'A way round [the problem of competition with other priorities] is to build DRR into existing priority agendas such as family healthcare, microfinance or settlement upgrading.' Mark Pelling, King's College London

Key methods for governments to overcome the challenge

- Increase awareness of the importance of DRR among government personnel. This can be achieved through:
  - demonstrating the cost-effectiveness of DRR and disseminating good practice case studies.
  - identifying someone at a high level who can lead others and sustain interest in DRR within an organisation or government department.[20]
  - regularly monitoring and evaluating programmes that have DRR as a goal.
  - highlighting the link between climate change and increasing frequency and severity of extreme events.
- Build DRR into existing priority agendas.

2.1.2 Lack of financial resources

'Budget allocation for CBDRM is still… externally dependent, not using the government's regular development budget.' Rajib Shaw, Kyoto University

20 This person may be referred to as a 'champion'.

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Governments and other stakeholders do not have unlimited resources. Poor countries in particular often have limited room for manoeuvre. In part this is the result of external impositions such as restrictions on public expenditure due to the servicing of external debt burdens. If, as is normally the case, DRR is low on the list of priorities, only a small amount of funding may be available. DRR measures, for example protecting buildings from earthquake damage, may also be seen as highly expensive. Governments may therefore assume that, realistically, little if anything can be done to protect a country from the impact of disaster.

However, there is a growing body of evidence demonstrating the value of investing in DRR measures,[21] and the special need to protect 'critical facilities', such as hospitals and schools, from damage and collapse. Tearfund has itself determined that there is an economic benefit in undertaking community-based DRR, as reflected in the study of two projects undertaken by Tearfund partners in India.[22] Moreover, DRR does not need to be expensive. For example, integrating disaster preparedness training into a school curriculum and other non-structural forms of DRR can bring very widespread benefits while incurring minimal additional expenses.

GOVERNMENT PERSPECTIVE Afghanistan

'There are limited resources available for government to utilise… There is no development budget allocated for DRR activities, [but] there is a budget… for emergency situations (after disasters).' Province Governor

GOVERNMENT PERSPECTIVE Burkina Faso

'When there is a crisis, funding is sought from many donors: e.g. UNICEF finances training and the state contributes in part as well. WFP and the Red Cross also intervene with aid. The government gets support from the World Bank, OCHA and UNDP. However, there are no funds available for DRR.' Spokesperson for CONASUR (National Council of Emergency Aid)

Key methods for governments to overcome the challenge

- Integrate DRR with 'normal' development planning so that it can be 'absorbed' within existing development budgeting (while also maintaining a focus on DRR through DRR 'champions' and/or a specialist unit).
- Demonstrate the cost-effectiveness of DRR.
- Emphasise less expensive, non-structural DRR, such as disaster preparedness training as part of a school curriculum.

2.1.3 Low government capacity

'Inadequate orientation, training and capacity building of the government functionaries, especially at the lower levels, impedes proper appreciation of the criticality of CBDRM for safeguarding community and developmental assets. A proper training programme would help develop an administrative mindset sensitive to disaster risk management needs and concerns.' Rajeev Issar, UNDP

Limited availability of training opportunities for government officials reduces support for CBDRM. Also, training cannot be limited to national or provincial levels alone, as risk and methods to reduce risk can be very localised (being dependent on a wide variety of influences that are context-specific). CBDRM training is required on a very large scale for local government officials across all hazard- and disaster-prone areas. This challenge of scale is compounded by the fact that government officials may change posts regularly. Training programmes need to keep pace with these changes.

21 A major study of the economic costs and benefits of DRR, including as a tool for climate change adaptation, is to be published by the UN in 2008.

22 Overseas Development Institute (ODI) (2004) *Disaster Preparedness Programmes in India: A Cost Benefit Analysis* (London: ODI)

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Tearfund believes that there are other issues besides a lack of training that contribute to low government capacity for CBDRM. For example, the number of personnel focused on DRR within a government is likely to be very limited. Even in the headquarters of donor governments, Tearfund has found that there are normally fewer than four staff members dedicated to DRR.[23] If a government has a unit or department for DRR which aims to raise awareness and knowledge of the subject, its sphere of influence is likely to be relatively small in relation to the broad scope of government sectors, departments and agencies that have a role to play in DRR. What is more, the terminology associated with DRR can be confusing and mean different things to different people.

GOVERNMENT PERSPECTIVE
Afghanistan

'Unfortunately… the level of awareness among the [government] staff is very limited. [Over the] last few years… there was just one seminar about DRR, for District Governors only. Other government staff who are supposed to respond and contribute in disaster cases need to have these kinds of training… In a country like Afghanistan where the people are frequently facing disasters, at least some awareness needs to be provided to staff dealing with disaster situations. [But] while the level of vulnerability, due to the prolonged war [and the level of poverty] in the country, is very high, the DRR process is very slow and limited. The government,… having limited resources and capacities, cannot consider it seriously.' District Governor

GOVERNMENT PERSPECTIVE
Malawi

'There are Civil Protection Committees at district, area and village levels, which are the disaster risk management structures. There is, therefore, a need for members of these committees to be oriented on the need to focus on disaster risk reduction as opposed to the old approach [prior to 2006] of focusing more on disaster response. [However, even] the Department of Poverty and Disaster Management Affairs (DoPDMA) at the moment does not have a full staff complement, as there are a lot of vacant posts. [And] the government has not yet started training its staff in DRR. In fact, lack of training in DRR has already been identified as a challenge [and] is therefore one of the priority activities that need support.' James Chiusiwa, National Coordinator, Department of Poverty and Disaster Management Affairs

GOVERNMENT PERSPECTIVE
Zambia

'The meteorological department [which provides relevant and necessary information capable of supporting Zambia's ability to reduce disaster risks] is understaffed. The level of staffing has been declining with the passing of time. There is [also a] lack of frequent training to keep staff updated with new ways of responding to disasters. The last time the government sent a staff member for specialist training was six years ago.' Anonymous, Government of Zambia

CASE STUDY
Philippines

In the Philippines CBDRM practice used to be the domain of NGOs. However, since 2001, the appreciation of CBDRM by the government has been very positive. It started when a national conference initiated by an NGO, which [encouraged] the National Disaster Coordinating Council (NDCC) to be its partner, was held. Since then, a number of NGOs and the government together lobbied for enacting laws favourable to CBDRM. As a result of this partnership, last year some members of the NDCC and NGOs, with the leadership of the Centre for Disaster Preparedness (CDP), produced a *Facilitator's Guide and Sourcebook for Integrating Disaster Risk Management in Local Governance*. The Guide will soon be published to be used by the local government in training Barangay (smallest political units in the country) officials on CBDRM.[24] **Zenaida Delica-Willison, UNDP**

23 For further information, see Tearfund and UN/ISDR (2007) *Institutional Donor Progress with Mainstreaming Disaster Risk Reduction* (Teddington: Tearfund).

24 The book will be published by the Regional South-South Unit in the UNDP Regional Centre in Bangkok.

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Key methods for governments to overcome the challenge

- Provide resources for capacity development, including dedicated DRR staff to act as focal points.
- Provide regular, ongoing training at all levels of government, national and local.
- Use tools, checklists and guidelines to help officials to integrate CBDRM in their relief and development operations.
- Use disaster terminology carefully, to minimise confusion and misunderstanding.

2.1.4 Lack of supportive systems and structures

'Policies may exist and community-based programmes may exist, however the creation of systems and structures at national, provincial and district levels to enable the institutionalisation of community efforts may be lacking.' Anita Shah, UNDP

Community-based work and government work are more likely to operate in isolation from each another if there is a lack of appropriate written policies and procedures, and of specific focal points, groups, units or departments within government responsible for DRR. This is because without such systems and structures in place, government-level DRR is likely to be ad hoc rather than systematic. As well as being a problem in itself, this makes it harder for NGOs to engage with government in an appropriate forum. Achieving the comprehensive interdisciplinary and multi-sector approach needed to reduce disaster risks is more likely when legislation exists to support this (and is enforced). Legislation in support of CBDRM processes is likely to aid interaction between all DRR stakeholders.

GOVERNMENT PERSPECTIVE Ethiopia

'There is a lack of organisational structure set up to specifically undertake DRR.' Oromia Disaster Prevention and Preparedness and Food Security Commission

GOVERNMENT PERSPECTIVE Malawi

'The government has legislation on forestry management, environmental management, food security, among others, that can contribute towards reducing disaster risk. The problem is that most of the legislations are not enforced, thereby leading to communities, as a result of their activities, being vulnerable to disaster risks.' James Chiusiwa, National Coordinator, Department of Poverty and Disaster Management Affairs

CASE STUDY Philippines

In 2002 the Centre for Disaster Preparedness (CDP) organised a forum where all known organisations (government, non-government and people's organisations based in the national capital region) involved in disaster management discussed policy changes needed to ensure the mainstreaming of community-based disaster management. After the forum, a network of NGOs and individuals, called the Philippine Disaster Management Forum (PDMF), was formed to advocate for the passage of enabling legislation. This network was able to critique a proposed Disaster Management Bill filed in Congress, and the proposal was presented during the First National Conference on Community Based Disaster Management which PDMF/CDP organised together with the Office of Civil Defence (OCD). Most of the proposed provisions were incorporated in the Bill, now being pushed by the OCD for adoption by Congress and Senate.
Fe Andaya, Centre for Disaster Preparedness

Key method for governments to overcome the challenge

- Develop legislation in support of CBDRM processes, to aid interaction between all DRR stakeholders.

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2.1.4.1 Emphasis on response

'Government departments dealing with disasters have invariably acted after the disaster, [whereas] disaster risk reduction requires a reorientation of approach.' Mckey Mphepo, independent consultant

Governments are focused on responding to disasters once they have occurred. The proactive approach needed to achieve DRR requires systems and structures that can facilitate its integration with relief, reconstruction, and longer-term development activities. Ironically it is often in the aftermath of a disaster that changes are initiated to enable systems and structures to support a risk reduction approach.

Tearfund believes one of the reasons why governments focus on responding to disasters is that they often consider disasters to be caused by nature (by natural hazards such as floods, earthquakes or droughts). However, disasters are now better understood to be more a matter of people's exposure and susceptibility to hazards. In other words, it is not so much the flooding that is the problem as the fact that people live on flood plains. Similarly, it is not so much the earthquake that is the problem as the fact that buildings are unsafe. This perspective emphasises vulnerability. Often within governments there is a lack of recognition of the links between vulnerability, development and disasters – including the role and importance of sustainable development in reducing long-term risk.

Governments need to change their approach from a hazard focus to a vulnerability focus. However, causes of vulnerability can be related to marginalisation, poverty and injustice, and these are much more sensitive issues politically. Meanwhile, governments are able – and willing – to be seen responding to emergencies. This is often popular with the public, and the irony is that resources unavailable for DRR are subsequently made available for humanitarian aid.

GOVERNMENT PERSPECTIVE Afghanistan

'Unfortunately the government disaster committee is only focusing on disaster response and there is no governmental commission practically active to work on DRR.' Employee of Afghanistan National Disaster Management Authority, (ANDMA)

GOVERNMENT PERSPECTIVE Malawi

'Up until [the year 2006], the Government of Malawi, through the Department of Poverty and Disaster Management Affairs (DoPDMA) was focusing more on disaster response. In 2006, the government, through DoPDMA, decided to change its approach from focusing on disaster response to focusing on disaster risk reduction as a way of implementing the first priority of the Hyogo Framework of Action. There is a realisation that the impact of disasters can be reduced in the country only if all sectors focus on disaster risk reduction.' James Chiusiwa, National Coordinator, Department of Poverty and Disaster Management Affairs

CASE STUDY India

Following the 1999 super-cyclone in Orissa, India, a number of government officials supported the need for CBDRM, and by 2001 coordination systems were in place. This was made possible by the continued efforts by NGOs (through ongoing awareness campaigns and training programmes) to [lobby] government departments and officials on the importance of having early warning systems in place and sharing information. Communities were also trained on disaster preparedness activities and on incorporating DRR activities with livelihood strategies. [Consequently] they were better prepared for the 2001 floods in Orissa. This in turn influences government departments/officials to include DRR activities within their development plans. [Indeed] disaster preparedness activities were [subsequently] included in District Development Plans. **Kwanli Kladstrup, Concern Worldwide**

Key methods for governments to overcome the challenge

- Develop understanding of disasters as human-induced or unnatural rather than natural. This will inspire a more proactive approach to disaster management.
- Awareness raising may be required to increase recognition of the links between vulnerability, development and disasters.

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2.1.5 Lack of effective government decentralisation

'Where national policy is not devolved to local government there is limited opportunity for building the personal relationships or for exchanging the detailed information required to build partnerships between community-based initiatives and the state.' Mark Pelling, King's College London

Risk and risk management are, to some degree, inherently local: what is appropriate in one context is not necessarily appropriate in another. In Cuba, Oxfam noticed that the authorities at a local level could be more accountable to the population and more agile in their response.[25] In many countries, however, governments are not responsive to local people's needs, and the participatory aspects of CBDRM can sometimes be considered a threat to officials holding decision-making powers. Tearfund believes that there is a tendency for particular groups (for example, the rich and powerful elites) to dominate and influence the political and economic environment in accordance with their own vested interests. Such groups are inevitably less affected by disasters since they are not exposed to the same degree of vulnerability. Poorer groups, on the other hand, are not the main political patrons of the state and are less able to influence government policies.

Even if in principle government officials are open to respecting local needs as identified through participatory processes, centralised decision-making by governments is the common approach. Therefore, even with the best intentions, officials will struggle to tailor strategies to the characteristics of specific locations. As a result, inappropriately homogenised schemes are likely to meet with failure.

Tearfund's experience in Malawi indicates that decentralisation is very much a process. Over time, district officials have gradually been given greater power, resources and capacity to integrate DRR in planning. However, decentralisation can have a negative consequence. In countries where decision-making powers have been given to local government, resources have not always followed. In fact, in the words of Dr John Twigg, *'Central governments… may simply abdicate their responsibilities, leaving local government and NGOs to take on the task of managing disasters, even though they often lack the skills and resources to do so.'*[26] Twigg also points out another weakness of decentralisation: that it *'puts responsibility for implementation on those who can only address local-level causes of vulnerability. Local government does not have the jurisdiction or political power to address the deeper political, social, and economic forces that put people at risk.'*

CASE STUDY
Philippines

By virtue of the Local Government Code of 1991 in Pampanga, Philippines, essentially a devolution and decentralisation act, local people are given the chance to take part in the formation of the general development plan of the locality. The law provides the framework for the integration of disaster management into the overall socioeconomic development plan that leads to the regular allotment of funds for disaster management at the community level. This link is made on account of the fact that disasters clearly impact local development and economic objectives on a regular basis in this area.[27]

CASE STUDY
Vietnam

In Vietnam… the government itself is piloting community-driven disaster risk reduction measures in ten [villages]… The project was conceptualised through a thorough consultation process [involving local people and government officials]. Lessons from this experience will be noted and it is intended that CBDRM will be carried out in 100 other villages. **Zenaida Delica-Willison, UNDP**

25 See Thompson M, Gaviria I (2004) *Weathering the Storm: Lessons in Risk Reduction from Cuba* (Boston: Oxfam America).

26 Twigg J (2004) *Good Practice Review 9. Disaster risk reduction: Mitigation and preparedness in development and emergency planning* (London: Overseas Development Institute Humanitarian Practice Network)

27 Shaw R, Okazaki K (eds) (2004) *Sustainable Community Based Disaster Management (CBDM) Practices in Asia: A User's Guide* (Kobe: UNCRD)

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Photo: DRR team / Tearfund

A local decision-making body in India.

Towards a solution

'A policy shift [is required], moving away from central-dominance to 'people-centric institutions', where local people are enabled to plan for all aspects of disaster risk management.' Ahsan Uddin Ahmed, Bangladesh Unnayan Parishad Research Institute

Key method for governments to overcome the challenge

- Support local decision-making with adequate funding, while also seeking to address macro-level causes of vulnerability.

2.1.6 Short time-frames

'Government interventions too often reflect the election mandate and not the vulnerability itself. As governments (and staff) are exchanged, the new people tend to respond to issues immediately at hand, and fail to look at the larger picture.' Patrick Fox, IFRC consultant

While it may be feasible to introduce some forms of disaster preparedness in a relatively short time-frame, it will take considerably longer to address the root causes of risk, related to social, economic, physical and environmental vulnerability. Even then, effective risk reduction is not achieved by implementing comprehensive measures on a one-off basis. Instead, effective DRR is a continual process of monitoring, evaluating and adapting risk reduction measures to best suit current and future circumstances.

The problem of government officials operating under short time-frames is compounded by the fact that politicians may want a quick fix to the problem of disasters. Knud Falk (Danish Red Cross) observes, *'It is difficult to convince [politicians] of the effectiveness of risk reduction plans not involving impressive and "quick-fix" structural measures. There must be something tangible, or at least some visible organisational structures, that can be shown for administrators and politicians to serve as an illustration of the risk reduction or level of preparedness.'* There is thus likely to be an emphasis on measures such as infrastructure development or house building, to the detriment of non-structural measures that are less visible.

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Key methods for governments to overcome the challenge

- Focus on addressing the root causes of risk and vulnerability. Vulnerability reduction is a longer-term issue, but is likely to be more effective than short-term, 'quick-fix' DRR measures.
- Continually monitor, evaluate and adapt DRR measures to suit current and future circumstances.

2.2 Bottom-up issues: community-related issues that can hinder the flow of information on CBDRM to government

2.2.1 Poor appreciation of the government context

'The replication of CBDRM strategies at scales beyond those where NGOs can provide direct support is heavily influenced by… relationships with governments. Understanding… and getting the… relationships right is probably the most important factor in linking community-based activities with government policy and programmes.' Marcus Moench, ISET

Governments generally function with established bureaucracies that operate under established civil service rules. The way in which governments operate under these rules is quite different from the way NGOs work, particularly in terms of how they interact with communities. Typically there can be a lack of appreciation by NGOs of this context, combined with a lack of knowledge and understanding of the range of government priorities. This leads to a lack of sophistication in promoting CBDRM. Any outreach that does occur is also in danger of focusing on the particular NGO's sector of specialism, such as agriculture or education, and thus confining linkages with government departments to this sector. This can undermine the multi-sectoral support which is needed for CBDRM.

On a more fundamental level, in Tearfund's experience, NGOs can be unaware of their local and national government's policies, strategies or approaches to disaster reduction, both in terms of whether policies and strategies exist and of whether these are effective in supporting CBDRM.

GOVERNMENT PERSPECTIVE Malawi

'Coordination with… relevant departments/ministries is done through the National Disaster Preparedness and Relief Committee (NDPRC), which comprises principal secretaries of all line ministries/departments and three to five non-governmental organisations. The NDPRC provides policy directions to the Department of Poverty and Disaster Management Affairs (DoPDMA) on the implementation of disaster risk management programmes in the country.' James Chiusiwa, National Coordinator, Department of Poverty and Disaster Management Affairs

Towards a solution

'One of the challenges for NGOs has been to identify the appropriate government counterpart that is most likely to be receptive towards local level initiatives for DRR. [And then] NGOs have to cultivate and maintain positive relationships with [these] key government officials who serve as champions for CBDRM to ensure that their agencies' policies and practices are influenced.' Edward Turvill, Action Contre La Faim, and Fe Andaya, Centre for Disaster Preparedness, Philippines

Key methods for NGOs to overcome the challenge

- Gain a better understanding of the national policy context for DRR by researching existing policy frameworks and structures.
- Develop and maintain positive relationships with appropriate government officials.

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2.2.2 Lack of understanding and clarity on good practice CBDRM

'There are wide variations in defining an approach to CBDRM.' Saroj Jha, World Bank

CBDRM as a concept has been growing rapidly in recent years as part of an effort to reduce the impact of disasters. But as yet, despite the existence of information in the form of case studies and guidebooks, CBDRM has not been critically reviewed or evaluated against an agreed and consistently applied set of standards. Also, much experience of CBDRM is not catalogued at all (particularly in a way that overcomes language and other barriers), denying others the opportunity to learn from the experience. As a result, NGOs' understanding of good practice CBDRM can be vague, which undermines their potential for helping to bring about change in government policy and practice.

Towards a solution

'Reports and manuals are not always effective in countries where people don't [have the] privilege [of] reading as a source of learning. Other places are experiencing 'workshop fatigue'. Other more visual tools should be further developed to share best practices, such as videos/DVDs.' Edward Turvill, Action Contre La Faim

Key methods for NGOs to overcome the challenge

- Develop a consistently applied set of CBDRM standards/principles.
- Use case studies and other more visual tools to share good practices.

2.2.3 Lack of influence at government level

'There are insufficient efforts of civil society actors to influence government policy and practice through advocacy.' Bruno Haghebaert, ProVention Consortium

Typically NGOs engage in local-level work with communities, which results in some progress in reducing the risk of disaster for those living in the target area. However, experience in scaling up such activities for the benefit of a much wider group of people by engaging with government officials and other stakeholders is less common.[28] Moreover, the work that is undertaken by an NGO can be in isolation from that of other NGOs in the vicinity. Among other problems, such as lack of coordination and lesson-learning, this results in a lack of leverage when it comes to influencing levels higher up than the local communities. Several isolated voices with different (or even the same) messages are not as effective as a single message delivered with a weight of consensus.

CASE STUDY Philippines

In the Philippines… the Citizens' Disaster Response Network… was able to strengthen community organisations and facilitate the formation of alliances to increase the voice of local people at risk at national level to defend their rights. But one success may not last for ever: new risks continuously arise, and new strategies need to be developed. **Annelies Heijmans, Wageningen University**

28 In Tearfund's experience, one of the reasons for this is that NGOs doubt their ability to influence government and sometimes fear getting involved in 'political' action.

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CASE STUDY
Indonesia

The lesson learned by Action Contre la Faim, working in Jakarta, is that it is essential not to neglect any of the levels in the disaster management framework. The main focus remains the local level, but considerable efforts are put into networking and coordinating with the disaster management institutions [from local to national level]. Concise reports (with plenty of pictures and diagrams) are produced on all the activities and handed directly to the local government, disaster management institutions and other key stakeholders. Meetings are organised to share experience and promote disaster risk management. Some DRR best practices have been integrated into the practices of the authorities and local organisations working on disaster-related issues.
Edward Turvill, Action Contre La Faim

Towards a solution

'To be able to influence government policies and practices, NGOs must never tire of leading/organising activities that will ensure they are heard by policy makers and government executives. From simple one-on-one talks and sharing of reading materials and reports, to calling for forum or coordination meetings or getting oneself invited to one, to organising national consultations or forming a network of advocates, NGOs can influence/shape government policies and practices.' Fe Andaya, Centre for Disaster Preparedness, Philippines

Key method for NGOs to overcome the challenge

- Influence and shape government policies and practices through organising and attending meetings and consultations, sharing reading materials and reports (with diagrams), and forming alliances and networks of advocates. (See also the methods listed in Section 2.2.1 and Christian Aid practice notes [29])

2.3 Shared issues: government- and community-related issues that can act as barriers to linking CBDRM with government policy and practice

2.3.1 Different perceptions of risk

'Government perceptions of risk [could well] differ from actual risk or the risk perceptions of local people.'
Philip Buckle, Coventry University

The most important perception of risk (that identifies who is most vulnerable, how they are vulnerable and why this is) is held by those actually **at** risk. This perception can be captured through a community risk assessment process. It is rare, however, for local government officials to participate in a community risk assessment which emphasises the perspective of those affected.

Tearfund believes that different perceptions of risk by government officials and communities lead to different views on **acceptable levels** of risk. This has consequences in terms of the measures that are undertaken. Therefore different perceptions of risk can cause lack of coherence between a government's agenda and that of local communities.

Key method for governments and NGOs to overcome the challenge

- Engage a wide cross-section of local participants, including local government officials, in community risk assessments.

29 Christian Aid (2007) *Community-Led Policy Monitoring for Disaster Risk Reduction, Pilot Version*. www.christianaid.org.uk

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2.3.2 Lack of trust

'The mistrust or the antagonistic stance between government and some non-government organisations hinders them from listening and learning from one another.' Fe Andaya, Centre for Disaster Preparedness, Philippines

Lack of trust, and differences in attitude and ideology, can hinder interaction between communities/NGOs and governments. Within governments there can be a tendency to assume that community members are ill-equipped to analyse risk, make effective risk reduction decisions and propose feasible government interventions. Within a community/NGO there can be a tendency to assume that governments are unwilling to act in the best interests of **all** citizens (regardless of their political affiliation, influence or power). These opinions create an environment where genuine partnership is hard to achieve. Lack of trust is a considerable barrier to progress in scaling up CBDRM and addressing some of the underlying causes of risk.

Those engaged in advocating for CBDRM need to be aware that the subject has been developed in association with grass-roots initiatives, and the onus is therefore on them to find ways to engage governments as **partners** in CBDRM. (Typically NGOs and communities devise CBDRM initiatives and **then** look to government to fund aspects of the plan: governments are not invited to be a part of the CBDRM process from the outset. In contexts with a history of armed conflict this can be particularly challenging.)

GOVERNMENT PERSPECTIVE Afghanistan

'The NGOs working here hardly realise the context and they are not feeling enough responsibility towards governmental organs. It is the NGOs who are reluctant to [engage with] governments. But I agree that governments can be reluctant to hear communities.' Province Governor

Towards a solution

'Strong leadership and good will from government and civil society is required to build the trust needed for partnership.' Mark Pelling, King's College London

Key methods for governments and NGOs to overcome the challenge

- Set aside assumptions about governments, NGOs and communities, and instead focus on good quality research, examples of good practice and real experience in specific contexts.
- Promote multi-stakeholder platforms/forums on DRR as a means to build mutual understanding and respect.

2.3.3 Lack of integration of DRR in development

'CBDRM [is] seen as a distinct approach and often divergent with participatory development planning approaches.' Saroj Jha, World Bank

DRR is not a separate sector, like health or education, but a cross-cutting approach that should influence relief and development planning of all types in areas threatened by disaster. In practice, however, DRR is commonly considered to consist of a series of interventions, such as early warning systems or disaster preparedness training, implemented alongside 'normal' relief and development activities as opposed to within them. This has serious implications for scaling up CBDRM. If CBDRM is considered to be additional to relief and development planning and budgeting, it is competing with other important issues and can easily be de-prioritised. This is particularly the case in areas that have not recently experienced a disaster.

Communities, NGOs, governments and donors all struggle to appreciate that DRR, including CBDRM, should be an integral part of relief and development decision-making. If DRR was integrated with ongoing activities, introducing CBDRM processes within this context would be much more straightforward.

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GOVERNMENT PERSPECTIVE Malawi

'Disaster risk reduction has just [in 2006] gained recognition by the government and is high on the government's development agenda as reflected in the Malawi Growth and Development Strategy (MGDS) for 2006-11, where social protection and disaster risk management is Theme Two. The MGDS is the government's overarching medium-term operational strategy for Malawi, whose main thrust is to create wealth through sustainable economic growth and infrastructure development as a means of achieving poverty reduction. As pointed out above, the change in approach has just occurred. We are, therefore, yet to see the change being reflected in practice.' James Chiusiwa, National Coordinator, Department of Poverty and Disaster Risk Management

Key method for governments and NGOs to overcome the challenge

- Demonstrate the linkages between disasters and development, including the threat that disasters pose to attaining the Millennium Development Goals.

2.4 The role of institutional donors

It is clear from the previous sections that lack of financial resources and low government (staff) capacity are key constraints hindering governments from making more progress. Indeed, government officials in several countries stated that these were their major constraints. Donor institutions, therefore, can play a very significant role in helping to create a national political environment supportive of CBDRM. Importantly, addressing issues of government funding and staff capacity should make it possible to achieve progress with other challenges, such as lack of government systems and structures, competing priorities and lack of integration of DRR with development.

In practice, however, as Professor Rajib Shaw (Kyoto University) observes, donor support for CBDRM is likely to be directed straight to NGOs implementing the initiatives, rather than to governments' development budgets.[30] Moreover, Shaw observes that there is a *'lack of involvement of international donors and multi-lateral development bodies in dialogue with the country government on the need and priority of CBDRM.'*

Clearly there are complexities surrounding the role of donors and how they relate to country governments on the subject of DRR. However, Tearfund has found that even when donor organisations are committed to the principle of CBDRM, they can be constrained by their own internal challenges. Tearfund identified these challenges, as well as methods to overcome them, through research undertaken in 2007 – see **Table 2**.[31]

GOVERNMENT PERSPECTIVE Afghanistan

'Afghanistan has obviously suffered from prolonged war in recent years, so all sectors need rehabilitation. Therefore it really depends on external support, which would not only include financial support but technical support needed for DRR, awareness and sharing experiences.' Province Governor

'Due to lack of awareness about DRR methods and terminologies, human resources for implementation of DRR projects are limited. Therefore the question of allocation of more resources will be referred to foreign donors and countries.' District Governor

GOVERNMENT PERSPECTIVE Burkina Faso

'Donors [need] to integrate DRR activities into their strategy of intervention, which could allow the government to assign a large proportion of its budget to DRR.' Spokesperson for CONASUR (National Council of Emergency Aid)

30 This may be because in some countries, issues of poor governance mean that donors struggle to support governments directly.

31 Tearfund and UN/ISDR (2007) *Institutional Donor Progress with Mainstreaming Disaster Risk Reduction* (Teddington: Tearfund)

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GOVERNMENT PERSPECTIVE
Zambia

'Organisations like DFID have actually made it a precondition for funding that DRR must be prioritised and incorporated in the government policies and programmes.' Yande Mwape, Head of Research, National Disaster Management and Mitigation Unit

TABLE 2
Challenges faced by donor organisations

Challenges faced by donor organisations	Methods to overcome the challenges
Personnel: Staff lack knowledge and awareness of DRR concepts and practice.	• Focus on capacity building, training and awareness-raising. • Use tools, checklists and good practice guidelines. • Root DRR in an organisation, not in individuals, to avoid 'institutional memory loss'.
Mainstreaming fatigue: Some organisations are experiencing fatigue because of the need to integrate numerous cross-cutting issues (such as gender and the environment).	• Build DRR into work already under way on areas such as governance, gender and the environment. • Present the mainstreaming agenda carefully to staff, to avoid resistance and negative attitudes.
Relief and development divide: DRR 'falls in the gap' between humanitarian aid and development, and is thus not prioritised by either department.	• Increase the level of cooperation between humanitarian assistance and development departments. • Make resources available to increase understanding that disasters are a development concern.
Coordination: DRR involves multiple stakeholders and requires significant levels of coordination, but as with recipient country governments, there may not be systems and structures in place to aid this.	• Allocate time and resources to support those facilitating the integration of DRR. • Utilise in-region/country DRR focal points to help facilitate the coordination process.

Donors need to work on addressing the challenges described in **Table 2**, so that they develop their own internal capacity and are better able to support and promote DRR within recipient countries.

Towards a solution

'Donors too need to build their own capacity and understanding, and particularly the 'political will' to further the issues involved in disaster risk management. They are perhaps best positioned to 'influence, encourage, and assist' all the actors involved, including government and non-governmental sectors, to incorporate and integrate disaster preparedness and response in a holistic manner.' Ali Rizvi, CARE International

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3 Conclusion

This report draws on governments' perspectives on CBDRM in Afghanistan, Burkina Faso, Ethiopia, Malawi, Niger and Zambia, and the opinion of expert DRR academics and practitioners around the world. Government officials and experts identified numerous challenges in linking CBDRM with government policy and practice. In each section of the report, key methods to overcome these challenges are provided with the ultimate aim of 'scaling up' good practice CBDRM (these are listed all together in **Table 3**). The report also highlights the important role that institutional donors can play in creating a national political environment supportive of CBDRM. Key issues that donors can help to address are lack of government funding and staff capacity. However, donors need to work on addressing their own internal challenges (see **Table 2**), so that they are better able to support and promote DRR within recipient countries.

TABLE 3
Key methods for overcoming challenges

Challenges	Methods for governments to overcome the challenges
TOP-DOWN ISSUES	
Competing priorities	• Raise awareness of the importance of DRR. This can be achieved through: – demonstrating the cost-effectiveness of DRR and disseminating good practice case studies – identifying someone at a high level who can lead others and sustain interest in DRR within an organisation or government department – regularly monitoring and evaluating programmes that have DRR as a goal – highlighting the link between climate change and increasing frequency and severity of extreme events. • Build DRR into existing priority agendas.
Lack of financial resources	• Integrate DRR with 'normal' development planning so that it can be 'absorbed' within existing development budgeting (while also maintaining a focus on DRR through DRR 'champions' and/or a specialist unit). • Demonstrate the cost-effectiveness of DRR. • Emphasise less expensive, non-structural DRR, such as disaster preparedness training as part of a school curriculum.
Low government capacity	• Provide regular, ongoing training at all levels of government, national and local. • Provide resources for capacity development, including through establishing DRR focal points. • Use tools, checklists and guidelines to help officials to integrate CBDRM in their relief and development operations. • Use disaster terminology carefully, to minimise confusion and misunderstanding.
Lack of supportive systems and structures – Emphasis on response	• Develop legislation in support of CBDRM processes, to aid interaction between all DRR stakeholders. • Develop understanding of disasters as **human-induced** or **unnatural** rather than natural. This will inspire a more proactive approach to disaster management. • Awareness raising may be required to increase recognition of the links between vulnerability, development and disasters.
Lack of effective government decentralisation	• Support local decision-making with adequate funding, while also addressing macro-level causes of vulnerability.
Short time-frames	• Focus on addressing the root causes of risk and vulnerability. Vulnerability reduction is a longer-term issue, but is likely to be more effective than short-term, 'quick-fix' DRR measures. • Continually monitor, evaluate and adapt DRR measures to suit current and future circumstances.

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Challenges	Methods for NGOs to overcome the challenges
BOTTOM-UP ISSUES	
Poor appreciation of the government context	• Gain a better understanding of the national policy context for DRR, by researching existing policy frameworks and structures. • Develop and maintain positive relationships with appropriate government officials.
Lack of understanding and clarity on good practice CBDRM	• Develop a consistently applied set of CBDRM standards/principles. • Use case studies and other more visual tools to share good practices.
Lack of influence at government level	• Influence and shape government policies and practices through organising and attending meetings and consultations, sharing reading materials and reports (with diagrams) and forming alliances and networks of advocates. (See also the methods listed in Section 2.2.1.)

Challenges	Methods for governments and NGOs to overcome the challenges
SHARED ISSUES	
Different perceptions of risk	• Engage a wide cross-section of local participants, including local government officials, in community risk assessments.
Lack of trust	• Set aside assumptions about governments, NGOs and communities, and instead focus on good quality research, examples of good practice and real experience in specific contexts. • Promote multi-stakeholder platforms/forums on DRR as a means to build mutual understanding and respect.
Lack of integration of DRR in development	• Demonstrate the linkages between disasters and development, including the threat that disasters pose to attaining the Millennium Development Goals.

Country governments, donor institutions, NGOs and communities themselves all have an important part to play in addressing these identified challenges.[32] In several countries all these groups have contributed to saving lives, livelihoods and development gains from disaster. However, **much** more is required. Tearfund recommends that:

- NGOs use this research as an advocacy tool and seek to influence governments at all levels, in collaboration with others. Seeking to understand government perspectives on DRR is an important starting point in developing a DRR advocacy strategy.
- governments in disaster-prone countries work in consultation and partnership with vulnerable communities, NGOs and other local stakeholders to overcome the identified challenges.
- institutional donors develop their own institutional capacity for DRR, in order to engage more effectively with national governments.[33]

The political imperative for developing and developed country governments to act on these recommendations is provided by the Hyogo Framework for Action (HFA) 2005–2015,[34] endorsed by 168 governments at the World Conference on Disaster Reduction (WCDR) in 2005. One of the three strategic goals adopted at the WCDR and presented in the HFA is *'the development and strengthening of institutions,*

32 Other stakeholders, such as the private sector, religious institutions and the emergency services, also need to play a role in addressing disaster risk – but this was outside the scope of this research.

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mechanisms and capacities at all levels, in particular at the community level, that can systematically contribute to building resilience to hazards'. This strategic goal requires governments to work to address the challenges in linking good practice CBDRM with their policy and practice.

Tearfund believes that a key impediment to linking CBDRM with government policy and practice is civil society's lack of influence at government level. Without overcoming this challenge it will be difficult to raise political commitment to DRR, because of entrenched vested interests among rich and powerful elites. Civil society needs to demand greater accountability from the government and inter-governmental system, advocating for greater political commitment to invest in building safer, more resilient communities. In this regard NGOs and community-based organisations possess some important comparative strengths, and can play a key role in:

- building trust and support for partnership approaches between governments and affected communities.
- developing innovative and proven examples of good practice.
- promoting the role of multi-stakeholder platforms (global, regional and national) as a means of building mutual understanding and respect and of bringing all groups in society into DRR decision-making, policy-setting, planning and implementation processes.

Donor governments discussing climate change and disaster risk reduction policy.

Photo: DRR team / Tearfund

33 Further information can be found in: Tearfund and UN/ISDR (2007) *Institutional Donor Progress with Mainstreaming Disaster Risk Reduction* (Teddington: Tearfund), and Tearfund (2005) *Mainstreaming disaster risk reduction: a tool for development organisations* (Teddington: Tearfund).

34 UN/ISDR (2005) *Hyogo Framework for Action 2005–2015: Building the Resilience of Nations and Communities to Disasters* (Kobe: UN)

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APPENDIX A
Summary of methodology

Fieldwork (Autumn 2006)

- Community research undertaken in the target countries in locations where Tearfund partners have an established relationship with community members
- Focus groups identified
- Facilitation provided by Tearfund staff, with Tearfund partner support, based on general guidelines
- Feedback from facilitators, in the form of narrative of overall focus group meeting, shared with author
- Framework developed based on before, during and after disaster (later adjusted to normality/pre-disaster development, emergency/chronic crisis and recovery), and the sustainable livelihoods asset categories to capture findings
- Analysis of findings by author

Expert opinion (Autumn 2006)

- Questionnaire designed based on community research framework, but with additional emphasis on links between CBDRM and government policy and practice
- Experts identified in target countries and internationally (personal contacts of author and Tearfund staff and partners)
- Analysis of results by author

Additional input (Autumn 2006)

- Further reading recommended by experts included in the bibliography
- Case study material included

Workshop (12 December 2006)

- Draft report produced
- Facilitation of workshop to gain further expert opinion on the research methodology adopted, the analysis of findings and the overall approach presented

Phase 1 report (28 February 2007)

- Report developed, drawing on workshop feedback and recommendations

Phase 2 research and report (Spring and Summer 2007)

- Research undertaken by Tearfund partners on government perspective on disaster risk reduction
- Report developed

Final Report and Advocacy Initiatives (Autumn 2007)

- Amalgamation of Phase 1 and Phase 2 research reports
- Development of disaster risk reduction advocacy initiatives by Tearfund partners

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APPENDIX B
Questionnaire for DRR specialists

NAME: .....

JOB TITLE: .....

ORGANISATION:. .....

The deadline for submission of the questionnaire is Friday, 3 November 2006.

PART 1

- What are the challenges associated with linking good practice community-based disaster risk management with government policy and practice?

- Can you cite any examples of where NGOs have been successful in this, and how challenges were overcome to achieve it?

PART 2

- Can you identify examples of good practice community-based disaster risk reduction?

To help guide your response you are encouraged to use the table below. This table lists five different categories based on the sustainable livelihoods framework: economic, natural, physical, individual, social. It also separates actions that can occur before, during and after a disaster.[35] Example responses (expressed by vulnerable communities as part of the community research already undertaken) are included to highlight the type of information that will be useful. If your response only relates to a particular hazard type (flooding, earthquake, landslide etc) then please indicate this.

35 **Phases** of disaster will be most appropriate in relation to rapid onset hazards (such as earthquakes) and least helpful in relation to slow onset hazards (such as drought) and in areas of complex emergency. In the latter situation during disaster may best suit normal conditions throughout the year.

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Categories	Phases of disaster		
	Before	During	After
ECONOMIC Income, savings, livelihoods etc	The introduction of new cropping types and patterns, to suit local hazard characteristics, leads to more predictable and secure harvests. (Malawi)	Income-generating measures that safeguard against the sale of assets during hard times, when prices are low, help protect against an increase in poverty and vulnerability in the longer term. (Malawi)	Ensure businesses and households have access to fair loans post disaster. (Sri Lanka and Bangladesh)
NATURAL Land, forests, water etc	Household rain water harvesting improves water supply during dry periods. (Bangladesh)	Wild food stuffs, if available, can be used to supplement food intake. (Malawi and Sri Lanka)	Reforestation would help to alleviate the conditions that lead to a poor harvest. (Malawi)
PHYSICAL Buildings, tools, communications etc	Radios can be an effective means of mass communication if the message is relayed in an appropriate and timely fashion. (Sri Lanka)	Raised hand pumps enable access to safe water throughout the duration of flooding, reducing levels of morbidity. (India)	Reconstruction activities should incorporate measures that reduce vulnerability to future disasters. (General)
INDIVIDUAL Skills, knowledge, health etc	Education and training on efficient crop production has been proven to have clear benefits when implemented. (Malawi)	Community members have ideas regarding solutions to problems; it is not necessary to impose externally driven remedies. (Sri Lanka)	The reinstatement of school education for children supports a community-wide sense of a return to normal. (Sri Lanka)
SOCIAL Networks, relationships etc	Early warning is critical, but has to be from a trusted source so that people take advice seriously. (Bangladesh and Sri Lanka)	Awareness of the support provided by extended family members may inform equitable aid delivery. (Bangladesh and Sri Lanka)	Surviving a disaster and minimising losses leads to a strong sense of self-confidence that can be channelled into the attainment of other disaster-aware development aims. (India)

Thank you for taking the time to complete this questionnaire.

The deadline for submission of completed questionnaire is Friday, 3 November 2006.

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APPENDIX C
Contributing academics and practitioners

Adisak Thepart
Director
Disaster Prevention Promotion Bureau
Department of Disaster Prevention and Mitigation (DDPM)
Thailand

Ahsan Uddin Ahmed
Executive Director
Bangladesh Unnayan Parishad (BUP)
Research Institute
Bangladesh

Ali Rizvi
Environmental Advisor/
Senior Programme Advisor
Care International
Sri Lanka

Allan Findlay
Head of Department of Geography
University of Dundee
UK

Allan Lavell
Coordinator
Disaster Risk Social Science Research Programme
Secretariat General of the Latin American Social Science Faculty – FLACSO
Latin America

Anita Shah
Disaster Management Programme Officer
UNDP

Annelies Heijmans
Researcher/PhD Candidate
Wageningen University
The Netherlands

Aslam Alam
National Program Management Expert
Comprehensive Disaster Management Programme (CDMP)
Disaster Management Bureau
Ministry of Food and Disaster Management
Bangladesh

Bruno Haghebaert
Acting Head
ProVention Consortium Geneva

Dirk Frans
Sociologist and Senior Advisor
The Netherlands

Edward Turvill
DRR Coordinator
Action Contre La Faim (ACF)
Indonesia

Fe Andaya
President
Centre for Disaster Preparedness (CDP)
Philippines

Haydeé Carrasco
Project Manager
Livelihoods Risk Approaches
Practical Action Latin America
Peru

Hilda de Bojórquez
Director
Asociacion A-Brazo
Central America

Jan Gerrit Van Uffelen
Consultant
The Netherlands

John Twigg
University College London
UK

Knud Falk
Disaster Preparedness Advisor
Danish Red Cross
Denmark

Kwan Li Kladstrup
Assistant Country Director
Afghanistan
Concern Worldwide

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Marcus Moench
Director
Institute for Social and Environmental Transition
USA

Mark Pelling
Reader in Human Geography
King's College London
UK

Mckey Mphepo
Independent Consultant Malawi

Md Shamsuddoha (Doha)
Team Member
Participatory Research and Development Initiative (PRDI)
Bangladesh

Mihir Bhatt
Honorary Director
All India Disaster Mitigation Institute
India

N Hari Krishna
Program Specialist
Oxfam America
India

Paradzayi Bongo
Project Manager
Livelihoods and Disaster Management
Practical Action
Southern Africa

Patrick Fox
Consultant
Swedish Red Cross and IFRC
Sri Lanka

Philip Buckle
Senior Lecturer Disaster Management
Coventry University
UK

Rajeev Issar
Programme Associate
UNDP
India

Rajib Shaw
Associate Professor
Kyoto University
Japan

S Mariyadas
Programme Coordinator Disaster Preparedness
Oxfam
Sri Lanka

Saroj Kumar Jha
Senior Infrastructure Specialist
The World Bank Group
USA

Stella Okoronkwo
Consultant
Cote d'Ivoire

Zenaida Delica-Willison
Disaster Risk Reduction Advisor
UNDP
Thailand

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APPENDIX D
Tearfund fieldwork (Phase 1)

Country	Region/area	Lead facilitators and Tearfund partners	Date of research	Primary hazards
Afghanistan	Kapisa Province	Ms Celia Kalaa Ms Hafiza Hwrowat Mr Waheed Ulfat Mr Douwe Dijkstra	December 2006	Flash flood
Bangladesh	South Bashabhura in Khulna District, South Bangladesh, Bongla, Holdibuniya village and Dharabasail village in Kondi within Kotoalipara sub-district (Upadzilla) in Gopalganj	Angela Mugore, HEED Bangladesh – Khulna office staff	July 2006	Cyclone, flood, River erosion
Burkina Faso	Yatenga, Loroum and Gnagna Provinces	Jo Khinmaung and Caroline Kassell, Tearfund Gustave Diendere and Bargo Dieudonne, ODE Kafando Dieudonne and Hema Ardiuoma, CREDO	October 2006	Drought
India	Villages of Kothiya Balwahi, Lavatola, Godhiara, Mushepur, Ganipur, Gyansthan, Narvidarya Paswan Tola and Narvidarya Sahani Tola, Dharbanga District, Bihar	Paul Venton Discipleship Centre field staff	March 2004	Flood
Indonesia	Meulaboh/Aceh	Sophie Harding and Sarah Dellor, Tearfund Naomi O'Toole and Basaria Sitohang, DMT	May 2006 / October 2006	Tsunami, earthquake, flood
Malawi	Mchinji to the west of Lilongwe. Communities surveyed from Masitila, Manguwale, Kachingwe	Oenone Chadburn, Tearfund Rev Anderson Mataka, AGREDS	May 2006	Drought, flood
Sri Lanka	Ratnapura area: Palm Garden 1, Palm Garden 3, Palavelhi	Oenone Chadburn, Tearfund Chrishanthi Durairajh, LEADS	April 2006	Flood, landslide
Sri Lanka	Colombo, Matara (drought area), Matara (tsunami affected area)	Sarah Dellor and Sophie Harding, Tearfund Aruna Manamperri (District Officer of Matara) and Nadeesha Rajakaruna, LEADS John Samson (driver and translator) Chitrani Stambo and Roshan Wijemanne, CCS	May 2006	Tsunami, flash flood, drought

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APPENDIX E
Guidelines for facilitators (Phase 1)

Information to be obtained from the community

This document should be read in conjunction with the Research Brief (Version C) to provide background information on why the sub-component of the DFID DRR Project *Turning Policy into Practice* wants to consult with the community on defining DRR good practice.

The facilitation of the community to obtain their understanding of good practice can be broken down into separate sections. The first section covers general background issues related to past disasters, the later sections then categorise these discussions in line with the Livelihoods Framework. **Please note: it is very important to maintain these categories when writing up the research to provide a consistent analysis of differing communities in different hazards.**

However, you may not want to use the order suggested below and find it helpful to facilitate the community through:

- a chronological approach going step by step through the last disaster they went through by describing a 'day in the life of', or
- an oral tradition of telling the story as it has been remembered by them in its erratic format which will often start by stating what was important for the individual or focus group.

Facilitators need to identify what approaches work for them and the community. The trick will be to identify when good practice is being discussed and intervene with some questions which will expand the understanding of that good practice. Fundamentally, it is important there is an experienced facilitator with an understanding of DRR who can motivate the focus groups and ask appropriate questions.

Remember, the aim is to identify what worked for the communities in the context of previous hazards they have experienced, or what they would do differently. It is important to maintain (where possible) an 'upbeat' reflection on what the community has experienced, celebrating with them where things went well, and helping them reflect where they have had control and their own capacities to achieve change in the future. Each of the bullet points can be turned into different types of questions at the discretion of the facilitator, but the aim of the bullets is to summarise the type of information that needs to be identified. Note: it is possible to turn a negative into a positive, ie: if an action did not work for them as a community, how would they change it to ensure that any actions that are taken before, during and after a disaster in the future will contribute towards their welfare and well-being.

Finally, this work is a piece of research. Please be aware of expectations that these questions can raise with communities – especially those communities who are used to having aid agencies working with them.

A General

Purpose: To get an overview of the impact of the disaster and how the community responded in the before, during and after stages of the disaster.

- Get the community to name the most important natural hazard that they face, and rank any others that they face. Please attempt to identify the hazard within the following classifications.
  - Flood
  - Earthquake
  - Landslide
  - Drought
  - Tsunami
  - Disease
  - Storm
  - Volcano
  - Other (specify)

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- Identify when their top hazard last hit the community, how frequently it occurs and whether there are any new trends. Note: If the trend is becoming less serious explore what factors have reduced its frequency and whether it has been replaced.
- Identify any advance warnings the community may have received, who received and distributed them, and how useful they were. These can be both traditional (eg: animals) or technological warnings (eg: radio).
- Get the community to talk about any actions (including financial) they took to reduce the impact of the approaching hazard once they knew it was coming. (Impact should be determined by what the community defines as important, but it should roughly fall into the categories of human, social, physical/infrastructure, natural and economic.)
- Once the disaster was with them, get them to describe the 'successful' actions they took, both as individuals and as a community. If necessary get several people to describe an hour-by-hour account for fast onset disasters. (If they are alive they must have done something right!)
- Identify the most pressing needs, as defined by the community, during and in the aftermath of the disaster (eg: information, employment, healthcare, food etc) and discuss if and how these were met (including outside support such as government or NGOs). Identify if critical needs were met effectively or ineffectively, and what would need to change to make it better next time.

B Human / individual

Purpose: To identify the attitude, knowledge and skills used by the community in times of disaster, with a special emphasis on the needs of the most vulnerable. Note: spiritual and health issues are most likely to come out under this category.

- In human/individual terms, identify the impact of the most common hazard on the community before, during and after the event.
- In human/individual terms, identify who was impacted the most by the hazard before, during and after the disaster, and why this was so.
- Identify coping mechanisms – specific ways in which the individual effectively absorbed and survived the shock of the disaster eg: eating roots in times of famine, climbing trees in times of flood etc.
- Identify if there are any historic coping mechanisms which are not used any more, and why their use is not relevant. Review how this coping mechanism was 'lost'.
- Review with the community how these coping mechanisms do or do not support the needs of the most vulnerable (ie: those most impacted). Identify the most effective and why they worked so well.
- Get the community to discuss what they would do differently next time to prepare for, respond to, and recover from any potential disaster.

C Social

Purpose: To identify how social networks within the community work in a disaster, and how they can be effectively used to reduce vulnerability.

- Identify the impact of the hazard (before, during and after) on social networks which traditionally are the cohesion of the community (eg: church leader and deacons, teachers and headmaster, local business leaders, chief and elders, local government officers etc).
- Discuss with the community who coordinated the reaction to the EW, the response to the disaster and took leadership in recovery.
- Review the ways in which the extended family as a separate social network reacted to the disaster before, during and after the impact.
- Look at how other social networks reacted to the needs of the community, with special emphasis on those most in need and vulnerable, before, during and after the disaster.

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- Discuss sources of information, communication networks and processes within the community and how these were used before, during and after the disaster. Identify gaps both in terms of who hears certain messages and how the content is decided – eg: how did people know where to go to receive aid?

D Natural

Purpose: To identify the role of natural resources in reducing vulnerability to disasters.
Note: agricultural resources (eg: soil fertility, planned or natural orchards etc) can come under this classification as well as economic.

- Identify the impact of the hazard (during and after) on the environment and any natural resources which are actively used by the community.
- Identify which natural resources (even those which are not commonly used) were the most effective during the disaster (eg: alternative water supplies, tall trees for shelter etc).
- Discuss whether these natural resources are commonly used as a coping mechanism, and if so whether access to it, or availability of it, as a resource has diminished in recent years.
- Discuss with the community the value they place on these resources, and whether any measures were taken before, during or after to protect them Consider other pressures placed on these natural resources eg: trees used for firewood or soil protection.

E Physical

Purpose: To identify what physical infrastructure is most useful before, during and after a disaster.

- Identify the impact of the hazard (during and after) on the physical infrastructure of the community and the surrounding area, with special reference to essential services such as bridges, schools, clinics, any form of communications, and food supply.
- Discuss how private and public buildings were used during and immediately after the disaster.
- Identify how communication infrastructure was affected (eg: loss of radios), and how transportation occurred during and after disaster.
- Identify whether there was any conscious protection of any infrastructure including buildings and personal assets which could not be taken in the event of any displacement.

F Economic

Purpose: To identify local economic systems which enable people to cope with and recover from disaster.

- Identify the impact of the hazard (before, during and after) on the micro economy of the community and the surrounding area.
- Discuss how livelihoods were affected during and after the disaster and the consequential disruption to cash flow within households.
- Identify if there were any alternative ways of making a livelihood or subsistence living. And if not, how did people survive – were there safety nets such as loans, assets or savings which economically sustained households?
- Review what mechanisms or systems were available before, during and after impact of the disaster for buying and selling goods and foodstuffs.

Suggested concluding question:

- If you could meet with the leader of your country, what would you tell him was the most important action in reducing disasters in your community?

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APPENDIX F
Workshop details

Agenda: Good practice community based disaster risk management report

Workshop on Tuesday 12 December 2006

8.45 Registration and coffee

9.00 Introduction and Part A of the Report

9.20 Gallery Session

10.00 Separate Focus Group discussion

- Comment on the methodology used to capture good practice
- Comment on the use of frameworks to present the good practice
- Identify any fundamental themes missing from the community-based good practice

10.45 Coffee break

11.00 Feedback session from Focus Groups

11.30 Part B of Report

11.40 Focus Group discussion based on the four sections:

- 'They can't hear anything'
- 'They don't want to hear anything'
- 'They hear but don't want to act'
- 'They hear but struggle to act'

12.15 Feedback sessions from Focus Groups

12.45 Round up by Ian Davis

1 – 2pm Lunch in the Upper Room

Workshop attendees

External delegates

- Annelies Heijmans – Researcher, Disaster Studies Wageningen
- Antony Spalton – IFRC
- Carlos Morales – ICCO (inter-church organisation for Development Cooperation)
- Ian Davis – Cranfield University
- John Twigg – University of Central London
- Philip Buckle – Coventry University
- Robert Cruickshank – CAFOD
- Sarah Stavrakakis – Homeless International
- Tamsin Walters – CAFOD
- Vicki Wooding – Habitat for Humanity

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Tearfund attendees

- Alice Fay
- Bob Hansford
- Caroline Kassell
- Eleanor Tuck
- Jessica Faleiro
- Liu Liu
- Oenone Chadburn
- Sarah Dellor
- Sarah Dodd
- Shona Macpherson
- Angela Mugore
- Brian Woolnough
- Donald Mavunduse
- Ian Derbyshire
- Jo Khinmaung
- Nick Burn
- Paul Venton
- Sarah Dilloway
- Sarah la Trobe

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APPENDIX G
International DRR research questionnaire (Phase 2)

1 a) How is disaster risk reduction incorporated into your government's development planning and programming? In other words, which department/ministry has responsibility for DRR and how are they coordinating with other relevant departments/ministries (eg: those working on climate change, agriculture, water etc)?

b) How does disaster risk reduction fit into your government's disaster relief structures and processes?

2 What level of priority does disaster risk reduction (DRR), including community-based DRR, have within your government? ie:

- How many staff work on DRR within your government? (Does the government train its staff on DRR, and at what level – national, local?)
- What proportion of your government's total development budget is spent on DRR?
- How far is DRR integrated into your government's policies, strategies and programming?

3 Can you explain the reasons behind your government's current level of expenditure on DRR? What would cause your government to allocate more resources to it?

4 What may hinder or prevent your government meeting its objectives as a signatory to the Hyogo Framework for Action (eg: Legislation)? [36]

5 Do you agree with the challenges, agreed by experts and practitioners around the world, of linking community-based DRR with government policy and practice? Are there any other challenges from your perspective?

6 What legislation does your government have in place to reduce disaster risk – eg: codes for buildings, land-use, forestry etc? How are these laws enforced?

7 What role do you think donors and International Financial Institutions (eg: World Bank) should play in supporting national governments on DRR? What role do you think INGOs/NGOs should play?

8 Do you have any other comments or observations? (eg: trends, previous difficulties, future challenges etc)

36 *The Hyogo Framework for Action* (HFA) was adopted by 168 governments at the World Conference on Disaster Reduction in Japan, 2005. The HFA is a 10-year plan to make the world safer from natural hazards. Its goal is to substantially reduce disaster losses by 2015 – in lives, and in the social, economic, and environmental assets of communities and countries.

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One of the key issues that needs to be worked on is communication and dialogue and the sharing of information ('understanding' is a key factor that should inform government policy).

Adger N, Paavlova J, Huq S, Mace M *Fairness in Adaptation to Climate Change*, (MIT Press), ISBN 0-262-51193-2 (recommended by Findlay).

The book claims to look at the challenge of ensuring that policy responses to climate change do not place undue and unfair burdens on already vulnerable populations – examples from Bangladesh, Tanzania, Botswana and Namibia.

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Davis I, Haghebaert B, Peppiatt D (2004) *Social Vulnerability and Capacity Analysis*, Workshop, Geneva, 25–26 May 2004 (Geneva: ProVention Consortium; www.proventionconsortium.org/themes/default/pdfs/VCA_ws04.pdf) p.19) (recommended by Haghebaert)

A table which may be useful for identifying good practice examples of CBDRM: Taken from John Twigg's *Mainstreaming Guidance Note on Vulnerability and Capacity Analysis*. The table was originally developed by Ian Davis, David Peppiatt and Bruno Haghebaert for the social VCA workshop (Geneva, May 2004). Activities contributing to reducing vulnerabilities mentioned in column 1 and/or strengthening capacities in column 2 can be considered as 'good CBDRM practice'.

Handmer J (2000) 'Flood Hazard and Sustainable Development', in *Floods: Volume II* (London: Routledge).

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Pelling M (2003) *The Vulnerability of Cities: Natural Disasters and Social Resilience* (Earthscan Publications Ltd) (recommended by Pelling).

Examples of efforts by civil society actors – INGOs, NGOs and CBOs – to overcome political/community activist tensions and to build trusting relationships with government actors.

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ProVention Community Risk Assessment (CRA) Toolkit http://www.proventionconsortium.org/?pageid=43 (bottom CRS Toolkit menu) (recommended by Haghebaert).

Contains 35 CRA case studies, for most of which guidance notes have been developed. In each guidance note under 'Strategic notes' the following questions are asked: How has this practice of CRA influenced change in policy and practice at the national level? How has this practice of CRA influenced change in policy and practice at local level? Examples of countries where there have been close collaboration between NGOs and local government are: Zambia, El Salvador, and the Philippines.

Rizvi A (2006) *The Challenge of Holistic Development: Tailoring Environment to the Post-Tsunami Response in Sri Lanka* (Sri Lanka: CARE International) (recommended by Rizvi).

Sudmeier-Rieux K et al (2006) *Ecosystems, Livelihoods and Disasters: An Integrated Approach to Disaster Risk Management* (Switzerland and UK: IUCN) (recommended by Rizvi).

Tobin G (1996) 'The Levee Love Affair: A Stormy Relationship', *Water Resources Bulletin 31*, (3): 359-367.

Twigg J, Bhatt M, Eyre A, Jones R, Luna E, Murwira K, Sato J, Wisner B (2001). *Guidance notes on participation and accountability*, (Benfield Hazard Research Centre – Miscellaneous Papers, London UCL) (recommended by Twigg).

Twigg J (2002) *NGO Initiatives in Risk Reduction: An Annotated Bibliography of Case Studies* (London: UCL) (recommended by Twigg).

Twigg J (2004) Good Practice Review. Disaster risk reduction: Mitigation and preparedness in development and emergency planning (*Humanitarian Practice Network*, Number 9, March 2004). (London: Overseas Development Institute (ODI)) (recommended by Twigg).

Twigg (2005) 'Community Participation: Time for a Reality Check?' in *Know Risk* (Geneva: UN/ISDR) (recommended by Twigg).

UNCRD (2003) *Sustainability in Grass-Roots Initiatives: Focus on Community Based Disaster Management* (Kobe: UNCRD) (recommended by Shaw).

UNCRD (2004) *UNCRD Tapestry: Defining the past and building the future of community based disaster management* (Hyogo: UNCRD).

UNFCCC database on local coping strategies: http://maindb.unfccc.int/public/adaptation/ (recommended by Haghebaert).

Wisner B, Blaikie P, Cannon T, Davis I (2004) *At Risk 2nd Edition: Natural hazards, people's vulnerability and disasters* (London: Routledge).

Wisner B, Haghebaert B (2006) *Fierce Friends/Friendly Enemies: State/Civil Society Relations in Disaster Risk Reduction*. Paper presented at the ProVention Consortium Forum, 2–3 February 2006, Bangkok. http://www.proventionconsortium.org/themes/default/pdfs/Forum06/Forum06_Session4_State-CommunityAction.pdf (recommended by Haghebaert).

Linking CBDRM and government policy and practice, needs to be situated in the wider context of state-civil society relations on DRR. At the ProVention Bangkok Forum a session was held which looked specifically at this issue.

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www.tearfund.org
100 Church Road, Teddington, TW11 8QE, United Kingdom
Tel: +44 (0)20 8977 9144

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